



Excellence in Educational Training (EET)

Policy and Procedure Management Policy for conducting the assessment of education & training

## **Purpose**

- 1) The EET Assessment Policy and Procedures establish the policy and procedures that EET will use for conducting the assessment of education and training.

## **1. Scope**

- 1.1 The EET Assessment Policy and Procedures apply to all assessment processes undertaken by EET staff and to any assessments conducted under the auspice of EET through a partnering organisation or MOU arrangements.
- 1.2 All policy and procedures cover the assessment of VET qualifications, Higher Education qualifications, qualifications delivered to overseas students studying on-shore and qualifications delivered to transnational students. Policies that relate specifically to these student cohorts should also inform assessment practice where appropriate.
- 1.3 All policy and procedures cover assessment as part of a learning and assessment pathway and as an assessment only process (RPL).
- 1.4 This policy provides guidelines within which EET staff will use professional judgment to conduct assessment.

## **2. Policy Statements**

- 2.1 EET recognises that well designed and articulated assessment plays an integral role in assisting learners achieve successful outcomes.
- 2.2 EET's assessment policy draws on definitions and guidelines where appropriate in the national regulatory publications:
  - a) VET Quality Framework
  - b) National Guidelines for Higher Education Approval Processes
  - c) National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students if appropriate.

- 3.1 EET will Ensure quality assessment outcomes are achieved through basing the development of assessment processes and instruments on the principles of assessment:

- a) Fairness
- b) Flexibility
- c) Validity
- d) Reliability
- e) Sufficiency

3.2 Ensure evidence requirements for assessment purposes are based on the rules of evidence:

- a) Validity
- b) Sufficiency
- c) Authenticity
- d) Currency

3.3 Provide Recognition of Prior Learning (RPL) processes

3.4 Conduct assessments to support continuous learning and decide outcomes

3.5 Apply special considerations and reasonable adjustments to assessments as appropriate

3.6 Value authenticity of assessment work and enforce penalties for academic misconduct.

3.7 Conduct assessment processes ethically

3.8 Specify due dates and approve extensions in line with determined parameters

3.9 Allow resubmission of assessment pieces and supplementary assessments within determined parameters

3.10 Apply consistent grading schemas to education and training sectors and qualifications within sectors

3.11 Provide a process for students to appeal against assessment processes and decisions

3.12 Validate and moderate assessment tools, processes and candidate evidence and assessor decisions

## 4 Procedures

The following procedures outline the processes that are to be followed by EET to implement each of the Policy Statements documented.

**4.1 Ensuring assessment activities are based on the principles of assessment to achieve quality outcomes:**

- a) Whilst each of the principles are important factors in their own right, assessment activities should reflect all principles and not elevate the importance of one at the expense of others.

**4.1.1 Fairness** in assessment requires consideration of the individual student's needs and characteristics, and any reasonable adjustments that need to be applied to take account of them. It requires clear communication between the assessor and the student to ensure that the student is fully informed about, understands and is able to participate in, the assessment process, and agrees that the process is appropriate. It also includes an opportunity for the student being assessed to have the result of the assessment re-assessed if required.

**4.1.2** EET will ensure that students are fully informed about assessment requirements by providing a comprehensive outline of assessment requirements and due dates at the commencement of a component of study.

**4.1.3 Flexibility** in assessment requires that assessments reflect the student's needs; provide for recognition of competencies (VET) or subjects no matter how, where or when they have been acquired, draw on a range of methods appropriate to the context, component of study and the student; and support continuous development.

**4.1.4 Validity** is both a principle of assessment and a rule of evidence. It requires that the assessment process is sound and assesses what it claims to assess:

- a) Assessment against units of competency and subjects must cover the broad range of skills and knowledge that are essential to competent performance (as specific in the unit or subject).
- b) Assessment of knowledge and skills must be integrated with their practical application (if applicable).
- c) Judgment of competence must be based on sufficient evidence (that is, evidence gathered on a number of occasions and in a range of contexts using different assessment methods).

**4.1.4 Reliability** refers to the degree to which evidence presented for assessment is consistently interpreted and results in consistent assessment outcomes. It can only be achieved when assessors share a common interpretation of the assessment requirements.

4.1.5 **Sufficiency** is both a principle of assessment and a rule of evidence. It relates to the quantity and quality of evidence assessed. It requires collection of enough appropriate evidence to ensure that all requirements of the unit of study have been satisfied.

#### 4.2 Ensuring evidence requirements are based on the rules of evidence:

4.2.1 **Validity** is both a principle of assessment and a rule of evidence. It requires that the assessment process is sound and assesses what it claims to assess:

- a) Assessment against units of competency and subjects must cover the broad range of skills and knowledge that are essential to competent performance (as specific in the unit or subject)
- b) Assessment of knowledge and skills must be integrated with their practical application (if applicable)
- c) Judgment of competence must be based on sufficient evidence (that is, evidence gathered on a number of occasions and in a range of contexts using different assessment methods)

4.2.2 **Sufficiency** is both a principle of assessment and a rule of evidence. It relates to the quantity and quality of evidence assessed. It requires collection of adequate and appropriate evidence to ensure that all requirements of the unit of study have been satisfied.

4.2.3 **Authenticity** To accept evidence as authentic, EET assessors must be assured that the evidence presented for assessment is the candidate's own work

4.2.4 **Currency** in assessment relates to the age of the evidence presented by a candidate to demonstrate that they are still competent. Competency requires demonstration of current performance, so the evidence provided must indicate that the participant is currently competent.

### 4.3 Providing RPL processes

- 4.3.1 EET will offer the opportunity to undertake 'assessment only' through a Recognition of Prior Learning (RPL) process.
- 4.3.2 Information on, and the opportunity for, RPL will be provided to all students at the commencement of their program of study and will form the basis of individual learning plans.
- 4.3.3 A student may also apply for RPL at anytime during their program of study.
- 4.3.4 RPL may also be offered to all prospective students prior to enrolment.
- 4.3.5 Evidence considered inferring competence or meeting learning outcomes in an RPL assessment process must incorporate a component that determines the person is currently competent in the area being assessed.

### 4.4 Conducting assessments to support continuous learning and decide outcomes:

- 4.4.1 A high priority is placed on providing timely and appropriate feedback to students to facilitate their learning.
- 4.4.2 **Formative assessment** is assessment for learning; Formative assessment is used for the purpose of providing students with ongoing feedback as part of their learning. It can also be used for diagnostic purposes to establish learning needs.
- 4.4.3 **Summative assessment** is the assessment of learning; Summative assessment is the tools and processes used to gather evidence to make the decision if a student is competent or not. It is recommended that summative assessment is not a single event on completion of a component of study.

Evidence considered for summative assessment collectively ensures that the following have been met:

- a) rules of evidence
- b) requirements of the component of study as documented in the Training Package or accredited course
- c) dimensions of competency (VET sector)
- d) employability skills (VET sector)

**4.4.4** Students experiencing difficulty in meeting course requirements may be invited to participate in a 'Review of Progress for Students at Risk'. This review will provide the student with an appraisal of their performance, strategies for improvement and a timeframe for a subsequent performance appraisal

**4.4.5** If an assessment outcome has an impact on subsequent assessments within a component of study, results and feedback will be made available in a time frame which will not disadvantage performance in the subsequent assessment.

#### **4.5 Applying special considerations and/or reasonable adjustments:**

**4.5.1** EET is committed to the outcome of equality of opportunity in education. Assessment procedures will consider and support the needs of all students who meet the requirements of the course

**4.5.2** Applying special consideration encompasses making appropriate adjustments to assessment processes while at the same time maintaining the integrity of the assessment outcome

**4.5.3** Reasonable adjustment refers to measures or actions taken to provide a student with a disability the same educational opportunities as everyone else through making appropriate adjustments to assessment processes whilst maintaining the integrity of the assessment outcome.

To be reasonable, adjustments must be appropriate for that person, and must be allowable within rules defined by the training package or accredited course

**4.5.4** Special consideration or reasonable adjustment in an assessment may include, but are not limited to:

- a) extra reading time
- b) extra writing time
- c) break times during an examination
- d) a reader

- e) a writer
- f) an interpreter for deaf and hearing-impaired students
- g) alternative accommodation
- h) adaptive technology equipment
- i) for paper-based assessment, questions on audio/video tap, Braille or CD, enlarged text or re-writes to provide reasonable adjustment to language
- j) access to an unannotated bilingual dictionary.

### **Special consideration**

**4.5.5** To request special consideration, students must discuss their requirements with the relevant staff member and submit appropriate evidence or documentation as follows.

Grounds for special consideration in assessment include but are not limited to:

- a) Illness / medical condition
- b) English language limitation
- c) Compassionate
- d) Religious Observance
- e) Community Service e.g. Jury Duty

**4.5.6** Students will be advised of the outcome of their request for special consideration in writing. A record of the special consideration must be documented by the lecturer and kept in the student file

**4.5.7** Where a student appeals the decision, the Principal will reassess the request for special consideration and make a decision. If the student deems the outcome to be unfair they can appeal to a relevant independent body.

### **Reasonable adjustment**

**4.5.9** Students seeking a reasonable adjustment in an assessment must discuss their requirements with the Principal prior to the start of the component of study or at the earliest possible time once the class has commenced. Students may be requested to provide documentation to support their request for reasonable adjustment.

**4.5.10** Any reasonable adjustments to assessment during the period of teaching must be communicated to student in writing by EET staff. A record of the reasonable adjustment must be documented and a copy kept in the student file.

**4.5.11** If a student is refused reasonable adjustment in an assessment, an appeal may be lodged with the Principal.

- 4.5.12 All information and supporting statements provided as part of an application for reasonable adjustment in assessment will remain confidential (in accordance with the Privacy Act 1988).

#### 4.6 Enforcing penalties for academic misconduct

4.6.1 Academic honesty is an essential foundation for student assessment. Students must ensure that the evidence that they submit for assessment is their own and/or that they acknowledge the work of others appropriately.

4.6.2 Plagiarism is to copy work without acknowledging the source and is a form of cheating. In a study environment, cheating means to act dishonestly in any way so that the assessor of the work accepts what a student presents as evidence of their understanding of and ability in the component of study concerned.

4.6.3 EET will not tolerate cheating (including plagiarism). It is cheating to:

- a) hand in someone else's work as your own (with or without that person's permission)
- b) use any part of someone else's work without the proper acknowledgement, including breaches of copyright
- c) hand in a completely duplicated assignment
- d) allow someone else to hand up your work as their own
- e) copy sentences or paragraphs from one or more sources, present substantial extracts from books, articles, theses, unpublished work such as working papers, seminar and conference papers, internal reports, computer software, websites, lecture notes or tapes, without clearly indicating their origin
- f) use notes or other resources without permission during formal testing
- g) have several people write one computer program or exercise and hand up multiple copies, all represented (implicitly or explicitly) as individual work
- h) steal an examination or solution from a staff member

## **4.7 Conducting assessment processes ethically**

**4.7.1** EET staff will ensure there is no real or perceived conflict of interest in assessment processes. Examples include, but are not limited to the following circumstances:

- a) Assessing a family member, relative or close friend
- b) Assessing a colleague or business associate particularly if the outcome of the assessment can be used to gain employment, promotion, pay increases or other benefits
- c) Assessing oneself

**4.7.2** If a real or perceived conflict of interest is identified, it is the responsibility of the assessor to discuss the situation with the Principal at the earliest convenience. The Principal will decide whether the assessor should not assess in the specific case and/or, in circumstances where the assessor has already conducted part or all of the assessment and whether assessment should be confirmed by another assessor.

## **4.8 Specifying due dates and approving extensions**

**4.8.1** Students will be informed of due dates for assessments at the beginning of the component of study

**4.8.2** Assessment due date refers to the date for submission of any material or attendance at a scheduled activity to satisfy assessment requirements.

**4.8.3** It is the student's responsibility to submit required material or attend and participate in scheduled assessments. If the student is unable to meet an assessment due date, the student may request an extension.

**4.8.4** A request for extension must be documented and received and granted by the lecturer prior to the assessment due date. A response from the lecturer to a student's request for extension will be made in writing. This written advice will include a clear timeframe for the extension and the assessment activities that the extension relates to.

**4.8.5** An extension of assessment activities may be granted where a due date disadvantages a student in circumstances such as compassionate grounds, sickness supported by a doctor's certificate and employment obligations.

## 4.9 Allowing resubmissions and deferred assessments

### Resubmission

#### 4.9.1 Resubmission is:

- a) The submission of an assessment piece after a student has revised it,
- b) Participation again in an assessment event, because the original did not
- c) Demonstrate that the assessment requirements were met.
- d) Formal resubmission processes apply only to summative assessment

4.9.2 Students have a right to one resubmission per assessment piece/event if the pass criterion for an assessment has not been met.

4.9.3 Further resubmissions may be permitted on a case-by-case basis. This is usually due to special circumstances where a student is able to provide justification for their request; such circumstances include, but are not limited to: compassionate grounds, sickness supported by a doctor's certificate, employment obligations supported by the employer

4.9.4 In all cases the due date for re-submission and remarking will be declared by the lecturer in negotiation with the student and will be based on reasonable time frames with due consideration for the workloads of all concerned

### Deferred Assessment

4.9.5 Deferred assessments are assessments provided at an alternative time.

4.9.6 Deferred assessments may be granted where the student has otherwise met course requirements and is unexpectedly unable to participate in an assessment. This is usually due to special circumstances where a student is able to provide justification for their request; such circumstances include, but are not limited to: compassionate grounds, sickness supported by a doctor's certificate, employment obligations supported by the employer.

4.9.7 The usual grading regime applied for the component of study is applied to a supplementary assessment.

## **Penalties for not complying with the conditions of due dates, extensions resubmissions and deferred assessments.**

In the event where a student does not attend a scheduled or rescheduled assessment activity or submit a piece of work on the agreed due date

**4.9.10** A **FN** result will be recorded. In this case a student cannot be offered a resubmission, as an assessment has not been attempted.

### **N.B.**

(**FN**= Fail Non-attendance at an assessment event or non-submission of an assessment item)

A withdrawn code (**W**) will only be entered if a student officially notifies and completes a **SRW** Student Refund Withdrawal (**SIS**)

## **4.10 Applying a consistent grading schema across sectors and qualifications**

**4.10.1** EET will recognise merit through grading where this is considered educationally sound, reflects industry needs, is cost effective and in line with client needs.

**4.10.2** The decision to use a graded or non-graded resulting option must be applied to all students enrolled in a particular qualification regardless of campus of delivery and delivery mode.

- 4.10.3 Where graded assessment is applied, students must be provided with the criteria that differentiates the levels of achievement.
- 4.10.4 Where a student has undertaken recognition of prior learning process, or is awarded credit/status, the result will be non-graded regardless of whether the component of study is ordinarily graded or not.

#### **4.11 Providing a process for students to appeal against assessment processes and decisions**

- 4.11.1 EET recognises the right of students to lodge an academic appeal related to student progress and assessment. Throughout the appeals process, students have the right to be accompanied or represented by a support.
- 4.11.3 In the first instance students should discuss their complaint with the relevant staff member involved. The staff member will endeavour to make a decision regarding the matter and inform the student of the outcome as soon as possible.
- 4.11.4 If unsatisfied with the response or time taken to resolve the matter a student may lodge an appeal in writing to the Principal outlining the nature of the dispute.
- 4.11.5 If not satisfied with the decision overseen by the Principal, the complainant may request that the matter is dealt with through an independent dispute resolution process external to the program. In such circumstances the student may refer their appeal to the Training Advocate.

The Office of the Training Advocate provides a free and independent mechanism for the resolution of grievances for domestic and overseas students.

The Training Advocate can be contacted by phone 1800 006 488.  
Office of the Training Advocate  
55 Currie Street Adelaide SA 5000  
Post: GPO Box 320 Adelaide SA 5001

Email  
Web:

[trainingadvocate@saugov.sa.gov.au](mailto:trainingadvocate@saugov.sa.gov.au)  
[www.trainingadvocate.sa.gov.au](http://www.trainingadvocate.sa.gov.au)

- 4.11.6 At each stage of the process, complainants and/or respondents are entitled to full explanations in writing, if requested, of any decisions or actions taken as part of these procedures

#### 4.12 Validating and moderating assessments

Validation and Moderation of Assessment at EET is conducted in accord with definitions and practices outlined in the National Quality Council publication; 'A Code of Professional Practice for Validation and Moderation, 2009'.

The following items draw on the content of this 'Code of Professional Practice'.

4.12.1 **Validation** is a quality review process. It involves checking that the assessment tool and process produced valid, reliable, sufficient, current and authentic evidence to enable reasonable judgments to be made as to whether the requirements of the relevant aspects of the accredited course had been met.

4.12.2 EET validates assessment across campuses in order to ensure that consistent standards are being applied by teaching staff where the same component of study is assessed. The primary purpose of this process is to implement a continuous improvement action plan which is evidence based.

Moderation activities will take place prior to the finalisation of student's results

**The systematic approach should include:**

- 1) An ongoing schedule of when components of study will be validated based on a risk assessment approach
- 2) Identification of authoritative power in relation to validation decisions, eg) if a consensus position cannot be reached will the majority position be adopted
- 3) Methodology and supporting documentation to be used for validation activities or will the Principal make recommendation.

4.12.3 The quality review approach of validation activities should complement the quality assurance approach to assessment which includes but is not limited to:

- a) Industry competency standards as benchmarks for assessment (VET sector)
- b) National assessment principles and rules of evidence
- c) Minimum qualifications for assessors
- d) Benchmark examples of assessment outcomes at varying levels
- e) Collaboratively developed assessment tools and processes
- f) Panelling, piloting and trialling assessment tools
- g) Professional development for assessors

4.12.4 Moderation is a quality control process. It involves bringing assessment judgments and standards into alignment. It is a process that ensures the same standards are applied to all assessment results within the same component of study. It is an active process in the sense that adjustments to assessor judgments are made to overcome differences in the difficulty of the tool and/or the severity of judgments.

4.12.5 In instances where graded assessment is applied, EET will moderate assessment grade decisions in order to ensure that consistent standards are applied by teaching staff.

4.12.6 The systematic approach should include:

- a) An ongoing and rolling schedule of when components of study will be moderated based on a risk assessment approach
- b) Identification of authoritative power in relation to moderation decisions, eg) if a consensus position cannot be reached how will a decision be made.
- c) Methodology to be used for moderation activities eg) panel or co-assessment for product or performance-based assessment pieces, blind double marking for assignments