

Assessment Policy and Procedure

At Australian Sovereign College, we recognise that assessment is a core service offered to our learners (students) and is at the centre of our operation as a Registered Training Organisation. Quality assessment ensures that the skills and knowledge of candidates are assessed using four principal determinants:

- That assessment decisions are based on the assessment of skills and knowledge compared with units of competency drawn from nationally endorsed Training Packages or accredited courses.
- That the target industry or enterprise requirements are contextualised and integrated within the assessment.
- That evidence is gathered that meets the rules of evidence.
- That assessment is conducted in accordance with the principles of assessment.

Assessing the Unit of Competency

Australian Sovereign College uses units of competency drawn from nationally endorsed Training Packages as the primary benchmark for assessment. Supporting these sometimes are industry standards or codes of practice. These and other industry specific publications inform the context and standard of performance during assessment.

To identify the precise assessment criteria, we apply a methodology of unpacking a unit of competency to assess the full scope of the unit including elements of competence, performance evidence, knowledge evidence and the requirements of the evidence conditions. This process ensures that our assessment strategies accurately reflect the requirements of the relevant training package and are valid. To ensure alignment with all components of a unit of competency, unit mapping must be undertaken during the design and development of assessment. Unit mapping must also be undertaken when carrying out assessment validation.

Unit mapping will show the relationship between the planned assessment activities and each component of the unit. This must be conducted at a micro level of detail to allow the mapping to be useful later on as a reference to demonstrate the validity of the assessment. An assessment mapping document is available for this purpose.

Assessment context

Australian Sovereign College recognises the importance of establishing the right context for candidates during their assessment. Assessment context refers to the physical and non-physical environment in which skills and knowledge are assessed. This may be a workplace such as an

office setting or a manufacturing workshop. The non-physical environment refers to things such as workplace policy and procedure, workplace tempo and culture. Many units of competency may be applied in any workplace such as skills and knowledge relating to workplace safety or leadership.

It is our responsibility to ensure that candidates are provided with the right context to undertake their assessment activities. To achieve this, we will apply the following strategies:

- Incorporation of the candidate’s own workplace policies and procedures into the assessment scenario or activity.
- Conduct of the assessment in the candidate’s workplace performing real workplace tasks where possible.
- Integration of relevant industry codes of practice and other industry information into the assessment activity.
- Incorporation of industry job descriptions for learners to align with during realistic simulated workplace scenarios and case studies.
- Incorporation of regulatory information relating to licensing which applies to the unit of competency.
- Tailoring the program outcomes to meet the organisational training needs of the enterprise without compromising the Training Package requirements.
- Creating assessment activities which require the student to conduct specific research relating to industry situations and occurrences where applicable.
- Provide a realistic simulated workplace within Australian Sovereign College facilities.

While applying these strategies it is important to ensure that in establishing the context for assessment, we do not affect the transferability of the unit of competency. When the candidate is assessed as competent, this also means that the candidate can transfer the applicable skills and knowledge between different workplaces and context. This means that the competency is transferable and is a fundamental element of competency-based training and assessment.

Principles of assessment

In the delivery of assessment services, Australian Sovereign College applies the principles of assessment. Assessment strategies have been designed to ensure:

- **Validity.** We conduct assessment against the broad range of skills and knowledge identified within each unit of competency and which is integrated with the performance of workplace tasks.

We ensure that the assessment is transferable to different context and situations and all components of the unit of competency are being assessed.

- **Reliability.** We seek to gather and interpret evidence in a consistent manner that provides for reliable assessment both for the candidate and for assessors. We achieve this by using assessors who have the required competencies in assessment and the relevant vocational competencies. Our assessment resources also provide for standardised outcomes supported by model answers to guide assessors in their judgements. Reliability is also supported by the moderation of assessment judgements across our assessors.
- **Flexibility.** We strive to provide assessment opportunities that reflect a candidate's needs. Our chosen assessment strategies provide for recognition of a candidate's current competency, employ a range of methods appropriate to the context of the industry, the unit of competency and the candidate themselves.
- **Fairness.** Our assessment approach encourages fairness in assessment through consideration of the candidate's needs and characteristics and through making reasonable adjustments when it is required. Assessors achieve this through clear communication with a candidate to ensure that the candidate is fully informed about, understands and can participate in, the assessment process, and agrees that the process is appropriate.

Collecting evidence that counts – the rules of evidence

In collecting evidence, Australian Sovereign College applies the rules of evidence to inform the assessment strategy. Assessment strategies have been designed to ensure:

- **Sufficiency.** We ensure the collection of valid assessment evidence in such quantity to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly. The collection of sufficient assessment evidence will be supported by using a range of assessment methods which lead to the collection of evidence over time based on a range of performances.
- **Validity.** We collect evidence that directly aligns with the components documented within each unit of competency. The collected assessment evidence must replicate the outputs of the task as though it were being performed within an actual workplace. This may include the observation of the candidate performing the tasks relevant to the unit of competency or the collection of a completed workplace products. Assessment evidence that is purely academic in nature should be given a lesser priority to the collection of evidence that relates directly to the candidate performing the tasks indicative to the unit of competency.
- **Authenticity.** We seek evidence that is authentic. To support this, assessors must be assured that the evidence presented for assessment is the candidate's own work. Where documentary evidence is relied on it must be certified or supported by two other forms of evidence which

demonstrate the same skill or knowledge. In all instances, where work is submitted external to Australian Sovereign College (i.e.; electronically, distance assignments, online) this is to include a signed authenticity statement by the candidate that they certify the work as their own.

- **Currency.** We must be satisfied that the candidate currently holds the skills and knowledge relating to a unit of competency. Assessment evidence is to be based on the candidate's performance either at the time of the assessment decision or in the very recent past. Questions of evidence currency will mostly relate to recognition of prior learning applications where a candidate has been in the workplace for many years and is seeking recognition of skills and knowledge obtained through workplace experience or previous training. In all situations, assessors must validate the currency of a candidate's knowledge and skills.

Employers and other parties contributing to assessment evidence.

Where industry representatives are engaged to contribute toward assessment evidence, Australian Sovereign College will use a standard approach to collect this evidence. We place a high value on the assessment evidence that is gathered by supervisors or employers in the workplace. This evidence is usually very current and valid and contributes to the assessment decisions made by a qualified assessor. We do not however advocate the use of industry evidence (also referred to as third party evidence) as a substitute for the gathering of direct evidence by an assessor. In all areas of our operation, industry evidence is only to be used to complement and support the evidence being gathered by an assessor and is **not** to be used as primary evidence.

During the development of assessment tools, assessors are to ensure that the observation criteria used in industry evidence reports is wholly task orientated. These observation criteria should reflect the tasks that the supervisor would expect to issue to an employee and monitor during normal workplace duties. The industry evidence report is not to contain assessment criteria drawn from a unit of competency as these assessment criteria are suitable only for trained and qualified assessors to interpret.

It is also not desirable to collect industry evidence simply by providing a document to be completed. This leads to the collection of insufficient evidence and is an annoyance to industry. Where possible assessors are to engage with industry representatives directly and collect evidence about a candidate's performance through discussion with supervisors. This discussion will be based on observable workplace tasks and evidence is to be recorded by the assessor. These discussions may be undertaken face-to-face or over the phone. The assessor must record the industry representative's details, contact information and the date/time of the engagement.

Engagement with industry

Australian Sovereign College is well placed to leverage off its Industry Advisory Committee and through this, a range of employers and industry associations to incorporate industry requirements into the assessment process. Consultation with enterprises or industry will provide information

about assessment requirements relevant to workplaces. Regulatory requirements that relate to specific units of competency will be incorporated to ensure our learners are well prepared for their workplace duties. Further information on industry engagement can be found in the Industry Engagement Policy.

Recognition of prior learning

Australian Sovereign College will provide all learners the opportunity to seek recognition of their prior learning. Recognition is viewed simply as another method of assessment and therefore is conducted in accordance with this policy. Further information can be found in this manual in the sections on Recognition.

Credit transfer (Credit transfer)

Australian Sovereign College will recognise and award credit transfer for candidates presenting with current competence. Where a candidate is seeking credit transfer for a unit of competency that is on our scope of registration and the candidate can provide documentary evidence that the unit has been previously awarded to the candidate, credit transfer will be awarded. It is important to note that credit transfer is not an assessment. It is an administrative function that determines the equivalence of a unit of competency the candidate has been previously awarded to units of competency incorporated into courses being delivered by Australian Sovereign College. If the unit is the same or is equivalent, then the unit may be issued as a credit transfer. This is not to be confused with the recognition of prior learning which is a method of assessment. Please refer to the Credit transfer policy for further guidance.

Competence of assessors

In accordance with the Standards for Registered Training Organisations, assessors are required to hold the minimum competencies for training assessment and the vocational competencies at least to the level being assessed. Australian Sovereign College has appropriate systems in place to ensure that all staff members are appropriately qualified to meet our requirement under the Standards for Registered Training Organisations. Further information can be found in this manual within the Trainer Competency Requirements policy.

Where an assessor does not hold the required training and assessment competence, but is a recognised industry expert, we will put appropriate supervision arrangements in place to support the gathering of valid evidence. Further guidance on supporting these assessors can be found in this manual in the policy on Assessment Partnerships.

Assessment validation

Assessment validation is the process where assessors compare and evaluate their assessment methods, assessment procedures and assessment decisions. Australian Sovereign College will facilitate regular assessment validation opportunities to maintain a quality assessment and to

continuously improve assessment strategies. Further information can be found in this manual in the policy on Assessment Validation.

Assessment tools

Assessment tools are the media (electronic or hard copy) used to gather evidence about a candidate's competence. We have developed assessment tools which support the assessment of applicable units of competency in accordance with the requirements of industry Training Packages. It is important for Australian Sovereign College staff members to acknowledge that these are generic tools which provide us with a starting point for the development of other supporting tools which will reflect the needs of our clients or target industry group. Australian Sovereign College staff members must be satisfied that tools developed for assessment fit with the requirements of the target industry and enterprise requirements. Some units of competency are associated with licensing requirements and whilst this is not always stipulated in the unit of competency, we will need to be informed of the additional requirements this imposes during assessment.

The following are examples of assessment tools which may be incorporated into an assessment strategy to meet the Training Package and industry requirements, the rules of evidence and the principles of assessment:

- Direct observation checklist;
- Simulation exercises or role-plays;
- Project outlines and explanation sheets;
- Workplace templates;
- Written questionnaires;
- Verbal questionnaires;
- Portfolios, for example collections of work samples by the candidate;
- Product with supporting documentation or journal/logbook;
- Workplace samples/products; and
- Industry/workplace evidence reports.

This list of assessment tools identifies only a small number of assessment tools which are in use. These are however the more common tools and support holistic assessment methods favoured by Australian Sovereign College.

Completed assessment tools are to be retained within the student record in accordance with the Records Retention and Management policy.

Assessment information

Assessment information is the information provided to both candidates and assessors to guide their conduct of the assessment and the completion of assessment activities. This information is used to draw out a response from a candidate.

Examples of assessment information include:

- Instructions to set the framework for the activity such as who, what, where, when and how. The expected outcomes of the assessment should be included in these instructions and it is critical that they are straight forward and in line with the candidate's preparation during learning or through other competency development pathways.
- Scenario information includes information that sets the context for a simulated assessment activity. This may be a simple case study or a deep scenario which requires analysis and interpretation. It is important to note that the higher the AQF qualification level, the greater the requirement to analyse and apply cognitive skills to produce workplace outcomes. Scenario information used to support assessment at a Diploma level, for example, should be relatively deep and complex to allow the candidate to exercise their analytical skills and produce viable workplace products and outcomes.
- Industry information includes items such as codes of practice, policies and procedures, legislation and regulations. Whilst this may not be provided in hard copy to every candidate, they should be provided contacts, web sites or hyperlinks to access this information. Electronic copies of industry information are also acceptable.

At Australian Sovereign College our assessment activities are to be supported by clear assessment information that will ensure a reliable assessment across our operation. Ultimately, the quality of assessment outcomes produced by a candidate will be directly affected by the quality of the information provided at the commencement of the activity. Australian Sovereign College staff are to prepare suitable assessment information for all assessment activities and are to gain approval from Australian Sovereign College Chief Executive Officer for the use of assessment resources.

Re-assessment

Learners who are assessed as not yet competent are to be provided with detailed verbal and written feedback to assist them to identify the gaps in their knowledge and skills to be addressed through further training. These learners are to be provided with additional training and learning support to target their specific gaps in knowledge and/or skills and prepare them for additional assessment.

It is the policy of Australian Sovereign College to provide **three** opportunities for additional training and re-assessment at no additional cost to the student or employer. Learners who require additional training and re-assessment after they have exhausted their three opportunities will be required to pay a fee for additional training and re-assessment. Please refer to the current fee schedule to identify the re-assessment fee.

Learners requiring additional learning support are to be brought to the attention of Australian Sovereign College management, so the progress of the student can be monitored closely, and additional support services can be applied well before it becomes necessary to impose an additional fee for re-assessment. Where learners repeatedly do not demonstrate competence following significant learning and assessment support, a learner's enrolment can be determined through mutual agreement.

Assessment Procedure

The following procedure is to be applied for conducting assessments:

- **Step 1: Prepare for assessment.** The assessor is to:
 - Establish the context and purpose of the evidence to be collected;
 - Identify and analyse the units of competency, Training Package and Australian Sovereign College assessment strategy to identify the evidence requirements; and
 - Review the assessment tools and confirm their currency and adequacy in meeting the rules of evidence.

- **Step 2: Prepare the candidate.** The assessor meets with the candidate to:
 - Explain the context and purpose of the assessment and the assessment process;
 - Explain the units of competency to be assessed and the evidence to be collected;
 - Outline the assessment procedure and the preparation the candidate should undertake, and answer any questions;
 - Assess the needs of the candidate and, where applicable, negotiate reasonable adjustment for assessing people with disabilities without compromising the competency outcomes;
 - Seek feedback regarding the candidate's understanding of the units of competency, evidence requirements and assessment process; and
 - Determine if the candidate is ready for assessment and, in consultation with the candidate, decide on the time and place of the assessment.

- **Step 3: Plan and prepare the evidence-gathering process.** The assessor must:
 - Establish a plan for gathering sufficient quality evidence about the learner's consistent performance to make the assessment decision;
 - Source or develop assessment materials to assist the evidence-gathering process;
 - Organise equipment or resources required to support the evidence-gathering process; and
 - Coordinate and brief other personnel involved in the evidence-gathering process.
- **Step 4: Collect the evidence and make the assessment decision.** The assessor must:
 - Establish and oversee the evidence-gathering process to ensure its validity, reliability, fairness and flexibility;
 - Collect appropriate evidence and match compatibility to the elements, performance criteria, range statement and evidence guide in the relevant units of competency;
 - Evaluate evidence in terms of the four dimensions of competency - task skills, task management skills, contingency management skills and job/role environment skills;
 - Incorporate allowable adjustments to the assessment procedure without compromising the integrity of the competencies;
 - Evaluate the evidence in terms of validity, consistency, currency, authenticity and sufficiency;
 - Consult and work with other staff, assessment panel members or technical experts involved in the assessment process;
 - Record details of evidence collected; and
 - Make a judgement about the candidate's competence based on the evidence and the relevant unit(s) of competency.
- **Step 5: Provide feedback on the assessment.** The assessor must provide advice to the student about the outcomes of the assessment process. This includes providing the candidate with:
 - Clear and constructive feedback on the assessment decision;
 - Information on ways of overcoming any identified gaps in competency revealed by the assessment;
 - The opportunity to discuss the assessment process and outcome; and



- Information on reassessment and the appeals process if applicable.

Step 6: Record and report the result. The assessor must:

- Record the assessment outcome according to the policies and procedures of Australian Sovereign College;
 - Maintain records of the assessment procedure, evidence collected and the outcome according to the policies and procedures of Australian Sovereign College;
 - Maintain the confidentiality of the assessment outcome; and
 - Organise the issuance of statements of attainment according to the policies and procedures of Australian Sovereign College.
- **Step 7: Review the assessment process.** On completion of the assessment process, the assessor must:
- Review the assessment process;
 - Report on the positive and negative features of the assessment to those responsible for the assessment procedures; and
 - If necessary, suggest to appropriate Australian Sovereign College personnel, ways of improving the assessment procedures through raising a Continuous Improvement Report or by providing input to the next scheduled assessment validation.
- **Step 8: Participate in the reassessment and appeals process.** The assessor must:
- Provide feedback and counselling to the candidate, if required, regarding the assessment outcome or process, including guidance on further options;
 - Provide the candidate with information on the reassessment and appeals process;
 - Report any assessment decision that is disputed by the candidate to appropriate Australian Sovereign College personnel; and
 - Participate in the reassessment or appeal according to the policies and procedures of Australian Sovereign College.

Plagiarism, Cheating and Academic Misconduct Policy

In Australian education, cheating and plagiarism are considered to be the same as theft. Copying another student's work is not acceptable under any circumstances.

Australian Sovereign College is committed to upholding standards of student integrity and honesty in regards to the assessment of their work, and places value in the declarations of authenticity made by students.

- Cheating – means seeking to obtain an unfair advantage in the assessment of any piece of work e.g. by copying, falsifying identity or employing another person to undertake assessments on own behalf
- Plagiarism – means to take and use the ideas and/or expressions and/or wording of another person or organisation and pass them off as one's own by failing to give appropriate acknowledgement. This includes material from any sources such as staff, students, texts, resources and the internet, whether published or unpublished. It includes documents, designs, images, photographs and computer codes and may be in print and/or electronic media.
- Academic Misconduct - means falsifying or misrepresenting information, forging or falsifying documents or using another student's work and submitting it as your own.

Student plagiarism and cheating in any form are unacceptable and will be treated seriously by Australian Sovereign College. When students are writing the answer to questions or a project or any other assessment item, they must write in their own words. If they look up resource material to help them find the answers, they must correctly cite their work, using the Harvard referencing system. Normally, students are required to work independently and only in groups as required by the Assessment Instructions.

Students must not copy the work of other students. Students submitting the same work will be penalised by having those submissions automatically fail. Also, students must not, for any reason, purchase or use assignments that they have found on the internet, such as from 'course hero', or 'homework market'. If they do this, it will be considered as cheating and the student will be penalised accordingly.

When you use sources such as a book or website, you must reference the source in your work as follows:

- Write the name of the resource in brackets after you quote or paraphrase (summarise) information you have used. For example:

(Student Learning Guide, p6),

OR

(Wikipedia: https://en.wikipedia.org/wiki/Maslow%27s_hierarchy_of_needs)

OR



(The Very Well Mind: <https://www.verywellmind.com/what-is-maslows-hierarchy-of-needs-4136760> P1)

OR

(Bloggs B. 2018, p50)

- Write a list at the end of the assignment or questions with the list of the resources you have used, including the names, author (if known) and date of publication, or website, headed 'References'.
- Students are permitted to copy and paste a small section of something that they have found that helps them to answer the question, however they must put it in inverted commas and follow it with the name of the source, or the website in brackets. For example:

“Maslow's hierarchy of needs is a motivational theory in psychology comprising a five-tier model of human needs, often depicted as hierarchical levels within a pyramid.

Needs lower down in the hierarchy must be satisfied before individuals can attend to needs higher up. From the bottom of the hierarchy upwards, the needs are physiological, safety, love and belonging, esteem and self-actualization.”

(<https://www.simplypsychology.org/maslow.html>)

Trainers will check students work to detect for any cheating and plagiarism:

- You must check students' work and be aware of potential plagiarism or copying e.g. compare it to other work the same student has submitted, or to other students' work.
- If it appears that it may be plagiarised, use the college provided software program to check.
- You must also do a random check of students' typed assignment work at the end of the unit.

Responding to cheating or plagiarism (for trainers and admin staff):

- If you suspect a student of cheating, or have found them to be plagiarising, you must give them an opportunity to respond to allegations. Do not speak to them about it in front of others. Ask them to attend an interview with you and ask them to explain their work and how they found the information.
- If students are found to plagiarise, you must first explain to them what they have done and how to correctly reference their work. You must then ask them to re-submit the work.
- Withhold student results until it has been re-submitted. You may ask them to submit a gap assessment task or give them an oral test to assess a written question.
- Write clear notes in the student file and on Student Database about your communication with the student in relation to cheating and plagiarism.



- If students are found to have plagiarised on more than one occasion, you need to speak with the Academic Manager who will meet with the student and may issue them with a Warning Letter.
- If students have plagiarised following a warning letter or are guilty of other forms of academic misconduct, they may have their enrolment cancelled. You must report them to the Principal Executive Officer.

Preventing cheating or plagiarism:

- Ensure that you explain to students at the beginning of each course, the importance of referencing their sources of information. If necessary, give them a reminder on how to do this correctly.
- Ensure that student results sheets are dated and signed.
- Ensure that students have signed the Assessment Cover sheet when submitting written assignments, including the Declaration.

In many cultures, plagiarism is not regarded as seriously as in Australia. Students may not understand what plagiarism is or not know how to correctly reference sources. Also, many students feel desperate and will go to the first available source of information to help with their assessments. You must ensure that all your students are aware of Australian Sovereign College's policy and procedures on plagiarism and cheating and assist them correctly to cite their sources of information.



Assessment Process

