

P20- Conduct of Assessment Policy and Procedure

1.0 Purpose

This policy applies to all assessable programs/modules/units within Baxter Institute training and assessment activities.

Assessment is central to the vision, mission, culture, activities, practices and future development of a learners competence. The purpose of this policy is to:

- a. Identify and describe Baxter Institute approach to assessment;
- b. Articulate Baxter Institute commitment to creating effective and meaningful assessment opportunities and experiences that enhance learning and teaching;
- c. Support and enhance the Learning and Training Policy
- d. Encourage Baxter Institute assessors, trainers, and stakeholders to reflect on contemporary assessment practices to better meet the diverse needs of the broad range of learners now and in the future; and
- e. Provide a clear framework for making design decisions in relation to assessment across Baxter Institute.
- f. Assessment complies with the assessment requirements of the relevant training package or VET accredited programs.
- g. Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2 of the 2015 Standards for RTOs.

2.0 Responsibility

- 2.1 The Director of Studies is responsible for the implementation of this policy and procedure.
- 2.2 The compliance manager is responsible for the maintenance of assessment tools and instruments, and the conduct of assessment by assessors.

3.0 Definitions

Assessment	Means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard expected in the workplace, as expressed by the relevant endorsed industry/enterprise competency standards of a Training Package or by the learning outcomes of a VET accredited program.
Assessment appeal	Assessment candidates have the right to appeal their result of 'Not Yet Satisfactory' or 'Not Yet Competent' received for an assessment or for the feedback provided by their assessor. If the learner is dissatisfied with the appeals decision, they may follow the Academic Grievance, Complaints and Appeals Policy and Procedure.
Assessment Invigilator	An assessment invigilator is the person in the examination room responsible for conducting a particular examination session in the presence of the candidates. Invigilators have a key role in upholding the integrity of the external examination/assessment process, and ensure the "Principles of Assessment" are maintained during the assessment.

Assessment tool	<p>An assessment tool is made up of the following components:</p> <ul style="list-style-type: none"> • the context and conditions for the assessment; • the tasks to be administered to the student; • the candidates rights when undertaking assessment e.g. reasonable adjustments, assessment complaint and appeal; • an outline of the evidence to be gathered from the student; • the evidence criteria used to judge the quality of performance; • the administration, recording and reporting requirements.
Assessment instrument	<p>The documents used to collect and record the required evidence from a candidate to demonstrate competence of the required skills and knowledge of a Training Package. examples of assessment instruments are:</p> <ul style="list-style-type: none"> • Knowledge questionnaires • Practical demonstration check lists • Workplace Third party evidence supporting the candidates application of the required skills and knowledge.
Assessment candidate	<p>A learner that is ready to undertake assessment to demonstrate their knowledge and skill to be deemed competent in accordance with the relevant Training Package.</p>
Assessment Feedback	<p>Feedback is an important part of the assessment process. The main objective of feedback is to inform a learner/candidate how their mark or grade was derived. Identify and reward specific qualities in learner/candidates assessment outcome. guide a learner on what steps to take to improve their knowledge and skills.</p>
Assessment judgement	<p>The exercise of a decision by an assessor to evaluate whether the evidence provided meets the Principles of Assessment and Rules of Evidence, the requirements of a Training Package and whether the candidate is Competent (C) or Not Yet Competent (NYC) based on the evaluated evidence.</p>
Assessment requirements	<p>The endorsed component of a Training Package that underpins assessment and that sets out the performance evidence, knowledge evidence and assessment conditions required to show competence.</p>
Assessment System	<p>Is a coordinated set of documented policies and procedures (including assessment materials, tools and instruments) that ensure assessments are consistent and are based on the Principles of Assessment and the Rules of Evidence.</p>
Competence	<p>Means the consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.</p>
Learning Programme	<p>A learning programme leading to the granting of a statement of attainment or qualification.</p>
Learner/ Student	<p>Means an individual who is receiving, responding to and processing information in order to acquire and develop competence. This incorporates the processes of preparing and presenting for assessment</p>

Learning	Means the process followed by a learner. There are three types: a) Formal learning refers to learning that takes place through a structured program of instruction and is linked to the attainment of a formal qualification or award (for example, a certificate, diploma or university degree); b) Non-formal learning refers to learning that takes place through a structured program of instructions, but does not lead to the attainment of a formal qualification or award (for example, in-house professional development programs conducted by a business); and c) Informal learning refers to learning that results through experience of work-related, social, family, hobby or leisure activities (for example the acquisition of interpersonal skills developed through several years as a sales representative).
Reassessment	The process of reassessing a candidate/learner when they fail to meet the Training Package required assessment outcomes. When a candidate still deemed Not Yet Satisfactory (NYS) or Not Yet Competent (NYC) after their first assessment, they have the right to be re-assessed. To qualify for re-assessment, the candidate must have completed and submitted the required assessments for the unit of competency as per the unit assessment schedule.
RPL	Recognition of prior learning is an assessment process that involves assessment of an individual's relevant prior learning (including formal, informal and non-formal learning) to determine the credit outcomes of an individual application for credit.
RTO	Registered Training Organisation
Training and assessment strategy	Means a framework that guides the learning requirements and the teaching, training and assessment arrangements of a VET qualification. It is the document that outlines the macro-level requirements of the learning and assessment process.
Training Package	Means a nationally endorsed, integrated set of competency standards, assessment requirements, Australian Qualifications Framework qualifications, and credit arrangements for a specific industry, industry sector or enterprise.
Units of competency	Mean the specification of industry knowledge and skill and the application of that knowledge and skill to the standard of performance expected in the workplace.
VET	Vocational Education Training

4.0 Assessment Policy Statement

- 4.1 Baxter Institute uses a range of assessment methodologies to ensure learners have a positive experience and successful outcomes whilst undertaking their competency-based training and assessment, as well as allowing them to maximise learning opportunities in all programmes.
- 4.2 The scope of this policy includes:
- Formative assessments of learning outcome assessments for curriculum based programmes
 - Summative final assessment practices for certification and qualifications for all accredited programmes on the scope of registration.

- 4.3 The assessment of a learners assessment task/s is conducted in accordance with the Training Package requirements. Assessment task/s will vary from competency to competency but again will always reflect the Training Package assessment requirements.
- 4.4 A candidate/learner is deemed to have successfully achieved a Unit of Competency when they have demonstrated competence in all the assessment requirements for the Unit of Competency and the candidate/learner of their assessment outcome.
- 4.5 Candidates will only be assessed against Units of Competency that they have commenced and have progressed in.
- 4.6 Assessments occur in a variety of forms:
 - Questioning including oral and written assessments
 - Demonstration of structured assessment activities in simulated or real workplace settings
 - Observation of Structured assessment activities in simulated or real workplace settings
 - Portfolio of evidence gathering over time
- 4.7 All assessors are instructed in writing about the general assessment as well as individual assessment tasks within the assessor's assessment tool. All assesses are given clear and prescribed information regarding the assessment conditions and standards the candidate is to achieve. No candidate/learner is required to be assessed unless they feel ready to undertake the assessment.
- 4.8 All assessors communicate with candidate/learners orally or in writing, giving feedback related to their assessments, this is a two way process between the candidate/learner and the assessor.
- 4.9 Assessment should support learner engagement in learning and the creation of supportive learning communities. It should also provide learners with recognition of their achievements against specified criteria.
- 4.10 Baxter Institute is committed to assessment that incorporates a feedback process. Units, modules or programmes assessment procedures and practices, must:
- 4.11 Be valid, fair, flexible and reliable, incorporating clearly defined assessment criteria and acknowledge cultural diversity, as outlined in Table 1.8-1 Principles of Assessment, Standard 1:

5.0 Principles of Assessment

- 5.1 A set of four (4) guiding principles to be applied before and during the conduct of assessment. The Principles of Assessment ensure that the assessors decision/judgment will meet the assessment requirements of the relevant Training Package.

Table 1.8-1: Principles of Assessment

Fairness	<p>The individual learner’s needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner’s needs.</p> <p>The RTO informs the learner about the assessment process and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</p>
Flexibility	<p>Assessment is flexible to the individual candidate/learner by:</p> <ul style="list-style-type: none"> • reflecting the candidate/learner needs; • assessing competencies held by the candidate/learner no matter how or where they have been acquired; and • drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the candidate/learner
Validity	<p>Any assessment decision of the assessor is justified, based on the evidence of performance of the individual candidate/learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"> • assessment against the Unit/s of Competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance; • assessment of knowledge and skills is integrated with their practical application; • assessment to be based on evidence that demonstrates that a candidate/learner could demonstrate these skills and knowledge in other similar situations; and • judgement of competence is based on evidence of candidate/learner performance that is aligned to the Unit/s of Competency and associated assessment requirements.
Reliability	<p>Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.</p>

- 5.2 Respect, recognise and develop a learners' current knowledge and experiences and provide appropriate opportunities for the formal recognition of prior learning;
- 5.3 Encourage the use of a range of assessment practices or modes designed to accommodate the diversity of learners and allows them to develop learning styles and demonstrate their achievement as learners;
- 5.4 Promote integrity in assessment to ensure, as far as possible, that candidate/learners receive proper credit for assessable work which is their own;
- 5.5 Incorporate feedback that supports a learner’s learning and is prompt, informative and where appropriate provided throughout, not just at the end of, the learning process;
- 5.6 Be moderated or validated to ensure appropriateness to the unit/module and level of difficulty.

- 5.7 Rules of Evidence
- 5.8 A set of four (4) rules that an assessor applies when making an assessment decision/judgement on the evidence collected to support the candidates assessment of their knowledge and skills to be deemed competent in accordance with the relevant Training Package requirements.
- 5.9 Assessment evidence collection must ensure that the Rules of Evidence as outlined in Table 1.8-2 of Standard 1 are satisfied:

Table 1.8-2: Rules of Evidence

Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or Unit of Competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a decision/judgement to be made of a learner's competence.
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.
Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past. No longer than five (5) years for most industries as recent as one (1) year for high risk industries.

References

- Australian Qualification Framework (AQF) and its Policies
- Standards for Registered Training Organisations (RTOs) 2015
- ASQA General directions
- Education Services for Overseas Students Act 2000
- Education Services for Overseas Students Regulations 2001
- National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Student 2007
- VET Funding Contract Victorian Training Guarantee Program

6.0 Assessment Procedure

- 6.1 This procedure is applied to all courses/programmes offered by Baxter Institute, irrespective of delivery mode or location. This includes courses/programmes delivered and assessed by any potential future third party providers for and on behalf of Baxter Institute.

Management Role in the Assessment Process

STEPS		WHO IS RESPONSIBLE?
1	Establish training and assessment strategies	<ul style="list-style-type: none"> • Director of Studies • Compliance Manager • Head Assessor
2	Ensure appropriately qualified assessors are allocated to units	<ul style="list-style-type: none"> • Compliance Manager • Head assessor

STEPS		WHO IS RESPONSIBLE?
3	Provide information and training on assessment system to assessors	<ul style="list-style-type: none"> • Compliance Manager • Head assessor
4	Manage the review and retention of master copies of assessment tools	<ul style="list-style-type: none"> • Compliance Manager • Compliance team
5	Undertake industry consultation	<ul style="list-style-type: none"> • Director of Studies • Compliance Manager
6	Manage a department validation schedule	<ul style="list-style-type: none"> • Director of Studies • Compliance Manager
8	Allocate RPL applications to appropriately qualified assessors	<ul style="list-style-type: none"> • Head assessor

Assessor Role in the Assessment Process

6.2 It is a regulatory requirement that for each unit or cluster of units, assessors shall complete the following to demonstrate the practice of the assessment system:

STEPS		WHO IS RESPONSIBLE?
1	Determine assessment process	<ul style="list-style-type: none"> • Director of Studies • Compliance Manager • Head Assessor
2	Develop an assessment tool and tasks	<ul style="list-style-type: none"> • Director of Studies • Compliance Manager • Head Assessor
3	Have a sound understanding of external regulatory requirements effecting all assessments and assessment methods.	<ul style="list-style-type: none"> • Compliance Manager • Head Assessor • Assessor
4	Conduct and assess assessment tasks	Assessor
5	Assess RPL applications (as required)	Assessor
6	Assess assessment tools/instruments	Assessor
7	Record assessment decisions within the Assessment tool	Assessor
8	Submit assessment outcome for processing into SMS	Assessor provides assessment outcome to student admin to enter into SMS
9	Provide feedback to Students	Assessor

STEPS		WHO IS RESPONSIBLE?
10	Participate in annual or as required validation and moderation activities as determined by the validation schedule	<ul style="list-style-type: none"> • Director of Studies • Compliance Manager • Head Assessor • assessors • industry experts
11	Participate in assessment appeals (as required)	<ul style="list-style-type: none"> • Director of Studies • Compliance Manager • Head Assessor • assessors
12	Retain master copies of assessment tools	<ul style="list-style-type: none"> • Compliance Manager • Compliance team
13	Retain samples of assessed work (as required)	<ul style="list-style-type: none"> • Compliance Manager • Compliance team • Student administration

Candidates Role in the Assessment Process

6.3 The candidate is to follow the steps below to demonstrate the practice of the assessment system:

STEPS		WHO IS RESPONSIBLE?
1	Determine candidate is ready to undertake assessment.	<ul style="list-style-type: none"> • candidate/learner • trainer
2	Book in for assessment	<ul style="list-style-type: none"> • candidate/learner • trainer supports/endorse candidates application to undertake the assessment • Student support admin confirms assessment day and time for candidate to undertake the assessment
3	Conduct/supervise candidates assessment	<ul style="list-style-type: none"> • Assessor • Assessment Invigilator
4	Conduct assessment of candidates assessment evidence	<ul style="list-style-type: none"> • Assessor
5	Record assessment decisions within the Assessment tool	<ul style="list-style-type: none"> • Assessor
6	Provide feedback to candidate on their assessment performance	<ul style="list-style-type: none"> • Assessor

STEPS		WHO IS RESPONSIBLE?
7	Submit assessment results for processing into SMS	<ul style="list-style-type: none"> Assessor provides assessment outcome to student admin to enter into SMS
8	Submit assessment for processing into SMS	<ul style="list-style-type: none"> Assessor provides assessment outcome to student admin to enter into SMS)
9	Participate in assessment appeals (as required)	<ul style="list-style-type: none"> Candidate Director of Studies Compliance Manager Head Assessor assessors
10	Filing of candidates assessment tool and instrument in accordance with regulatory requirements	<ul style="list-style-type: none"> LMS Student support admin
11	Issuing of qualification certificates when learner has successfully completed all of the required assessments	<ul style="list-style-type: none"> Student support admin Compliance Student support advises the responsible compliance officer to issue a Testamur and Statement of Attainment

7.0 Guidelines for Assessor Intervention

Assessor intervention:

Defines the amount (if any) of support to be provided.

Assessor intervention needs to be considered if it is too much support provided to a candidate/learner before or during an assessment, may mean that competency has not been demonstrated independently by the candidate/learner. In instances where safety or WHS issues are paramount, then guidance is included in the assessment tools as what assessors are to do in these instances.

Appropriate support provision:

Health and Safety

Should the assessment process become unsafe to anyone involved in the assessment process, the assessor or any other person **must** immediately stop the assessment. The WHS issue must be resolved if within the scope of the assessor or be reported to a supervisor/manager or WHS representative. The assessment is **NOT** to be continued until the cause of the safety issue has been rectified and it is safe to continue with the conduct of the assessment.

Portfolio:

Clarification of portfolio requirements permitted. Information can be taken from the “Evidence to be submitted” section of the assessment tool.

Observation:

In cases where observations are to be made by an internal team/staff member and are to be unannounced, the candidate needs to be warned that they will be observed over a period of time for purposes of formal assessment against the Unit(s) of Competency.

If the observer is external to the workplace (e.g. teacher or trainer), they will need to ensure that the time and date of the visit to the candidate’s workplace is confirmed and agreed to by the candidate and

the workplace manager. The external observer will need to inform the candidate and their immediate supervisor of their presence on the worksite as soon as possible. At all times, the external observer will need to avoid hindering the activities of the workplace.

Finished Product (a fabricated item made by the candidate)

An assessor can:

1. Provide assistance to a candidate, but the candidate must apply the information/technique to the product themselves.
2. Point out errors, but the candidate must make the corrections themselves. Where a candidate has made an error in their response and they decide to write a new response the candidate must cross out their first response and initial against the change.

Interview

Assessors can:

1. Provide clarification of a question's meaning, but the candidate must answer the question in their own words.
2. Transcribe the verbal responses of the candidate where there are low literacy issues or as part of a competency conversation. The answers must only be those of the candidate and it must be recorded in writing within the assessment document that a verbal response was given or recorded in an audio file.
3. In some instances, units of competency and/or regulatory bodies may not allow for verbal responses to be given, assessors must make themselves aware of these requirements and ensure that they adhere to them on all occasions.

Reasonable adjustment

Reasonable adjustment refers to measures or actions taken to provide a candidate the same educational opportunities as everyone else. To be reasonable, adjustments must be appropriate for that person, must not create undue hardship for an RTO and must be allowable within rules defined by the training package, the "Principles of Assessment", the "Rules of Evidence" or Assessment Requirements.

Engaging in reasonable adjustment activities, such as assisting candidates to identify their learning needs or offering a wide variety of course/programme options and delivery modes, exemplifies good training and assessment practice.

Determining reasonable adjustment

To assist with determining reasonable adjustment the candidates pre-training review should be examined to gain a clearer understanding of the learner's language, literacy and numeracy (LLN) abilities. Any deficiencies identified in the learners LLN must be addressed and strategies implemented to assist the learners learning and competency.

In most situations, the person with the disability will be able to tell trainers and assessor what adjustments they need to be able to study. If necessary, trainers and assessors should also seek advice from relevant Government agencies or support organisations to determine what needs to be done to accommodate an individual's needs.

Dimensions of Competency

Assessments must meet the following Dimensions of Competency:

1. **Task skills:** Performing the task/job to the required standard.

2. **Task management skills (variables):** Able to do more than one thing at a time and managing the tasks correctly.
3. **Contingency management skills:** Responding appropriately to irregularities and breakdowns in routine within a job or workplace.
4. **Job/role environment skills (outcomes):** Able to deal with the responsibilities and expectations of the work environment.

Reasonable adjustment activities could involve:

1. modifying or providing equipment,
2. changing assessment procedures, providing program materials in alternative formats,
3. changing program delivery,
4. modifying communication systems or information provision, or
5. provision of interpreters, readers etc.

The determination of 'reasonableness' requires judgement that must take into account the impact on the organisation and the need to maintain the integrity of the unit of competency.

Where the qualification outcome is specifically related to an 'occupational' outcome, any reasonable adjustment may only be accommodated in the assessment process if the workplace can be similarly 'adjusted' to accommodate the needs of the candidate/learner.

What if changes are too difficult for educators?

The Disability Discrimination Act 1992 does not require changes to be made if they will cause major difficulties or unreasonable costs to a person or organisation. This is called 'unjustifiable hardship'. Before claiming that adjustments are unjustified, RTOs and educators need to consider thoroughly how an adjustment might be made, discuss this directly with the person involved and consult relevant sources for advice.

Re-assessment

Any Student who does not achieve competency on their first attempt of an assessment will be provided feedback by the assessor as to why they failed to meet the required standard.

The assessor will clearly identify the part(s) of the assessment that need to be attempted again. All candidates have the opportunity to be re-assessed three (3) times, without incurring additional cost.

The assessor will negotiate with the candidate a suitable reassessment time and day, the reassessment is **NOT** to be conducted until the candidate has had at least a minimum of one (1) hour and a maximum of thirty six (36) hours to review the areas that they failed to complete satisfactorily for a knowledge assessment.

For a practical assessment the candidate is NOT to be reassessed unless they have had minimum of three (3) hours and a maximum of thirty six (36) hours to review the areas that they failed to complete satisfactorily for the practical assessment.

The feedback will identify if the candidate/learner requires further training to address the area(s) of non-competence and a plan will be implemented to provide the candidate/learner with further training prior to any re-assessment opportunities.

Candidates who feel they have been unfairly assessed can refer to the Complaints and Appeals Policy contained in the Student Information Handbook.

All results are kept in accordance with the guidelines set down by the ASQA and relevant authority bodies. Students are notified of assessment outcome at the end of each unit of competency and Certificates or Statements of Attainment are issued on completion of each program.

8.0 Non-Attendance of Assessment

- 8.1 Not attending an assessment will be counted as one assessment attempt for each occurrence of non-attendance unless:
 - the candidate can provide a certificate from a registered medical practitioner indicating that the student was medically unable to attend the assessment; or
 - the candidate can provide independent evidence of exceptional compassionate circumstances beyond the students control, such as serious illness or death of a close family member to explain the non-attendance at the assessment
- 8.2 Plagiarism and Cheating
- 8.3 Candidate/learners found to have cheated or plagiarized work will lose the right to be reassessed and will be deemed Not Yet Competent as the outcome for the assessment.
- 8.4 The candidate/learner will be required to repeat the programme module/unit and pay the appropriate repeat fee.

9.0 Assessors' roles and professional development for conducting assessment

- 9.1 The role of an assessor is to objectively assess and judge a candidate's evidence against a set of standards or benchmarks. In order to do this effectively, an assessor must have a sound knowledge of, and be skilled in, the relevant industry area. In addition, the assessor must have acknowledged competency in assessment itself and hold an appropriate training and assessment qualification or equivalent.
 - a. Interpret and understand the criteria;
 - b. Ensure that evidence meets the standards for the relevant training package;
 - c. Ensure that evidence is valid, authentic, reliable, consistent, current and sufficient; and
 - d. Use expertise to make fair and objective judgments.
- 9.2 The training and ongoing professional development of assessors may include such areas as:
 - a. Roles, responsibilities and ethics;
 - b. Procedural and administrative duties;
 - c. Performance and knowledge evidence gathering and presentation;
 - d. Interpretation and usage of standards for a training package;
 - e. Selecting and using appropriate methods of assessment; and
 - f. Requirements regarding processing and recording of results, progress and feedback.
- 9.3 It is crucial that assessors always understand and practice fair, objective, unbiased and flexible assessment processes.

10.0 Methods of collecting assessment evidence

- 10.1 All knowledge assessments will be initially undertaken by the candidate via Baxter Institute Learning Management System (LMS). The assessment tool and the relevant knowledge assessment instrument will be available on the LMS. The assessment instrument is capable of being generated with a random answer sequence when multiple choice questions are used in the knowledge assessment instrument, this reduces the opportunity of cheating during an assessment as each candidates assessment instrument will have the correct response randomised on their assessment instrument when they log in to their LMS account.
- 10.2 The randomising of the answers ensures the “Rules of Evidence” are met for validity, and authenticity.
- 10.3 The only paper-based knowledge assessment tool and instrument/s to be used is when the candidate is to be reassessed.
- 10.4 There are two types of assessment evidence that can be collected from a candidate to demonstrate competence, these are direct and indirect methods of assessment.

Direct:

- 10.5 A direct method which is based on a sample of actual learners work, including reports, exams, demonstrations, performances, and completed works, requires learners to produce work so that assessors can assess how well students meet the required standard or benchmark/s.
- 10.6 The strength of direct measurement is that assessors are capturing a sample of what a learner can do, which can be very strong evidence of the inculcation of learning.
- 10.7 A possible weakness of direct measurement is that not everything can be demonstrated in a direct way, such as values, perceptions, feelings, and attitudes.

Indirect:

- 10.8 An indirect method is based upon a report of perceived learning. Indirect measures of assessment provide opportunities for a learner to reflect on their learning and inform the assessor of their perceptions of their learning experience.
- 10.9 The strength of indirect methods is that they could be helpful in interpreting the findings of direct methods, it can also assess certain implicit qualities of the learner’s learning, such as values, feelings, perceptions, and attitudes, from a variety of perspectives.
- 10.10 The weakness of indirect measures is that they are not as useful in identifying specific knowledge and skills deficiencies. Indirect measures are not as strong as direct measures because self-reporting is used very often, and assessors have to make assumptions about what exactly the self-report means. For example, if a learner reports that they have attained a particular learning goal, how does the assessor know that their report is accurate?

11.0 Forms of assessment evidence

- 11.1 Appropriate and valid forms of assessment utilised for both skills and knowledge may include, but are not limited to:
 - a. Direct performance evidence - current or from an acceptable past period (also where RPL is applicable) example a Project; where a project assignment or report from the candidate detailing the outcomes of a project involving research of some type to support their knowledge of the subject is submitted as evidence.
 - b. Simulations, including competency and skills tests, projects, assignments
 - c. Extracted examples within the workplace (where an RPL assessment is applicable); and

- d. Natural observation in the workplace (where an RPL assessment is applicable);
- e. Supplementary evidence, from:
- f. Oral and written questioning;
- g. Personal reports; and
- h. Witness testimony.

12.0 Requirements related to assessment

- 12.1 Baxter Institute ensures that all assessments and assessor comply with this Assessment Policy, including the requirements for nationally endorsed Training Packages or the assessment requirements specified in accredited courses;
- 12.2 When a candidate/learner has successfully met the requirements of a Training Package and the endorsed assessment components they will be issued a Testamur and a Statement of Attainment for the qualification under the AQF.
- 12.3 Baxter Institute staff and assessors will comply with the “Principles of Assessment” defined above including validity, reliability, fairness and flexibility; and the “Rules of Evidence” being sufficiency of evidence collected, validity of the evidence collected, the authenticity of evidence collected and that the evidence collected meets both industry and the Training Package current requirements.
- 12.4 Where an RPL assessment is conducted at the workplace to streamline the assessment, focus on the application of knowledge and skill to the standard of performance required in the workplace and cover all aspects of workplace performance, including task skills, task management skills, contingency management skills and job role environment skills;
- 12.5 Involve the evaluation of sufficient evidence to enable judgements to be made about whether competency has been attained;
- 12.6 Provide for feedback to the applicant about the outcomes of the assessment process and guidance on future options;
- 12.7 Be equitable for all persons, taking account of cultural and linguistic needs; and
- 12.8 Provide for reassessment on appeal in line with the re-assessment policy referred to above.

13.0 Assessment Complaints and Appeals

- 13.1 All candidate/learners have the right to appeal an assessors decision/judgment or the way an assessment is conducted. The candidate/learner is required to follow Baxter Institute’s complaints and appeals process contained in the complaints and appeals policy and procedure document, which is available from either student admin support or Baxter Institute student portal on the web site <https://www.baxter.vic.edu.au/>

14.0 Procedure for assessment tool development

In order to develop an assessment tool that ensures the “Principles of Assessment” and the “Rules of Evidence” are met, the following procedure must be followed:

Stage1: Planning

- 14.1 In planning for assessment, Baxter Institute considers how candidate/learners will be able to:
 - Demonstrate the required knowledge and skills prescribed by the standard and or benchmark/s

- Know the conditions of the assessment, what they need to do to complete the assessment satisfactorily and why and
- Demonstrate that they have the ability to apply the required knowledge and skills in different contexts and environments.

14.2 Baxter Institute will identify:

1. The required performance standards and benchmarks
2. Similar units of competency
3. Workplace activities requiring the sequential use of units of competency (industry consultation, trainer feedback)
4. Workplace activities requiring simultaneous use of Units of Competency (or parts of competencies)
5. Units of competency that build on each other
6. Identify the evidence required
7. Identify assessment evidence collection methods
8. Identify any legislative requirements that may impact on the conduct of the assessment and the candidates assessment evidence.

Stage 2: Design and development

- 14.3 An assessment tool comprises a number of components which ensure assessment is conducted in a manner that ensures the “Principles of Assessment” and the “Rules of Evidence” are met. These components include:
- a. Context and conditions of assessment
 - b. Assessment task/s to be administered to the student
 - c. An outline of evidence to be gathered from the candidate
 - d. Evidence criteria used to make an assessment decision/judgement on the candidate/learners performance
 - e. Content of the assessment instrument to ensure the “Rules of Evidence” are met in accordance with the standard and or benchmark/s
 - f. Administration, recording and reporting requirements

Stage 3: Quality check (Reviewing and trialling assessment tools)

- 14.4 Prior to implementing a new assessment tool and instrument, Baxter Institute conducts several checks (including but not limited to):
- 14.5 Inviting people from the relevant industry to review and confirm that the content of the tool and instrument is valid, relevant, sufficient, current and reliable to the workplace. Industry representatives critique the tool for its clarity, content accuracy, relevance and appropriateness of language for the candidate.
- 14.6 Reviewing the tool with other trainers and assessors, who may not be industry experts but who have current skills and knowledge in assessment—(including competency based training and assessment), can check whether:
- a. the tools will address all assessment requirements of the training package or accredited course
 - b. the level of difficulty is appropriate to the unit or module
 - c. the tools will enable effective collection of evidence

- d. clear instructions are provided which can be easily understood by the assessor and the candidate.
- 14.7 Trialling the tool before it is used by candidates tests the effectiveness of the tool without affecting a candidate. When trialling a tool, select a group of individuals who have similar characteristics to, and levels of ability of the target learner group to ensure that the findings of the trial will help whether the assessment tool and instrument/s will:
- be cost effective to implement and administrate
 - use the preferred assessment evidence collection method effectively
 - be fair
 - be flexible
 - be valid
 - be reliable
 - collect sufficient evidence to demonstrate the required knowledge and skill
 - meet authenticity requirements ensuring the evidence collected is the candidates own work
 - be current with the requirements of the latest version of the Training Package, regulatory/licencing, industry standards and benchmarks.
- 14.8 For all of the steps above, Baxter Institute retains evidence of this process for later reference and continuous improvement.

15.0 Continuous improvement

- 15.1 Continuous improvement of assessment tools, instruments and materials is scheduled on a validation process which is as follows.
- 15.2 Baxter Institute implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on its scope of registration:
- a. when assessment validation will occur;
 - b. which training products will be the focus of the validation;
 - c. who will lead and participate in validation activities; and
 - d. how the outcomes of these activities will be documented and acted upon.

Method of validation:

- 15.3 Each training product is validated at least once every five (5) years, with at least 50% of products validated within the first three (3) years of each five (5) year cycle, taking into account the relative risks of all of the training products on Baxter Institute scope of registration, including those risks identified by the VET Regulator.
- 15.4 Systematic validation of Baxter Institute assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:
- vocational competencies and current industry skills relevant to the assessment being validated;
 - current knowledge and skills in assessment; and
 - the assessment credential specified in Item 2 or Item 5 of Schedule 1 of the **Standards for RTOs 2015**.

- Industry experts may be involved in validation to ensure there is the combination of expertise set out in a) or b) above.

15.5 Validation is a quality review process. It involves checking that the assessment tool, instrument/s and materials will ensure valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the relevant aspects of the training package or accredited course have been met. It includes reviewing and making recommendations for future improvements to the assessment tool, instruments, and resources process and/or outcomes.

16.0 Control and management of assessment tools and instruments

16.1 To ensure that Baxter Institute assessment tools, instruments and materials will always meet the requirements of the “Principles of Assessment and the “Rules of Evidence” Baxter Institute has implemented the following control and management system to reduce, leaner fraud, cheating, and plagiarizing.

Control and management of assessment tools and instruments

STEPS		WHO IS RESPONSIBLE?
1	Repository of assessment tools and instruments soft and hard copies.	<ul style="list-style-type: none"> • Compliance manager • LMS (soft versions only) • IT manager (soft copies only)
2	Responsible for management and control of assessment tools and instruments	<ul style="list-style-type: none"> • Director of Studies • Compliance Manager • LMS manager • Head assessor • assessor • student admin support
3	Responsible for the updating of assessment tools and instruments soft and hard copies.	<ul style="list-style-type: none"> • Director of Studies • Compliance Manager • Head assessor • LMS manager
4	Manage the review and retention of master copies of assessment tools	<ul style="list-style-type: none"> • Compliance Manager • Compliance team
5	Undertake industry consultation	<ul style="list-style-type: none"> • Director of Studies • Compliance Manager
6	Manage a department validation schedule	<ul style="list-style-type: none"> • Director of Studies • Compliance Manager

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