

# HRD - Assessment policy and procedure

## Assessment policy and procedure

### Compliance

#### Standards for RTOs 2015, Standards 1 and 2

### Purpose/explanation

The HRD assessment policy seeks to:

- ensure that all assessments conducted conform to the principles of assessment, in that they are valid, fair, reliable and flexible.
- ensure that assessment instruments meet the requirements of the training package or accredited course.
- gather evidence that is authentic, current and sufficient and which leads to a fair and accurate judgement against industry standards,
- recognise, where appropriate, the prior learning and current competencies of learners.

### Related documents

- *HRD–Cheating and plagiarism policy and procedure*
- *HRD–Learner performance policy*
- *HRD–RPL/RCC policy and procedures*
- *HRD–Training delivery procedure*
- *HRD–Instructions to assessors*
- *About assessment moderation and validation*
- Assessment running sheet
- HRD–Assessment validation and moderation record
- HRD–FCI–Continuous improvement report
- HRD–Certificate IV in Electrical – enrolment unit selection
- HRD–UEE41211 – Unit Evidence Sheets – RPL
- *Instructions to assessors: the HRD Integrated Services assessment process*
- RPL/RCC application form
- Standard learning and assessment strategy (template)

Normal text

### Scope

This policy and procedure applies primarily to the Certificate IV in Electrical – Rail Signalling, and to all HRD assessor personnel and assessment candidates.

The policy is also applied generally to other qualifications, units of competency and courses delivered by HRD Integrated Services.

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### Responsible parties

The Director, HRD Integrated Services and the Training Manager and HRD assessment personnel are responsible for implementing this policy and procedure.

### Definitions

Assessment	Assessment is the process of collecting evidence and making judgements on whether competency has been achieved. Assessment confirms that an individual can perform to the standards expected in the workplace as expressed in relevant endorsed industry training package competency standards.
Assessment tool	Assessment tools allow the collection of evidence that assessors use to make judgements about whether learners have achieved competency. Components of an assessment tool include: <ul style="list-style-type: none"> <li>▪ the context and conditions for the assessment</li> <li>▪ the tasks to be completed by the learner</li> <li>▪ an outline of the evidence to be gathered from the learner</li> <li>▪ the assessment criteria used to judge the quality of performance</li> <li>▪ administration, recording and reporting requirements. (AQTF)</li> </ul>
Assessor qualifications	Assessors must either: <ol style="list-style-type: none"> <li>1. Hold the current TAE Certificate IV in Training and Assessment qualification OR</li> <li>2. Hold the following three competencies from the TAE10 Training and Education Training Package: <ul style="list-style-type: none"> <li>▪ TAEASS401A Plan assessment activities and processes</li> <li>▪ TAEASS402A Assess competence</li> <li>▪ TAEASS403A Participate in assessment validation</li> </ul> AND</li> <li>3. Demonstrate: <ul style="list-style-type: none"> <li>▪ vocational competencies at least to the level being delivered and assessed</li> <li>▪ current industry skills directly relevant to the training and assessment being provided and</li> <li>▪ current knowledge and skills in vocational training and learning that informs their training and assessment.</li> </ul> </li> </ol>
Training and assessment strategy	A training and assessment strategy identifies the proposed target groups, delivery and assessment modes and learning pathways for a training package qualification or accredited course.
Moderation of assessment	Moderation is the process of bringing assessment judgements and standards into alignment to ensure that the same standards are applied to all assessment results within the same units.
Recognition of prior learning (RPL)	Recognition of prior learning is the process of identifying an individual's knowledge and skills gained through previous learning, work or life experience and using it to grant credit or advanced status to training offered by HRD Integrated Services.  Often prior learning can be through means other than formally accredited courses. Only prior learning relevant to competencies to be assessed will be considered for recognition.
Recognition of current competency (RCC)	Recognition of current competency allows a person to demonstrate competency using qualifications or relevant coursework recently completed with another training provider or within their own organisation and that can be verified.

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Safety-critical	Refers to the knowledge and skill required to ensure safe rail operations.
Safety-critical risk	A person who by their words, acts or omissions may lead to a reasonable inference that they represent a risk to safe rail operations.
Validation of assessment	<p>Validation is a quality review process to check that an assessment tool produces valid, reliable, sufficient, current and authentic evidence and so enables reasonable judgements to be made as to whether Training Package or accredited course requirements have been met.</p> <p>Validation includes reviewing and making recommendations for future improvements to the assessment tool, methods, process and/or outcomes.</p> <p>It is a process where assessors collaborate to compare and evaluate the assessment procedure to confirm the quality and consistency of assessment.</p>
WPA	Workplace practical assessment: assessment conducted in the learner's workplace as the final confirmation of competence in a unit of competency.

## POLICY

HRD Integrated Services supports an assessment process that incorporates feedback and is based on explicit, pre-specified, and/or negotiated criteria that fairly and accurately reflect industry standards of performance.

An integral part of industry performance standards is the notion of safety-critical. Assessors and assessment practices take into account that assessment candidates must meet rail safety-critical requirements at all times when performing assessments.

Ongoing internal validation of assessment resources is regarded as integral to the assessment process.

Assessment should:

- encourage the use of different assessment practices or modes that conform to the rules of evidence and principles of assessment
- acknowledge and contribute to learners' current knowledge and experiences
- provide appropriate opportunities for the formal recognition of prior learning
- incorporate feedback that supports learning and is prompt, informative and that is provided throughout the learning process where possible
- be moderated and/or validated as part of an on-going continuous improvement and review process.

Assessment modes, and assessment instruments and resources must be compatible with the authorised HRD Integrated Services learning and assessment strategy and comply with training package or accredited course requirements.

Assessment instruments, tools and resources should be developed as a cooperative process between assessors, and in consultation with industry practitioners.

Assessment resources may only be modified consistent with HRD Integrated Services continuous improvement policy and procedure. Amendments are to be reviewed and validated and agreed to by at least one other HRD assessor.

# PROCEDURE

## 1. Assessment procedure

HRD Integrated Services supports an assessment process that incorporates feedback and is based on explicit, pre-specified, and/or negotiated criteria that fairly and accurately reflect industry standards of performance.

### Assessment process

The steps in the assessment process are:

	Step	Responsibility
1.	Access assessment instrument/tool and/or task(s)	Assessor
2.	Induction	Assessor
3.	Conduct and assess assessment tasks and/or Assess RPL applications (as required)	Assessor
4.	Mark and grade assessments	Assessor
5.	Submit assessment results to training administration staff for recording of results	Assessor
6.	Record results	Training administration staff
7.	Provide feedback to learners	Assessor
8.	File assessment results in learner evidence folder	Training administration staff
9.	Participate in validation and moderation activities (as required and/or determined by the validation and moderation schedule)	Assessor
10.	Participate in assessment appeals (as required)	Director/assessor

### Assessment stages

Assessment towards the **Certificate IV in Electrical – Rail Signalling** (AND other nominated qualifications, units of competency or courses) has three contributing components:

1. Assignment (including written theory and practical components)
2. Written theory test ('exam')
3. Workplace assessment

Information on assessment should be read in conjunction with the *HRD-Learner performance policy*.

### Written assignment

Written assignments are essential preparation for the written theory test. Submission and successful completion of the assignment is a pre-requisite to workplace assessment (WPA).

Written assignments allow for:

- the application and revision of classroom learning
- workplace practical research and application of theory

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- mentoring and support from depot staff and the learner's supervisor
- hands-on maintenance activities in preparation.

### Written theory test

Theory assessments are critical in determining readiness for the next training module and are a pre-requisite for WPA.

1. Theory assessments are a timed and closed book assessment; they must be completed without the use of personal notes, training material, books or conferring with others; electronic devices, including mobile phones, may not be accessed during the assessment.
2. The pass mark for theory tests is 70% and above. A result of 69% or below is considered not satisfactory and requires a re-sit.
  - Re-sits are only required for not satisfactory responses to questions; ie if the learner scores 0–69% for a question, a re-sit for that question is required.
  - Assessment results between 60–69% are eligible for a verbal re-sit.
  - Paper resits will be required where the overall test score was 0%–59%.
  - If the second attempt result is lower than 70%, the candidate may elect to repeat the training, or attempt a different paper with different questions.
  - Second and third attempts will be recorded as a maximum 70% pass only.

### Workplace practical assessment

Workplace practical assessment (WPA) tools are specific to individual partner employers and are effectively 'owned' by that employer.

Therefore, responsibility for maintaining WPA tools rests with the owning employer but in consultation with HRD.

HRD will maintain a library of current version WPA tools on behalf of each employer. This library will be the access point for individual assessors wishing to use WPA tools. Workplace assessors must be given access only to PDF copies of current version assessment tools.

To ensure that accurate version control is maintained, no changes may be made to workplace assessment tools without the express approval of the Director, HRD Integrated Services. Changes will be made only after validation discussions between HRD and the relevant lead assessor.

Version control will apply and track changes should be used to record and monitor changes across versions.

### Preparing for workplace assessment

Refer also to *HRD–Learner performance policy*.

Workplace assessment is the final, critical point in the assessment process where the learner is asked to perform essential skills and apply knowledge to on-the-job activities and competence is confirmed.

1. Candidates are eligible for workplace assessment only when all pre-requisite requirements have been met and when all theory work has been completed, submitted and marked as satisfactory.
2. It is expected that a learner has gained sufficient experience prior to the WPA and will complete all tasks at first attempt.
3. Workplace assessment may be conducted by a HRD assessor or a workplace assessor.

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- a. If the candidate's employer manages the workplace assessment, the employer will make arrangements with the candidate, including for contact with the workplace assessor to discuss the assessment, at least 5 days prior to the day of assessment.
  - b. Where workplace assessment is conducted by a HRD assessor, HRD will contact the candidate to discuss assessment arrangements at least 5 days prior to the intended day of assessment.
4. The assessment process and requirements should be discussed with the candidate in advance of the assessment date.
- a. Candidates may be permitted to view the assessment document under supervision during the 5 day period.  
This includes seeing the range of questions to be asked but not answers.
  - b. In lieu of viewing questions, the assessor or employer may provide the candidate with an indication of the knowledge requirements that questions will address.
  - c. Candidates must be prepared to answer fair and reasonable impromptu questions that ask them to expand on a response. Assessors may ask additional questions on the day of assessment to clarify knowledge or probe a candidate's response or action.  
This reflects the safety-critical nature of the industry and the level of candidate knowledge that, under employment circumstances, is fair and reasonable to assume.

### Conducting workplace practical assessment

5. Workplace practical assessment will reflect the operational environment in a safety-critical industry. Assessment tasks and equipment selected should be consistent with the range of experiences expected of a person with limited experience in rail signalling:
- a. maintenance assessments may be planned ahead and location and equipment identified in advance
  - b. reactive assessment will generally be treated as an unplanned event and the candidate will need to be prepared to fault-find and repair from the range of equipment used in the workplace without prior warning.
6. WPAs may be completed using company-issued procedures and instructions. Learners may also refer to personal notes and training material; however, if the learner is reliant on these notes the assessor may reach a not yet competent (NYC) decision.
7. Assessors must complete and sign **all** assessment documents, and return these to the RTO for recording as evidence of first (or subsequent) attempt.
8. If a learner is assessed NYC the assessor will discuss the performance deficiency with the learner.
9. The learner will undertake a second WPA attempt arranged in consultation with the assessor. If the second attempt is assessed as NYC, the assessor is to complete and submit the assessment documents and report to the RTO.

Learners judged NYC at their second attempt will not be assessed again until agreement is reached with the employer regarding an appropriate course of action.

## 2. Validation and moderation of assessment

In addition to reviewing feedback on assessment via the HRD Integrated Services continuous improvement policy and procedure, opportunities for validation and moderation of assessment instruments and processes are to be provided annually.

However, HRD is the only training.gov.au-listed Victorian RTO delivering the UEE41211 Certificate IV in Electrical – Rail Signalling. One of five RTOs nationally with scope of delivery, HRD can claim evidence of actual, regular and ongoing delivery.

In addition, knowledge and skills required for job roles vary according to equipment type, employer and jurisdictional rules.

Given the above circumstances, HRD looks internally and to the rail signalling sector of rail infrastructure for support in validating assessment and moderating student work.

In the first instance, HRD uses its own continuous improvement process to bring assessment documents and processes under regular review.

### Principles

Validation and moderation of assessment should be underpinned by the following principles:

Transparency	All relevant stakeholders should be made aware of the purpose, process and implications of validation and/or moderation
Representative	A representative sample of assessment tools and judgements is sufficient to validate and moderate assessment practices and decisions so that the focus is on quality of assessment.
Educative	Validation and moderation should be regarded as part of the assessment process.
Equitable	Validation and moderation is to be fair, unbiased and applied equitably.
Tolerable	Validation and moderation should allow HRD Integrated Services to identify and act on variations in the way evidence is gathered and interpreted.
External parties	Good practice requires that validation of assessment should include other parties; for example, industry representatives or trainers from another RTO.

### Industry involvement in validation

Validation and moderation of assessment documents and processes by an employer representative or an industry expert may be invited at any time by HRD or by a client organisation.

Validation and moderation may occur primarily via email and need not involve face-to-face contact between HRD and the assessor/workplace assessor, employer representative or industry expert.

Validation and moderation of workplace assessments and assessment tools will involve the Director, HRD Integrated Services (or a delegate) and a lead assessor of a partner employer. Workplace assessors from the host employer may be involved in HRD-led moderation as required.

### Assessment validation

At the conclusion of a training module, the trainer-assessor is to review the written theory test and the written assignment for that module as part of the continuous improvement process.

- Where potential changes are identified these are to be discussed with at least one other assessor, and agreement reached on the proposed changes.
- Change(s) are to be documented using *HRD-FCI-Continuous improvement report* and a *HRD-Assessment validation and moderation record* form generated to record validation discussion and outcomes.
- Verification of changes by the Director is to be obtained wherever possible.
- Industry endorsement of the changes may be sought at the Director's discretion.

### Assessment moderation

Assessment policy and procedure recognises that HRD assessors may engage in both formal and informal moderation of assessment activities.

Formal moderation of assessment is to occur on a per-training module basis. Two training modules should be selected annually for review, and at least three sets of student responses to an assignment and/or theory test per module used to confirm that the assessments achieve what they set out to do.

Change(s) are to be documented using *HRD-FCI-Continuous improvement report* and a *HRD-Assessment validation and moderation record* form generated to record validation discussion and outcomes.

## 3. Recognition of prior learning and recognition of current competency

All learners are to be made aware of HRD Integrated Services policy on RPL and RCC prior to and during enrolment and induction.

Applications for RPL/RCC are to be made using the appropriate RPL Application form and submitted to the Director with all relevant supporting information.

HRD Integrated Services will assist the applicant to interpret and identify what evidence is required.

A checklist is available and should be used to document evidence to be gathered to support the application.

Each application and supporting evidence will be assessed against the relevant course/qualification/unit(s) of competency and a decision made as to whether RPL/RCC will be granted.

Refer to *HRD-RPL/RCC policy and procedures*