



University Procedure

Assessment (TAFE)

1. Purpose

This procedure describes the process for assessment of Vocational Education and Training (VET) qualifications to ensure assessments are undertaken in accordance with the University's Assessment Policy.

2. Scope

This procedure applies to all staff involved in determining the competence of individuals or groups of students against the requirements of VET qualifications or units. The procedure includes assessment judgements undertaken as part of profile funded programs, Recognition of Prior Learning (RPL), commercial activities, and third party provider relationships.

The procedure addresses the following actions:

- A [Planning Assessment Strategy](#)
- B [Developing / Selecting Assessment Tools](#)
- C [Conducting Assessment](#)
- D [Validating Assessment](#)

3. Definitions

Assessment Guidelines: The endorsed component of a Training Package that underpins assessment and sets out industry's approach to valid, reliable, flexible, feasible and fair assessment. Assessment guidelines include the assessment system overview, assessor requirements, designing assessment resources, conducting assessment and sources of information on assessment.

Assessment Tool: The method used for gathering evidence of competence. Assessment tool contains both the instrument and the procedures for gathering and interpreting evidence:

- instruments – the specific questions or activity used to determine competence, such as a knowledge test or a checklist of practical performance. (A profile of acceptable performance and the decision making rules for the assessor may also be included)
- procedures – the information/instructions given to the candidate and/or the assessor regarding conditions under which the assessment should be conducted and recorded.

Assessor: A person qualified to carry out assessment in accordance with the requirements of the AQTF and the Training Package/Curriculum. If one person does not have all of the required assessment competencies, assessment may be conducted by a team who between them have all of the required competencies. *Refer to TAFE Teacher/Educator Checklist.*

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Reasonable Adjustment: Is the process of adjusting or changing the assessment process to meet the needs and characteristics of the candidates being assessed and any equity requirements to enable participation on the same basis as other staff and students. 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. *Refer to University Policy, Equal Opportunity and Valuing Diversity.*

Training and Assessment Strategy: A framework that guides the teaching, training and assessment arrangements of a VET qualification.

Validation: A process for ensuring that the way units are assessed, and the evidence collected through these assessments, is consistent with the requirements of the units and industry. It includes validating the assessment process, tools, evidence, and the interpretation of that evidence to make a judgement of competence.

Validation may be undertaken before, during and after the assessment activity occurs.

Unit: To simplify the language, the word 'unit' has been uniformly used to encompass both a 'unit of competency' from Training Packages and a 'module' from curriculum based courses.

Unit Enrolment Start and End Date: The unit enrolment period determined by the start and end date attributed to a unit for a student. Unit enrolment start and end dates are listed on the Unit Enrolment Sheet. *Refer to the Procedure, Setting up Groups on APTUS.*

4. Actions

A Planning Assessment Strategy

STEPS	WHO IS RESPONSIBLE?	COMMENTS
1 Establish training and assessment strategy.	Head of Department	<ul style="list-style-type: none"> • All qualifications listed on the Scope must have a training and assessment strategy. • Strategy should consider: <ul style="list-style-type: none"> • assessment guidelines in the relevant Training Package / Curriculum; • packaging rules; • pre-requisites and co-requisites; • RPL; • potential student cohorts; • industry requirements; • holistic assessment; • grouping of units; • delivery locations;

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STEPS	WHO IS RESPONSIBLE?	COMMENTS
1 Establish training and assessment strategy continued.../	Head of Department	<ul style="list-style-type: none"> • modes of delivery; • access and equity; • cultural sensitivity; • principles of assessment (refer to section 6); • rules of evidence (Refer to Section 6 – Policy Base); • validation; • graded assessment; • guidelines for teaching and assessing in a language other than English; • moderation of assessments if delivering through a third party provider.
2 Establish validation strategy for qualification.	Head of Department	Refer to Part D of this procedure.
3 Ensure appropriately qualified staff are allocated to units, or establish direct supervision and/or team assessment arrangements.	Head of Department	Refer to: <ul style="list-style-type: none"> • TAFE Teacher / Educator Checklist. • AQTF 2007. • Training Package / Curriculum.
4. Inform staff of assessment and validation requirements.	Head of Department	
5 Ensure processes are in place for students to have access to University assessment policy and procedures, and information on overall course training and assessment strategies prior to enrolment.	Head of Department	<ul style="list-style-type: none"> • Policies and procedures are available online. • Overall course training and assessment details include the types of assessment which might be undertaken in the qualification, for example work based assessments, tests etc. • Information can be provided electronically, in course brochure, and on Course Finder.

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STEPS	WHO IS RESPONSIBLE?	COMMENTS
6 Ensure processes are in place to inform students about plagiarism, and the responsibility to submit their own work.	Head of Department	Students must be informed of: <ul style="list-style-type: none"> any course referencing requirements; the differences between cooperative learning, group work and collusion; consequences of being caught plagiarising. Refer to University of Ballarat Student Plagiarism Policy .
7 Undertake course management.	Head of Department	Refer to: <ul style="list-style-type: none"> Delivery of a TAFE Course Procedure. Course Implementation Plan Guidelines and Plan Course Delivery Checklist.

B Developing / Selecting Assessment Tools

STEPS	WHO IS RESPONSIBLE?	COMMENTS
1 Determine assessment process for unit(s).	Assessor	Consider: <ul style="list-style-type: none"> training and assessment strategy; assessment guidelines; underpinning knowledge; grading category; principles of assessment (Refer to Section 6 – Policy Base); rules of evidence; (Refer to Section 6 – Policy Base); student cohort; delivery method and location; validation requirements; grading category; Refer to Unit/Module Delivery Checklist For use by Teachers and Assessors
2 Develop/select assessment tools for the specific purpose, context, and group of learners.	Assessor	Assessment tools should be in accordance with: <ul style="list-style-type: none"> cultural sensitivity; access and equity principles.

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STEPS	WHO IS RESPONSIBLE?	COMMENTS
2 Develop/select assessment tools for the specific purpose, context, and group of learners continued.../	Assessor	Assessors working with students from non-English speaking backgrounds and with students who identify themselves as Aboriginal or Torres Strait Islander should be aware of the cultural differences in assessment practices. Refer to Guidelines for Assessing Indigenous (Aboriginal and Torres Strait Islander) Learners in TAFE Programs .
3 Maintain version control of assessment tools.	Assessor	Assessment tools are to be subject to an appropriate version control process including: <ul style="list-style-type: none"> • version number/development date; • training package/curriculum code; • unit codes.
4 Participate in validation as required.	Assessor	

C Conducting Assessment

STEPS	WHO IS RESPONSIBLE?	COMMENTS
1 Inform student of the assessment process for the unit(s), at first contact session.	Assessor	Students should be informed of: <ul style="list-style-type: none"> • process for negotiating assessments; • date all assessments must be concluded by; • process for negotiating an extension on assessments; • context of assessment; • purpose of assessment. Refer to Unit/Module Delivery Checklist For use by Teachers and Assessors
2 Advise learner of assessment options.	Assessor	Assessment options may include (but are not limited to): <ul style="list-style-type: none"> • time of assessment; • location of assessment; • date of assessment; • reasonable adjustments.

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STEPS	WHO IS RESPONSIBLE?	COMMENTS
3 Ensure that requirements are in place for the proper and safe conduct of the assessment.	Assessor	Refer to: <ul style="list-style-type: none"> • University of Ballarat Occupational Health and Safety Manual • Training Package / Curriculum • Industry requirements.
4 Conduct assessment.	Assessor	Ensure assessment meets rules of evidence. (Refer to Section 6 – Policy Base) Allow for the use of bilingual dictionaries in invigilated assessments for students from non-English speaking backgrounds, including students who identify themselves as Aboriginal or Torres Strait Islander. Refer to Students from a Non-English Speaking Background - Special Provisions for Invigilated Assessments Guidelines .
5 Refer any concerns on authenticity of student's work (plagiarism) to Head of Department.	Assessor	Refer to University of Ballarat Student Plagiarism Policy .
6 Advise student of assessment outcome.	Assessor	Provide feedback, including: <ul style="list-style-type: none"> • assessment outcome; • future options if assessment was deemed not competent. Where a student is unsuccessful in the assessment, provision should be made for an additional attempt to complete the assessment task. University of Ballarat Statute 5.3 – Assessment: All TAFE students shall be entitled to two attempts to achieve competency in any assessable task within any unit enrolment period.

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STEPS	WHO IS RESPONSIBLE?	COMMENTS
6 Advise student of assessment outcome continued.../	Assessor	<p>When a student is unable to complete an assessment by the required date they may, in some cases, negotiate an extension. Negotiations for extensions must:</p> <ul style="list-style-type: none">• be clearly documented between the student and assessor;• show an agreed date when assessments must be completed;• fit within the unit enrolment start and end date. <p>Negotiations for extensions on assessment beyond the unit enrolment end date should only be allowed in exceptional circumstances and must be approved by the Head of Department and clearly documented. The student's result should be recorded as CN until the student has been assessed as competent.</p>
7 Record results of assessment outcome and submit final results for placement on APTUS.	Assessor	<p>Students who do not submit assessments or are not assessed as competent in the unit by the date assessments must be concluded by, or the unit enrolment end date (or subunit end date where appropriate), should be resulted as not competent (CN) for that unit (sub unit) and re-enrol at a future time.</p> <p>Both on-going formative assessment records and final results must be recorded.</p> <p>Refer to Recording Assessment Results (TAFE) Procedure.</p> <p>Students can appeal final assessment result for the unit. Refer to University of Ballarat Regulation 5.3 – Assessment.</p>
8 Participate in validation as required.	Assessor	

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D Validating Assessment

STEPS	WHO IS RESPONSIBLE?	COMMENTS
1 Select appropriate validation strategy for course.	Head of Department	<p>Validation aims to promote consistency in assessment judgements. Validation should ensure assessors develop a common understanding of:</p> <ul style="list-style-type: none"> • the unit(s) of competency; • the standard of performance required; • evidence requirements; • allowable adjustments; • the basis on which assessment decisions are made. <p>Validation may occur before, during, or after assessment and includes validating the assessment process, tools and evidence.</p> <p>Validation strategies may include, but not be restricted to:</p> <ul style="list-style-type: none"> • consultation with industry on course assessment strategies; • feedback from students; • advice from course networks; • use of nationally developed assessment tools; • use of assessment tools developed by a group of assessors; • feedback from staff; • co-assessment; • panel assessment; • consensus moderation; • team assessments; • panel assessments; • use of agreed marking guides.
2 Inform assessors of validation strategy and any record keeping requirements.	Head of Department	
3 Participate in validation as required.	Assessor	

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STEPS	WHO IS RESPONSIBLE?	COMMENTS
4 Record and file outcomes of validation and action to be taken.	Head of Department	
5 Include outcomes of validation in future course planning processes.	Head of Department	Validation is a continual improvement activity. Outcomes of validation activities should be reviewed and used to inform future course delivery and assessment strategy.

5. Responsibilities

- Chair: Academic Board.
- Specific responsibilities for action are included in Section 4.

6. Policy Base

- [Assessment Policy.](#)
- [Equal Opportunity and Valuing Diversity Policy.](#)
- [Student Plagiarism Policy.](#)
- [University of Ballarat Statute 5.3 – Assessment.](#)
- All assessment undertaken within the University of Ballarat is underpinned by five principles of assessment. These principles are:
 - *Valid* the assessment tool is designed and implemented so that it measures performance accurately and precisely.
 - *Reliable* the assessment tool is designed and implemented so that the measurements achieved are consistent over a period of time or number of assessment events.
 - *Fair* the assessment tool is designed and implemented so that it is non-discriminatory and unambiguous.
 - *Flexible* the assessment tool is designed to allow for its application in a range of different contexts and conditions, and uses a range of methodologies.
 - *Feasible* the assessment tool is designed so that it may be undertaken efficiently and is cost effective for the learner.
- Rules of evidence are closely related to the principles of assessment and provide guidance on the collection of evidence to ensure it is authentic, current, sufficient and valid. The following information has been taken from the AQTF 2007.
 - *Authentic* to accept that evidence is authentic, an assessor must be assured that the evidence is the candidate's own work.
 - *Current* relates to the age of the evidence presented by a candidate to demonstrate that they are still competent. Competency requires demonstration of current performance, so the evidence collected must be from either the present or the very recent past.
 - *Sufficient* relates to the quality and quantity of the evidence assessed. It requires the collection of enough appropriate evidence to ensure that all aspects of competency have been satisfied and that the competency can be demonstrated repeatedly. The specific evidence requirements of each unit of competency provide advice on sufficiency.

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- Valid a principle of assessment and also a rule of evidence. Assessment is valid when:
 - assessment covers the broad range of skills and knowledge that are essential to competent performance;
 - assessment of knowledge and skill is integrated with their practical application;
 - judgement of competence is based on sufficient evidence (that is evidence gathered on a number of occasions and in a range of contexts using different assessment methods).

7. Associated Documents

Procedures:

- [Delivery of a TAFE Course \(TAFE\) Procedure.](#)
- [Recording Assessment Results \(TAFE\) Procedure.](#)
- [Recognition of Prior Learning \(TAFE\) Procedure.](#)
- [Setting up Groups on APTUS \(TAFE\) Procedure.](#)

Guidelines:

- [Assessing Indigenous \(Aboriginal and Torres Strait Islander\) Learners in TAFE Programs Guidelines.](#)
- [Course Implementation Plan Guidelines.](#)
- [Students from a Non-English Speaking Background - Special Provisions for Invigilated Assessments Guidelines.](#)
- [Teaching and Assessing in a Language other than English Guidelines.](#)
- [Team Assessment \(TAFE\) Guidelines.](#)

Forms/Associated Documents:

- [Course Delivery Checklist.](#)
- [Course Implementation Plan.](#)
- [TAFE Teacher / Educator Checklist.](#)
- [Unit/Module Delivery Checklist.](#)

8. Forms / Record Keeping

Title	Location	Responsible Officer	Minimum Retention Period
Assessment Tools	School	Teacher/Assessor	2 years
Module/Unit Outline or equivalent	School	Teacher/Assessor	2 years
RPL Evidence & Assessment Record	School	Head of Department	2 years
Validation Records	School	Head of Department	2 years
Formative or On-going Assessment Records	School	Teacher/Assessor	2 years after completion of training

9. Implementation

The Assessment (TAFE) Procedure will be communicated and implemented across the University community via:

1. an Announcement Notice under 'Current News' on the 'myUB Gateway' website and on the 'What's New' page on the 'Policies and Procedures @ UB' website to alert the University-wide community of the approved procedure;
2. Implementation process to be managed by the TAFE Learning and Teaching Committee.

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