



BFCSA Assessment Policy & Procedure

1. Purpose

This policy establishes how competency based assessment is conducted at or on behalf of Brush Farm Corrective Services Academy (BFCSA), meeting the Standards for Registered Training Organisations (RTOs) 2015 as a requirement of the National VET Regulator, the Australian Skills Quality Authority (ASQA).

As a Registered Training Organisation (RTO) BFCSA must ensure it delivers quality training and assessment for individual participants, industry and the Vocational Education and Training (VET) sector.

The chief executive signs “an annual declaration on compliance with RTO Standards to the VET regulator and in particular whether it:

- a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months, and
- b) has training and assessment strategies and practices in place to ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.”

If an RTO does not operate in accordance with its conditions of registration, ASQA can apply enforcement powers. The **National Vocational Education and Training Regulator Act 2011 and the National Vocational Education and Training Regulator Amendment Bill 2015**, provides for civil and criminal penalties, and sanctions may also be applied¹.

2. Scope

The policy applies to all courses or programmes that lead to a national qualification or partial completion of a qualification from an endorsed National Training Packages delivered/assessed by or under the auspices of BFCSA.

Definitions

BFCSA	– Brush Farm Corrective Services Academy
CSNSW	– Corrective Services NSW
RTO	– Registered Training Organisation
ASQA	– Australian Skills Quality Authority
AQF	– Australian Qualifications Framework
VET	– Vocational Education and Training
TAE	– Training and Education Training Package (TAE2010 or its successor)
SIS	– Student Information System
NCVER	– National Centre for Vocational Education and Research

¹ Australian Skills Quality Authority @ www.asqa.gov.au

LMS -- Learner Management System

Competency – The specification of knowledge and skill and the application of that knowledge and skill to the standard of performance expected in the workplace

Competency Based Assessment - The process of collecting evidence and making judgments on whether competency has been achieved

Formative Assessment - Assessment that is used primarily to provide feedback and further instruction to the participant or inform the instructor of the participant's progress²

Summative Assessment - Assessment that is primarily used to evaluate a participant's performance and contributes to their final grade²

3. Policy Statement

All participants who undertake a course or programme that leads to a full or partial completion of a national qualification are assessed in accordance with the relevant training package requirements using the approved assessment tools developed and implemented by a BFCSA Training Unit. The assessment process, tools and judgments of the assessments are reviewed and validated each year. Assessments are conducted by qualified assessors or by a person who has industry/vocational expertise in partnership with a qualified assessor either in the workplace or from BFCSA (Section 10.2.3).

5. Responsibility

It is the responsibility of the course coordinator to inform participants about this policy, the assessment process for the course, record results and keep records of assessments undertaken for validation purposes.

It is the responsibility of the user of the document to ensure that the most current version is being applied.

It is the responsibility of the Director CSNSW Academy & Operational Training (AOT) to ensure that policy documents are regularly reviewed and to ensure the most current approved version is available online.

6. Legislative Responsibility

The National Vocational Education and Training Regulator Act, 2011.

Standards for Registered Training Organisations (RTOs) 2015. Subsection 185(1) and subsection 186(1)

The National Vocational Education and Training Amendment Bill 2015.

7. Changes and Updates

All policies and procedures are subject to ongoing revision to reflect systems improvements. All online documentation is considered to be the current version.

8. Monitoring and Evaluation

This policy will be reviewed three years from the date of implementation, or earlier should a review be warranted.

9. Associated Documents

Standards for Registered Training Organisations (RTOs) 2015 version 2.0

² Byrnes, Rod and Ellis, Allan, The prevalence and characteristics of online assessment in Australian universities, Australasian Journal of Education Technology, 2006, 22(1), 104-125

Records Management Policy & Procedure
Creating & Controlling Documents Policy & Procedure
Complaints & Appeals Policy & Procedure
Assessment Validation Policy & Procedure
Qualifications & Statements Issuance Policy & Procedure
Program & Course Development Policy & Procedure
Recognition Policy & Procedure
Corrective Services NSW Guide to Conduct and Ethics
BFCSA Code of Conduct and Ethics
Participant /Assessor Guide
Facilitator Guide
Training & Assessment Strategy Signature Form
Training Plan/ Contract
SIS Resulting Process Manual/LMS Guides

10. Procedures

10.1 Participant Resources

10.1.1 Informing participants about assessment

Participant Guides and or Assessment Guides will be developed by BFCSA for each course/qualification and provided to all participants at the start of each training program/course/module. Participant Guides for eLearning courses will be electronic.

The Participant Guide includes the Training and Assessment Strategy which outlines:

- Volume of Learning
- what will be assessed (which competencies/learning outcomes will be covered)
- how it will be assessed (type of assessment)
- when it will be assessed (number and timing of assessments)
- under what circumstances assessment will take place, and
- options for reassessment or appeal (refer to the Appeals Policy & Procedure).

Participants will acknowledge they have received a copy of the guide/s by one or more of the following:

- signing the *Training & Assessment Strategy Signature Form* when attending a training program at BFCSA or
- signing a Training Contract, or
- signing an assessment tool, or
- signing a statement on the cover sheet of the assessment/s when completing a training program by distance education, or

The course coordinator will keep the forms as a record that participants were informed of the assessment process.

10.1.2 Recognition

Information on eligibility and applying for recognition are to be included in the Participant Guide for each course/qualification.

Additional information may be found in the Recognition Policy & Procedure.

Warning – Uncontrolled when printed! The current version of this document is kept on EDRMS.

10.2 Assessment including RPL or RCC

10.2.1 Assessment strategies and assessment tools

Assessment strategies and assessment tools will:

- (a) meet the requirements of the relevant Training Package or VET accredited course; and
- (b) is conducted in accordance with the principles of assessment; and
- (c) provides the opportunity for the participant to provide their feedback on the process or decision
- (d) meets workplace and, where relevant, regulatory requirements; and
- (e) is systematically validated

The Assessor Guide will incorporate these strategies and tools and be developed in accordance with the Program & Course Development Policy & Procedure and Manual & the Assessment Validation Policy and Procedure.

10.2.2 Role of the assessor

The role of the assessor is to:

- liaise and negotiate with participants regarding any reasonable adjustments required to the content, timing and location of each assessment event or activity
- determine whether participants have performed to the required level of competence
- provide constructive feedback to participants
- record assessment outcomes by signing and completing the assessment record and maintain all participant records according to BFCSA and CSNSW policies
- provide the assessment results to the appropriate person i.e. delegated officer or training unit manager
- advise, provide support and or further training to participants before reassessment as outlined in the relevant participant/assessment guide & record the support/advice/further training given to the participant/s.

10.2.3 Trainer & Assessor qualifications

NOTE

Standards for Registered Training Organisations (RTOs) 2015, the following section numbers refer to the numbering of the standards, as per ASQA Users' Guide, 2015.

1.13. In addition to the requirements specified in Clause 1.14 to Clause 1.16, the RTO employs skilled Trainers and Assessors who have:

- (a) vocational competencies at least to the level being delivered and assessed;
- (b) current industry skills directly relevant to the training and assessment being provided; and
- (c) current knowledge and skills in vocational training and learning that informs their training and assessment.

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

1.14. The RTO's training and assessment is delivered only by persons who have:

The RTO's training and assessment:

Warning – Uncontrolled when printed! The current version of this document is kept on EDRMS.

- a) if delivered on or prior to 31 March 2019, is delivered only by persons who have the training and assessment credential specified in Item 1 or Item 2 or Item 3 of Schedule 1
- b) if delivered on or after 1 April 2019, is delivered only by persons who have the training and assessment credential specified in item 2 or Item 3 of Schedule 1

1.15. Where a person conducts assessment only, the RTO ensures that:

- a) on or prior to 31 March 2019, the person has the training and assessment credential specified in Item 1, or Item 2, or Item 3, or Item 4 or Item 5 of Schedule 1; or
- b) on or after 1 April 2019, the person has the training and assessment credential specified in Item 2, or Item 3 or Item 5 of Schedule 1.

1.16. The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

Individuals working under the supervision of a trainer

1.17. Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

1.18. The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:

- a) holds the training and assessment credential specified in Item 6 of Schedule 1 has vocational competencies at least to the level being delivered and assessed; and has current industry skills directly relevant to the training and assessment being provided.

1.19. Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.

1.20. Without limiting Clauses 1.17 – 1.19, the RTO:

- (a) determines and puts in place:
 - i. the level of the supervision required; and
 - ii. any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and
- (b) ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Delivery of the training and assessment qualification (TAE) for trainers and assessors

1.21 Clause 1.21 is no longer applicable. Refer to clauses 1.22 and 1.23 for current requirements.

1.22. To deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.

1.23. To deliver the training and assessment credential specified in Item 1 or Item 2 of Schedule 1, or any assessor skill set from the Training and Education Training Package

Warning – Uncontrolled when printed! The current version of this document is kept on EDRMS.

(or its successor), the RTO must ensure all trainers and assessors' delivering the training and assessment:

- a) hold the training and assessment credential specified in Item 7 of Schedule 1; or
- b) work under the supervision of a trainer that meets the requirement set out in a) above

1.24. The RTO must ensure that any person working under supervision for the purposes of Standard 1.23 b);

- a) does not determine assessment outcomes
- b) holds the following:
 - on or prior to 31 March 2019, the training and assessment credential specified in Item 1 or Item 2 of schedule 1; or
 - on or after 1 April 2019, the training and assessment credential specified in Item 2 of Schedule 1.

Independent validation of training and assessment qualifications

1.25. To deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of **independent validation** and **validation**) Appendix1.

10.2.4 Initial training for workplace assessors

BFCSA has established a process to ensure that assessors achieve a minimum standard of competency, maintain and further develop their skills. This enables BFCSA to guarantee quality of assessment, whether at BFCSA or in the workplace.

Assessors must hold the following units of competency from the Certificate IV in Training and Assessment, TAE15 Training Package or its successor. They are required to update their competencies to the relevant Training Package/qualification according to RTO Standards.

1 January 2016-31 March 2019

Anyone who provides assessment only must hold the:

TAESS00001 Assessor Skill Set (or its successor), or TAE40110 Certificate IV in Training and Assessment (or its successor), or a diploma or higher level qualification in adult education

On or after 1 April 2019 assessors will be required to hold the Assessor Skill Set TAESS00011 or its successor or:

- TAESS00001 plus one of the following:
-
- o TAEASS502 Design and Develop Assessment Tools, or
- o TAEASS502A Design and Develop Assessment tools, or
- o TAEASS502B Design and Develop Assessment Tools or
- o TAE40116 Certificate IV in Training & Assessment or
- o TAE40110 Certificate IV in Training & Assessment plus the following units:

Warning – Uncontrolled when printed! The current version of this document is kept on EDRMS.

- TAELLN411(or its successor) or TAELLN401A
- TAEASS502(or its successor) or TAEASS502A or TAEASS502B or
- A Diploma or higher level qualification in adult education

To register as a workplace assessor, a staff member must demonstrate competency against the assessment competencies as above. This is achieved by successfully completing the required units at BFCSA or another RTO.

Once the relevant competencies are gained, the assigned Mandatory Trainer will verify the qualification with the relevant RTO and advise the Database administrator to register the assessor on SIS and provide an assessor number. The responsible Training Unit will add to the Unit's Staff Trainer & Assessor Matrix.

Only registered workplace assessors are authorised to conduct workplace assessments/or collect evidence in or on behalf of BFCSA -CSNSW.

10.2.5 Maintenance of registration

Once assessors are registered they are expected to maintain their registration by complying with the Standards for RTOs 2015. Trainers and Assessor must:

- Retain evidence and undertake professional development in VET-including competency based training and assessment.
- Industry skills and knowledge held by trainers & assessors must be consistent with:
- Information gathered through industry engagement activities
- Any specific requirements expressed in relevant training packages.
 - Trainers and Assessors must retain evidence that shows:
 - Their current industry skills and knowledge
 - That the trainer and assessor knowledge directly relates to the training and/or assessment they are providing

10.2.6 Withdrawal of registration

Workplace assessor registration may be withdrawn:

- if an assessor does not meet the requirements outlined in 10.2.3 to 10.2.5, or
- if the assessor chooses to withdraw, or
- at the discretion of the Director, Operational Training.

Workplace assessor registration may be reactivated at the discretion of the Director, Operational Training.

10.2.7 Assessors' Code of Conduct

In addition to adhering to the CSNSW Guide to Conduct and Ethics, Workplace Assessors are required to read and comply with the BFCSA Code of Conduct and Ethics for RTO Staff. These documents provide guidance on identifying potential conflicts, and outline the professional conduct of assessors and their obligations.

With regard to the assessment process:

- a) For consistency, assessors must adhere to performance criteria in the competency standards and assessment criteria for the unit of competency/qualification.

Warning – Uncontrolled when printed! The current version of this document is kept on EDRMS.

- b) Regardless of the assessment pathway or method, the principles of assessment must be met
- c) The following principles must also be followed:
 - Impartiality - the assessor must make decisions and act in a manner that does not improperly favour one person or interest
 - Integrity - the assessor must act in a way that leaves no doubt about his or her motives when making a decision or providing a service
 - Openness - the assessor must provide full and accurate information in an easily understood and accessible format to those who are entitled to it.
 - Confidentiality – the assessor must not discuss the assessment outcome or comment on the participants' performance to anyone not involved in the assessment process

10.2.8 Addressing real or perceived conflicts of interest

Should an assessor consider there is a likelihood of real or perceived conflict of interest, they must immediately discuss it with the relevant Training Unit Manager or Director, Operational Training.

It is the responsibility of the Training Unit Manager to ensure there is no conflict of interest when choosing assessors.

10.3 Recording Assessments

10.3.1 Formative assessments

Formative assessments may be recorded in meeting notes, comments on assessment activities, and/or notations in rolls, ledgers, books or diaries.

10.3.2 Summative assessments

Summative assessments are formal records which may be used as evidence in appeals, grievances and court proceedings. They should contain the following:

- participant details and signature acknowledging that it is their own work
- title and code of competency being assessed
- date of the assessment
- description of evidence used to make an assessment decision
- name and number of the assessor
- outcome/assessment decision, and
- response from the participant on the outcome/decision, if relevant

10.4 Assessment - Not Yet Competent (NYC)

10.4.1 Reassessment

Following a 'not yet competent' assessment, participants have one opportunity for reassessment. This involves re-sitting the same or an alternative assessment task,

Warning – Uncontrolled when printed! The current version of this document is kept on EDRMS.

presenting further portfolio evidence, answering additional underpinning knowledge questions or other appropriate activity that involves the NYC Units/assessments only.

Reassessment will take place within two months from the date of the original assessment. This may be extended in extenuating circumstances. The participant must be advised of the NYC and have the opportunity to write a written response on the assessment tool/report. Reasonable time to prepare/practice for a reassessment should be given and the participant acknowledge that only one re-assessment is allowed. It is considered Best Practice to use an alternative independent Assessor for the re-assessment (e.g. an assessor who did not make the initial assessment decision).

Following a further NYC outcome the participant is to be referred to the Training Unit Manager to discuss if there are any extenuating circumstances were a further assessment maybe warranted or if appropriate refer participants to the Complaints and Appeals Policy and Procedure. Ensure the participant is aware that this is an appeal process for assessment and NOT about employment or conditions, in which case they should be referred to other CSNSW policies as appropriate.

10.4.2 Appeal

The process for appealing against an **assessment** decision/process is outlined in the Complaints and Appeals Policy & Procedure.

10.4.3 Assessment as Competent

On assessment as 'competent', a Statement of Attainment or full qualification will be issued as appropriate. The Qualifications & Statements Issuance Policy & Procedure outlines this process.

10.4.4 Resulting & keeping records

Units of competency/module results are recorded on the BFCSA Student Information System (SIS). Results should be entered within one month of the program or course completion. Completion rate data is used for the National Quality Indicator reporting, which is a requirement of BFCSA as an RTO. Failure to timely result module and course assessment completions can impact on the accuracy of BFCSA Quality Indicators reporting to the National VET Regulator and the NCVET. Refer to the SIS results process manual for further resulting details and Qualifications & Statements Issuance Policy & Procedure.

The Course Coordinator will keep records of assessment for courses undertaken at or on behalf of BFCSA. Records must be maintained according to the BFCSA Records Management Policy & Procedure and the BFCSA Creating and Controlling Documents Policy & Procedures.

10.5 Completion of assessment tasks

10.5.1 Granting an Extension

The time frame for completing assessments is included in the Training and Assessment Strategy in the Participant Guide. Participants may be granted an extension for up to two (2) months in extenuating circumstances at the discretion of the Training Unit Manager or their delegate. Any further extension request is at the discretion of the Director Operational Training.

Warning – Uncontrolled when printed! The current version of this document is kept on EDRMS.

10.5.2 Failure to complete/withdrawal

If an assessment has not been submitted within the appropriate timeframe, the enrolment must be closed and resulted accordingly using the correct code for the circumstances –see SIS resulting process Manual. The participant may or may not be allowed to re-enrol in the course. It is an RTO requirement that the participant must be issued a Statement of Attainment for any of the successfully completed competencies for which they have been assessed.

Warning – Uncontrolled when printed! The current version of this document is kept on EDRMS.

APPENDIX 1 – SCHEDULE 1

From *Users' Guide: Standards for Registered Training Organisations (RTOs) 2015 Version 2*

Item	Standard	Training and assessment credentials
1	1.11 1.14 1.15 1.24	<i>TAE40110 Certificate IV in Training and Assessment.</i>
2	1.11 1.14 1.15 1.24	One of the following credentials: Credential: TAE40116 Certificate IV in Training and Assessment <u>or</u> its successor <u>or</u> Credential: TAE40110 Certificate IV in Training and Assessment, <u>and</u> one of the following: (i) TAE LLN411 Address adult language, literacy and numeracy skills <u>or</u> its successor <u>or</u> (ii) TAE LLN401A Address adult language, literacy and numeracy skills <u>and</u> one of the following: (iii) TAE ASS502 Design and develop assessment tools <u>or</u> its successor <u>or</u> (iv) TAE ASS502A Design and develop assessment tools <u>or</u> (v) TAE ASS502B Design and develop assessment tools
3	1.14 1.15	The following credential: <i>A diploma or higher level qualification in adult education</i>
4	1.18 1.11 1.15	The following credential: TAE ASS00001 Assessor Skill Set
5	1.23 1.11 1.15	One of the following credentials: Credential: TAE ASS00011 Assessor Skill Set <u>or</u> its successor <u>or</u> Credential: TAE ASS00001 Assessor Skill Set, <u>And</u> one of the following (i) TAE ASS502 Design and develop assessment tools <u>or</u> its successor <u>or</u> (ii) TAE ASS502A Design and develop assessment tools <u>or</u> (iii) TAE ASS502B Design and develop assessment tools
6	1.18	One of the following credentials: Credential:

Warning – Uncontrolled when printed! The current version of this document is kept on EDRMS.

		<p>TAESS00007 Enterprise Trainer – Presenting Skill Set</p> <p>or</p> <p>Credential: TAESS00014 Enterprise Trainer – Presenting Skill Set Skill Set <u>or</u> its successor</p> <p>or</p> <p><u>TAESS00008 Enterprise Trainer – Mentoring Skill Set</u></p> <p><u>or</u></p> <p>TAESS00013 Enterprise Trainer – Mentoring Skills Set <u>or</u> its successor</p> <p><u>or</u></p> <p>Credential: TAESS00003 Enterprise Trainer and Assessor Skill Set</p> <p><u>or</u></p> <p>Credential: TAESS00015 Enterprise Trainer and Assessor Skill Set <u>or</u> its successor</p>
7	1.23	<p>One of the following credentials:</p> <p>Credential: TAE40111 Diploma of Vocational Education and Training</p> <p><u>or</u></p> <p>Credential: TAE50116 Diploma of Vocational Education and Training <u>or</u> its successor</p> <p><u>or</u></p> <p>Credential: TAE50211 Diploma of Training Design and Development</p> <p><u>or</u></p> <p>TAE50216 Diploma of Training Design and Development <u>or</u> its successor</p> <p><u>or</u></p> <p>Credential <i>A higher level qualification in adult education</i></p>

Warning – Uncontrolled when printed! The current version of this document is kept on EDRMS.

SCHEDULE 2

From *Users' Guide: Standards for Registered Training Organisations (RTOs) 2015*

Independent validation requirements for RTOs delivering training and assessment qualifications or assessor skill sets from the Training and Education Training Package (or its successor)

For the purposes of Clause 1.25, the requirements for independent validation will apply as follows:

- a. For an RTO applying to extend its scope of registration to include the delivery and assessment of an AQF qualification or assessor skill set from the *Training and Education Training Package* (or its successor), validation is of:
 - i. The RTO's assessment tools, processes and outcomes in relation to other AQF qualifications and/or units of competency on its scope of registration, as directed by the VET regulator, and
 - ii. The assessment system to be adopted in the delivery of the training and assessment qualification or assessor skill set.

- b. For an RTO applying for the renewal of its registration where its scope of registration includes the delivery and assessment of an AQF qualification or assessor skill set from the *Training and Education Training Package* (or its successor), validation is of:
 - i. The assessment system for delivery of the training and assessment qualification or assessor skill set, and
 - ii. The RTO's assessment tools, processes and outcomes in relation to the training and assessment qualification or assessor skill set.

For the purposes of Clause 1.25, independent validation of AQF qualifications or the assessor skill set from the *Training and Education Training Package* (or its successor) must be conducted by one or more persons who collectively have:

- a. Current knowledge and skills in vocational teaching and learning, and
- b. The training and assessment qualification or assessor skill set at least to the level being validated.

Warning – Uncontrolled when printed! The current version of this document is kept on EDRMS.