

## Assessment Policy and Procedures

### *Policy*

Swinburne Open Education (RTO 3059) assessment policy and practices are designed to ensure that graduates are appropriately skilled and only students who successfully achieve assessment benchmarks are granted competency outcomes.

The Swinburne Open Education Assessment System compliance with the requirements of the *Australian Qualifications Framework (AQF)* and the *Standards for Registered Training Organisations (RTOs) 2015*.

### *Purpose*

The purpose of this policy is to ensure that Swinburne Open Education implement an assessment system which complies with the requirements of Standard 1 of the *Standards for Registered Training Organisations (RTOs) 2015*, Principles of Assessment and Rules of Evidence.

### *Scope*

This policy applies exclusively to assessment activities undertaken by Up Education Online on behalf of Swinburne Open Education (RTO 3059) in accordance with the established partnership agreement.

### *Responsible Officer(s)*

The Head of Faculty is responsible for ensuring the integrity of the Assessment System and that all assessment processes practices comply with the requirements of the Assessment Procedures.

### *Review and Improvement*

This policy and associate procedures are subject to regular review and improvement through Continuous Improvement processes as described in the Continuous Improvement Policy and Procedures.

## Assessment Procedures

### *1. Assessment System*

The Swinburne Open Education Assessment System comprises:

- Assessment Policy and Procedures,
- Assessment resources,
- Marking Guides,
- Recognition of Prior Learning kits,
- Associated Policy and Procedures relating to assessment design and industry consultation.

### *2. Recognition of Prior Learning (RPL)*

Applying for Recognition of Prior Learning.

A student may apply for RPL at any time during their enrolment period.

In applying for RPL the student:

- Submits an RPL application request in the learning platform,
- Will be provided with the RPL Kit for either the whole course or specific modules, which include detailed information and instructions for the RPL process,
- Gathers their RPL evidence in line with the RPL Kit instructions,
- Submits the completed RPL application to Student Support, and
- Pays the RPL Application Fees as noted in the Schedule of Administrative Fees.

Assessing RPL Applications.

When the RPL Application Fees are paid and the RPL application received by Student Support an RPL case will be created and actioned within two business days.

RPL applications will be allocated to an Assessor and where practicable, within 14 days:

- The assessor will assess the application evidence, provide feedback to the student and engage in a competency conversation where required, and
- Advise the outcome to the student in line with the Assessment Feedback Guideline.

The student may appeal the assessment decision in line with the Assessment Appeal process.

Where RPL is granted, Swinburne Open Education will advise the student of any applicable course fee discounts and apply any discounts within 14 days of the RPL outcome decision.

### ***3. Credit Transfer***

Applying for Credit Transfer.

A student may apply for Credit Transfer for course unit(s) of competency at any time during their enrolment period.

In applying for Credit Transfer the student:

- Submits a Credit Transfer application in the learning platform,
- Submits evidence to support their Credit Transfer application to Student Support,
- Pays the Credit Transfer Application Fee as noted in the Schedule of Administrative Fees.

Evidence may include:

- Certified copies of testamurs issued by another Registered Training Organisation,
- Certified copy of the students USI transcript.

Reviewing Credit Transfer applications.

Credit Transfer applications will be evaluated and where practicable, the student advised of the outcome within 10 Business days. Swinburne Open Education may verify copies of testamurs provided through the issuing RTO.

Where Credit Transfer is granted, Swinburne Open Education will advise the student of any applicable course fee discounts and apply any discounts within 14 days of the Credit Transfer outcome decision.

#### ***4. Assessment types***

Swinburne Open Education has a number of primary assessment types which include:

1. Knowledge tests
2. Case studies
3. Extended response
4. Demonstration/presentation
5. Portfolio of evidence
6. Project
7. Workplace assessments

#### ***5. Assessment submission***

Swinburne Open Education students submit their assessments via the learning platform. Instructions for each assessment provide the student with the information on assessment submission requirements.

Students are responsible for retaining a copy of all assessments submitted to Swinburne Open Education.

#### ***6. Assessment decisions and feedback***

Assessors make assessment decisions and record these decisions in the Student Management System. Individual assessment decisions are 'Satisfactory' or 'Not Satisfactory'.

Swinburne Open Education's Assessment Outcome Schedule is described in the Assessment Procedures Guideline.

Assessors provided feedback to students within the learning platform as part of the assessment process. The assessment feedback guidelines are included in the Assessment Procedures Guideline.

Service standards for individual assessments is dependent of the type of assessment and defined as 10 days unless otherwise specified.

Competency decisions are made at unit of competency level. The Assessor will deem a student either 'Competent' or 'Not yet competent' at unit level based on the results of all assessments that relate to a given unit of competency.

Students must successfully complete all assessments relating to a unit in order to achieve a competent outcome.

### *7. Assessment Re-submissions*

Students have the opportunity to re-submit individual assessments where they do not successfully achieve the assessment benchmark on the first attempt.

Students have up to three attempts at each individual assessment (initial attempt and two re-attempts). In the event the student does not achieve competency at the third attempt, the student will receive a 'Not Yet Competent' outcome and they will be required to re-enrol into the specific module.

Re-enrolment fees may apply in line with the Schedule of Administrative fees. Student access to future Learning Modules will be restricted where the Fail result is in a module that is a pre-requisite for future module(s).

Where a student has received a Not Satisfactory on the third attempt at a Workplace Assessment, the Head of Faculty will discuss future options with the student. This may include re-enrolment at a course level or a number of modules and/or undertaking Workplace Assessments in another workplace. Fees may apply in line with the Schedule of Administrative Fees.

### *8. Assessment Appeals*

A student may appeal an assessment decision within 10 days of being notified of the assessment decision. This includes for RPL assessments.

There is no cost for submitting an assessment appeal.

To appeal an assessment decision, the student:

- Completes the Assessment Appeal form, including details of the reason for the appeal,
- Submits the Appeal form to Student Support,
- Is issued a confirmation of receipt of their assessment appeal, including a case number.

During the appeal process, Swinburne Open Education will release a subsequent module of learning to the student provided the assessment outcome is not a pre-requisite for the subsequent module(s).

Processing Assessment Appeals.

Assessment Appeals will be allocated within two business days of receipt of the appeal.

Assessment appeals will be investigated by the Head of Faculty and a written outcome provided to the student within 21 days of receipt of the assessment appeal.

The outcomes of assessment appeals may include:

- Dismissal of the appeal,
- Upholding the appeal and re-assessment of the exiting assessment evidence/updated result,

- Require the student to submit additional evidence,
- Other actions deemed appropriate in the circumstances.

Reasons for the decision will be provided to the student along with the decision.

Where an appeal is dismissed, the student may be required to re-submit the assessment as per the Assessment Re-submissions process.

The outcome of the assessment appeal is final and the case deemed closed once the student has been informed of the decision in writing.

Repeated submissions of assessment appeals that are considered to be without substantial foundation may constitute a breach of the Student Code of Conduct and result in disciplinary action against the student.

### 9. *Assessment Records*

All assessments submitted will be stored on the Learning Management System. Individual assessment items will be stored for a minimum of six months in accordance with the ASQA *General Direction Retention requirements for completed student assessment items*.

Swinburne Open Education may retain a sample of completed student assessment items for validation/moderation and sampling purposes beyond the six-month period.

Assessment outcomes are stored on the Student Management System for a period of 30 years as required by Schedule 5 of the *Standards for Registered Training Organisations (RTOs) 2015*.

Swinburne Open Education may share assessment records and outcomes with third parties as described in the Swinburne University of Technology Privacy Policy.

### Assessment Procedure Guidelines

#### *Assessment Outcome Schedule*

For individual assessments

Code	Grade Name	Grade Description
S	Satisfactory	Satisfactory is awarded for work showing satisfactory achievement of all Assessment requirements.
NS	Not Satisfactory	Not Satisfactory is applied when the learner has not yet demonstrated satisfactory achievement of the Assessment requirements. A student can receive a NS result a maximum of two times for an individual assessment.

NYC	Not Yet Competent	A Not Yet Competent is applied when the student does not satisfy the Assessment requirements on a third attempt.
SE	Submission Error	An SE grade is applied where there is an error with the assessment submission. The student is required to re-submit the assessment correctly before it can be graded.

For Units of Competency

Code	Outcome Name	Outcome Description
CO	Competent	A competent outcome is applied when the student has satisfied all requirements for a unit of competency.
NYC	Not Yet Competent	A Not Yet Competent outcome is applied when the learner has not satisfied the requirements for a unit of competency.

Recognition of Prior Learning and Credit Transfer

Code	Outcome Name	Outcome Description
RPL	Recognition of Prior Learning	This outcome is applied when a unit of competency is achieved through RPL.
CT	Credit Transfer	This outcome is applied when a unit of competency (or equivalent unit) has been verified as obtained from another Registered Training Organisation (RTO).

### ***Assessment Feedback***

Swinburne Open Education adopt aspects the Swinburne Good Assessment Feedback Guidelines as follows.

Principles Underpinning Good Assessment Feedback

- Facilitates the development of student self-assessment reflection and encourages Trainer and peer dialogue,
- Helps clarify good performance (goals, criteria, expected standards),
- Provides opportunities to close the gap between current and desired performance,
- Delivers quality information to students about their learning,
- Encourages positive motivation and self-esteem,
- Provides information that supports continuous improvement of assessment.

Standards for Good Assessment Feedback.

Assessment feedback should be:

- Clearly identified as 'feedback'
- Recorded in the learning platform,
- Appropriate and sufficient to enable the student to form an accurate understanding of their performance, facilitate improvement and promote learning.

Students should receive feedback that:

- Indicates their strengths and weaknesses of their work against the assessment criteria that are written in plain English,
- Provides clear guidance on how to improve performance with respect of the task, or similar tasks,
- Enables the student to reflect upon and seek clarification about the feedback directly with the Assessor,
- Is provided in sufficient time that enables the student to utilise the feedback in subsequent assessments.