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## 1 PURPOSE

- 1.1 This procedure outlines the processes for planning, conducting and reviewing assessment tasks. It aims to ensure that all assessment complies with training package and curriculum, with particular focus on industry relevance and the principles of assessment as defined in the Vocational Education and Training Quality Framework (VQF). This procedure also outlines the method for tracking student progress through a Vocational Education and Training (VET) program of study offered by CQUniversity.

## 2 SCOPE

- 2.1 This procedure applies to all assessment tasks and associated processes utilised within and on behalf of CQUniversity. This includes training and assessment of competencies and recognition of prior learning. This procedure applies to all (internal and external) students enrolling in any course of study offered by CQUniversity.

## 3 PROCEDURE

### Development of assessment tasks

- 3.1 The Qualifications Coordinator (QC) and/or Trainer/Assessor will identify the units and elements of competency for the course of study. The QC will do so by accessing the current version of the training package on [www.training.gov.au/](http://www.training.gov.au/).
- 3.2 The QC and/or Trainer/Assessor will arrange the units, or the clusters of units according to the logical sequence of work, while also ensuring that any pre-requisites and co-requisites are accommodated.
- 3.3 The QC will manage with the development of the Training and Assessment Strategy (TAS), including ensuring that consultation with the Discipline area and enterprise/industry occurs with sufficient evidence through team meeting minutes and Training Product Review Meetings minutes or Industry Visits.

- 3.4 The Trainer/Assessor will prepare the Training and Assessment Plan – Trainer and Training and Assessment Plan – Student, as well as the assessment tasks and model answers using Quality templates. The Trainer/Assessor will also need to ensure that the assessment tasks are listed in the Training and Assessment Strategy (TAS).
- 3.5 The QC will assist the teaching team in the development of the Validation Schedule, and will also arrange the validation of the assessment tools for all units within the qualification across all campuses. This is separate and in addition to the organisation-wide Validation Panels that occur.

### **Enrolment and participation tracking**

- 3.6 The Student will be enrolled into the relevant unit/s of study in StudentOne by the Client Services staff.
- 3.7 The trainer/assessor will develop and issue a class attendance record (roll), which includes all forms relating to the course/class. For external/distance/online delivery, a roll is not required, however, participation evidence will need to be recorded on Moodle or using a Vocational Quality approved Tracking Sheet.
- 3.8 The Trainer/Assessor is required to record the face-to-face students' participation in the roll book. If the teacher identifies that there are students in the class who aren't recorded in the roll, they will need to complete an Enrolment Check Request and forward this to Customer Service. An interim roll may be needed to record students who are not officially on the roll.
- 3.9 The Trainer/Assessor will maintain a record of student progress, regardless of the delivery mode. The information to be included in this tracking mechanism includes the assessment methods undertaken, the number of attempts and dates of attempts and the final grade for each unit of competency. (This can be demonstrated by the use of a Vocational Quality Tracking document or Moodle summary sheet).

### **Delivery and assessment**

- 3.10 The Trainer/Assessor will inform the students of the context and purpose of the assessment, and the assessment process by providing students with the Training and Assessment Plan – Student for the relevant unit/s of study.
- 3.11 The Trainer/Assessor will provide reasonable adjustments to accommodate the specific needs of the student and record comments on the Assessment Coversheet or add to the student file.
- 3.12 The Assessor will conduct the assessment, as outlined in the Assessment Guidelines in the Training and Assessment Plan – Student and the Training and Assessment Plan – Assessment. If the student is unsuccessful on the first attempt, the assessor is to refer to the Training and Assessment Plan – Trainer, regarding the reassessment protocol.
- 3.13 The Assessor will provide feedback to the student on the outcome of their assessment and will give guidance of future options if necessary. The Assessment Coversheet will be used to provide written feedback.
- 3.14 The Trainer/Assessor will track the student progress using either the Tracking of Student Progress (a, b, c) or the Trainer and Assessor Tracking Checklist, or an approved tracking sheet (this must be approved by Vocational Quality).
- 3.15 The Trainer/Assessor will finalise the assessments and will complete the relevant AVETMISS Files Checklist and attach this to the student's assessment.
- 3.16 The Trainer/Assessor will record the student's results in StudentOne using the approved result codes.
- 3.17 The Trainer/Assessor will store all assessments securely in preparation for archiving, and then will archive all documents as per the retention schedule on the [Records Management Policy and Procedure](#).

## 4 RESPONSIBILITIES

### Compliance, monitoring and review

- 4.1 The Manager Vocational Quality is responsible for ensuring compliance with and monitoring implementation of the procedure and to undertake reviews as required.
- 4.2 The Manager Vocational Quality is responsible for:
- maintaining and reviewing currency of this procedure and associated documents to ensure alignment with best practice in the workplace
  - approving amendments to this procedure
  - approving amendments to work instructions, forms and other documents associated with this procedure.
- 4.3 The Manager Vocational Quality is responsible for the overall performance against the VQF Standards of Registration, National Training Package, accredited program and Regulatory requirements.
- 4.4 The Deans of School shall ensure that all delivery staff, assessors and workplace trainers/assessors comply with this procedure in accordance with the national Principles of Assessment, Rules of Evidence and requirements of relevant Training Packages and Legislation.
- 4.5 Discipline Managers/Qualification Co-ordinators are responsible for:
- monitoring and managing the development and quality of training and assessment materials and practices used by Assessors/Teaching Staff to ensure compliance with VQF, National Training Package, Accredited Program and Regulatory requirements
  - ensuring appropriate industry representatives are involved in developing and/or supporting the Training and Assessment Strategy of each qualification
  - arranging and participating in Training Product Review (TPR) meetings and ensuring the documentation of this and other Continuous Improvement processes are kept electronically as evidence.
- 4.6 Assessors/Teaching Staff shall be responsible for actioning the following, using Standard Quality Documentation, Procedures and Policies as listed in the [Policy IMPortal](#):
- developing Assessment Plans and practices that comply with VQF Standards, National Training Package, accredited program and regulatory requirements. The following documents are to be employed for this purpose: Training and Assessment Plan – Trainer and Training and Assessment Plan – Student
  - participating in the development of the Training and Assessment Strategy, ensuring that all assessment documentation is completed in a manner that aligns with CQUniversity's Quality Management System using Quality Documents. The Training and Assessment Strategy must accurately reflect the assessment methods which are currently in use
  - maintaining training and assessment and content knowledge currency, and ensuring that the individual Currency Profile is updated each term
  - developing/using assessment tools that are VQF compliant. Standard Quality documentation must be used (refer [Appendix B](#))
  - cooperating with timetabling of program/s where applicable to ensure assessment processes are conducted in an appropriate and timely manner (if applicable)
  - inform students regarding assessment processes as evidenced, by issuing the relevant Training and Assessment Plan – Student document
  - ensuring principles of reasonable adjustment are applied as necessary to accommodate individual student needs
  - providing appropriate and timely feedback to students in relation to assessment outcomes. Feedback may be recorded on the Assessment Coversheet or other documentation, for example, email (records are to be kept as evidence)
  - facilitating reassessment (for example, supplementary assessment for apprentices) as outlined in the [Student Rules Policy \(VET\)](#) and as per the Discipline area determined conditions for reassessment, and

in accordance with the assessment guidelines detailed on the Training and Assessment Plan – Trainer, and Training and Assessment Plan – Student

- j) recording results of educational/assessment progress of the student/s by using the appropriate version of the Student Tracking Form (or an approved version) by the Vocational Quality Team:
  - Tracking Student Progress – Apprentice Block/Trainee Group
  - Tracking of Student Progress (Individual Apprentice/Trainee by Units)
  - Tracking of Students Progress – by Qualification
- k) recording the results of assessment and the final grades accurately for each student enrolled in the program of study on the Student Management System (SMS)
- l) managing and maintaining all records of assessment and security of customer/client supplied documentation and product/s and archiving in accordance with the Records Management Policy and Procedure
- m) participating as part of the DTA group to validate training and assessment materials using the Validation of Training and Assessment Materials form and tracking this through the use of a Validation Schedule. This is separate to the organisation wide Validation Panel schedule
- n) generating attendance rosters/rolls from StudentOne
- o) maintaining Roll Books/Participation listing of students in compliance with AVETMISS requirements
- p) entering grades into StudentOne.

4.7 The Assessment and Tracking Flowchart in [Appendix A](#) provides further details.

## Reporting

4.8 No additional reporting is required.

## Records management

4.9 Staff must maintain all records relevant to administering this procedure in a recognised University recordkeeping system.

## 5 DEFINITIONS

5.1 Terms not defined in this document may be in the University [glossary](#).

## 6 RELATED LEGISLATION AND DOCUMENTS

[Amended Results – Multiple Students/Multiple Courses](#)

[Application for Award Eligibility](#)

[Assessment Coversheet](#)

[Assessment/Participation Files Checklist \(Contractors\)](#)

[Assignment Box Register](#)

[AVETMISS/VQF Files Checklist \(Flexible Delivery\)](#)

[AVETMISS/VQF Files Checklist \(Block Release\)](#)

[Continuous Improvement Policy \(VET\)](#)

[Direct Supervision Agreement](#)

[Educational Content Delivered/Attendance/Assessor's Notes](#)

[Interim Roll](#)

[National Vocational Education and Training Regulator Act 2011 \(Cwlth\)](#)

[Practical Assessment – Simulated Workplace Observation](#)

[Records Management Policy and Procedure](#)  
[Student Induction Policy and Procedure \(VET\)](#)  
[Third Party Report](#)  
[Tracking of Student Progress \(Block/Group of Students\)](#)  
[Tracking of Student Progress \(by Student\)](#)  
[Tracking of Student Progress by Qualification](#)  
[Training and Assessment Plan – Student](#)  
[Training and Assessment Plan – Trainer](#)  
[Training and Assessment Strategy](#)  
[Training Product Review Meeting \(VET\) Work Instruction](#)  
[Validation of Training and Assessment Material](#)  
[Validation Schedule](#)  
[VET Quality Framework](#)  
[Workplace Observation Co-Assessment with Subject Matter Expert](#)

## 7 FEEDBACK

7.1 University staff and students may provide feedback about this document by emailing [policy@cqu.edu.au](mailto:policy@cqu.edu.au).

## 8 APPROVAL AND REVIEW DETAILS

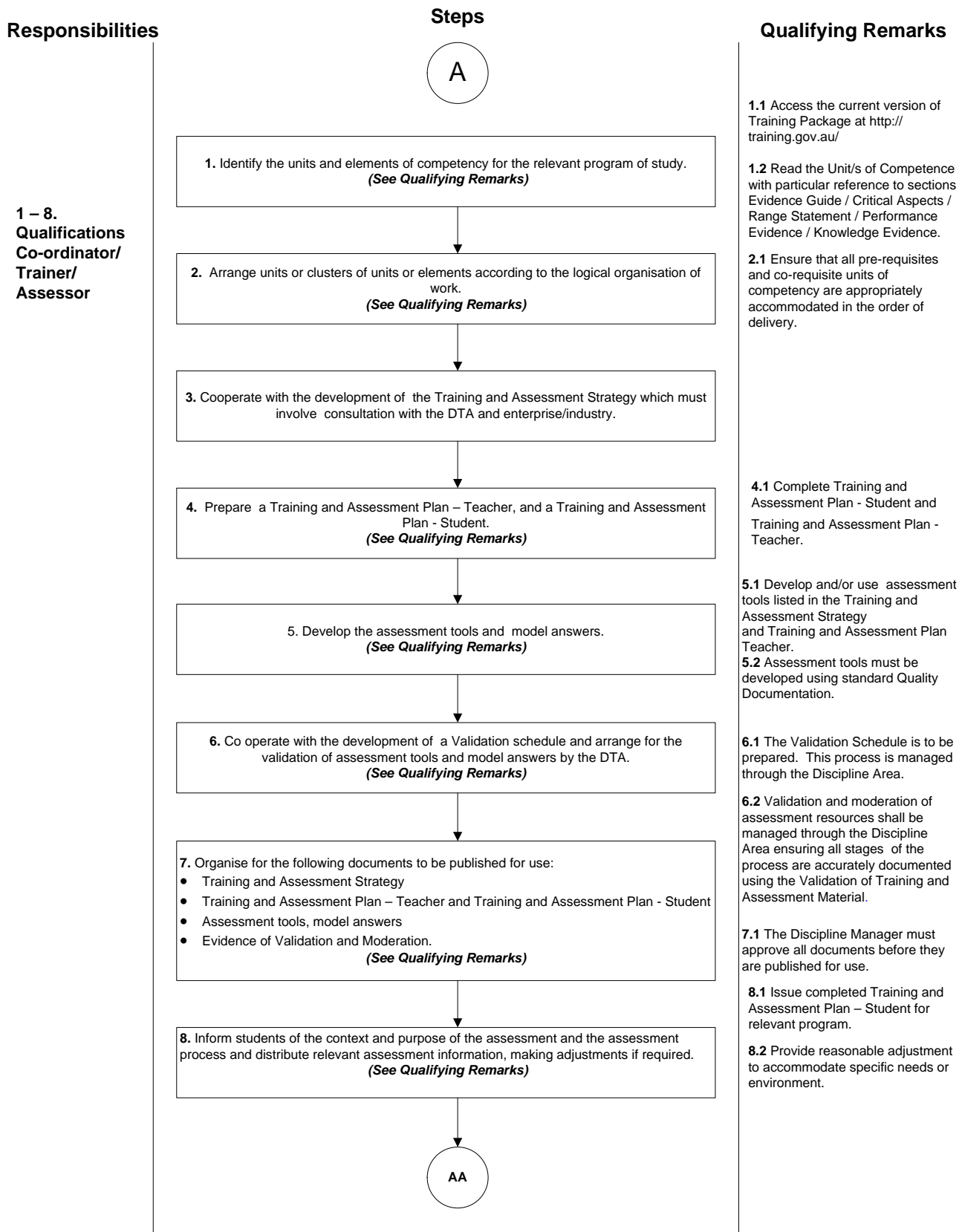
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Advisory Committee to Approval Authority	Learning and Teaching Committee
Administrator	Pro Vice-Chancellor (VET Operations and Growth)
Next Review Date	20/07/2019

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Amendment Authority and Date	Vice-Chancellor and President 12/06/2014; Academic Board 20/07/2016; Amended and updated in new template - Pro Vice-Chancellor (VET Operations and Growth) 03/05/17.
Notes	

## 9 APPENDICES

### Appendix A: Assessment and tracking flowchart

#### Assessment and Tracking Procedure

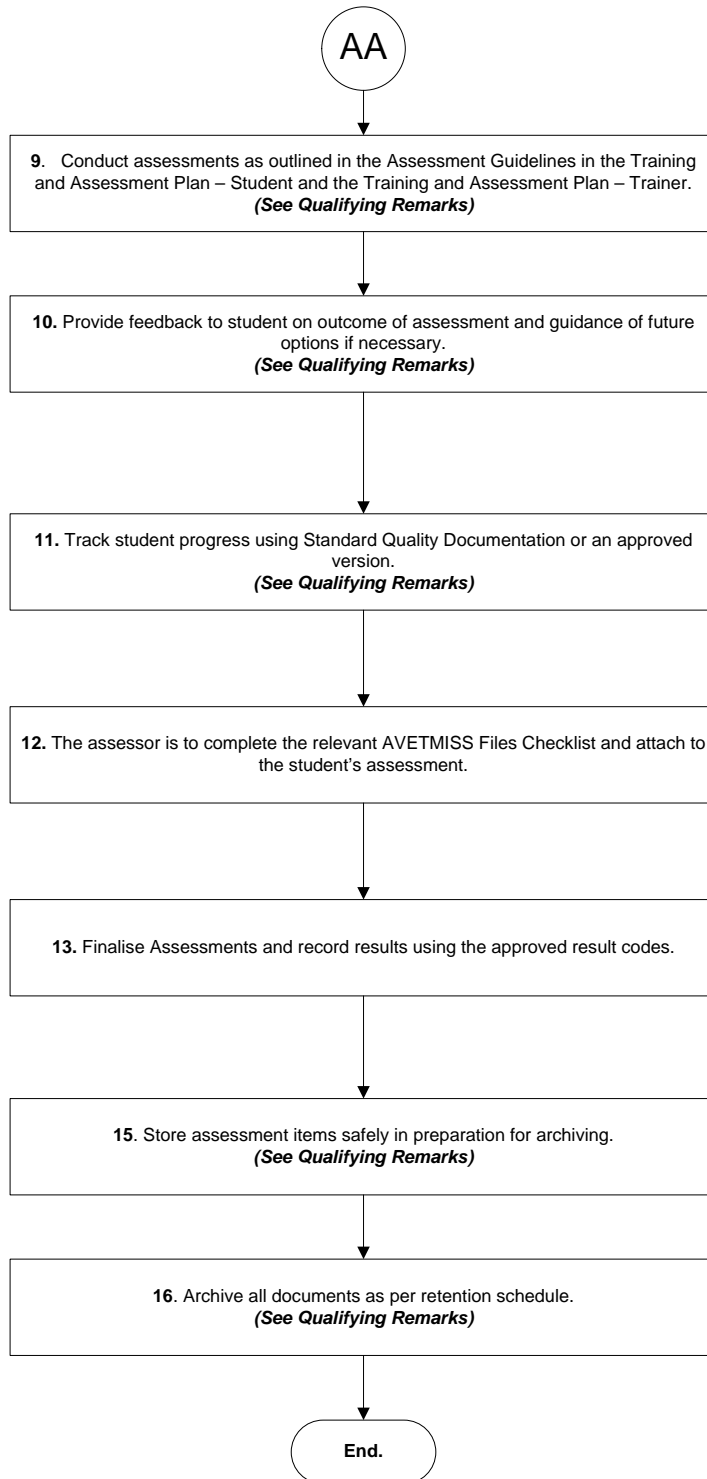


# Assessment and Tracking Procedure

## Responsibilities

**9 - 15. Trainer/  
Assessor**

## Steps



## Qualifying Remarks

**9.1** If student is unsuccessful on first attempt, the assessor is to refer to the Training and Assessment Plan – Trainer regarding the reassessment process.

**10.1** Assessment Cover Sheet may be used to provide written feedback.

**11.1** Refer to the Tracking of Student Progress (a, b, c) and the Trainer and Assessor Tracking Checklist used for the purpose of tracking student progress.

**11.2** Alternate tracking documents may be used but they must be approved by Vocational Quality.

**12.1** For Assessments conducted by partners or subcontractors completed assessment cover sheets must be forwarded to DM for processing. Validation must be completed by the client if using their own tools: Refer to Training Product Review Meeting Procedure.

**16.1** All student assessment items are to be retained in line with Queensland State Retention Schedule. Refer to Records Management Policy and Procedure.

**16.2** Details of the assessment and outcomes to accompany records. ie. Assessment Cover Sheet.

# Assessment and Tracking Procedure

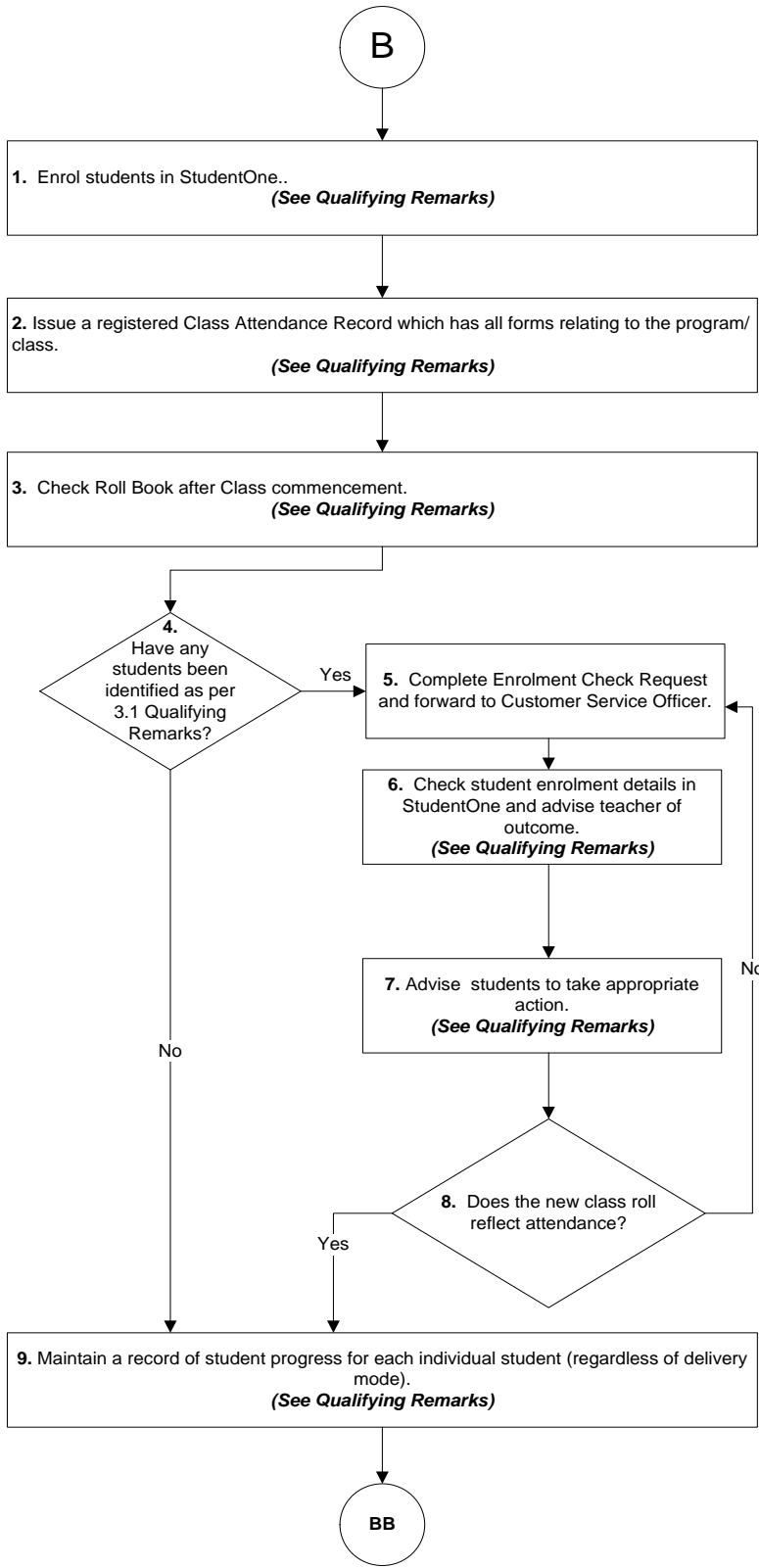
## Responsibilities

## Steps

## Qualifying Remarks

**1. Customer Service Officer**

**2 – 9. Trainer/ Assessor**



**2.1** Refer to Class Attendance Records Work Instruction.

**2.2** For external/ distance/ online delivery, no rolls are required. However participation evidence should be recorded on either:

Student Contact Report (School/ Workplace Visit); or

Student Contact Report (External Contact).

**3.1** Need to identify students who are in class, but **DO NOT** appear on roll list or students who are not in class but **DO** appear on roll list.

**6.1** Details are recorded on the Enrolment Check Request.  
**6.2** Print updated roll for students enrolled but not listed on original roll.

**7.1** Appropriate action may include:  
- ask student to enrol  
- phone/email student and confirm if they will be attending the class  
send apprentice/trainee back to work.

**7.2** Teacher to initiate drop paperwork if applicable.

**9.1** For details of tracking requirements see Section A of this procedure.

**9.2** Each tracking sheet must be signed and dated by Delivery Staff.

**9.3** Information to include the assessment methods undertaken, the number of attempts, dates of attempts and final grade of each unit of competency.



## Appendix B: Requirements for assessment tools

Assessment Documents	Quality Document	Requirements (Minimum Guide Only)
Theory Exam	Assessment Coversheet	<ol style="list-style-type: none"> <li>1 Use CQUniversity Cover Page</li> <li>2 Model Answers</li> <li>3 Statements outlining what constitutes a successful outcome</li> </ol>
Assignment	Assessment Coversheet	<ol style="list-style-type: none"> <li>1 Use Institute Cover Page</li> <li>2 Model Answers</li> <li>3 Statements/Instructions outlining what constitutes a successful outcome</li> </ol>
Practical	Practical Assessment – Simulated Workplace/Observation Assessment	<ol style="list-style-type: none"> <li>1 Clear instructions outlining the actual practical task/s</li> <li>2 Teacher completed JSA</li> <li>3 Each observations in the Observation Checklist to be mapped to the Unit/s of Competency</li> </ol>
Third Party Reports	Third Party Report	<ol style="list-style-type: none"> <li>1 Tasks must be written as observable tasks</li> <li>2 Use language which is easily understood in industry</li> </ol>
Training and Assessment Plan – Teacher	Training and Assessment Plan – Trainer	<ol style="list-style-type: none"> <li>1 Assessment Matrix must show mapping to all aspects of the Unit of Competence</li> <li>2 Names of the assessment tools must match the names used on the Training and Assessment Strategy</li> <li>3 Should be a stand-alone document which provides clear guidance for colleagues to understand what resources and assessment tools are required to deliver and assess the unit/s</li> <li>4 Delivery Plan should clearly indicate the timing, content and resources for each session within the plan (AVETMISS compliance)</li> </ol>
Training and Assessment Plan – Student	Training and Assessment Plan – Student	<ol style="list-style-type: none"> <li>1 Much of the information in this document can be copied from the Training and Assessment Plan – Trainer</li> <li>2 Ensure list of resources which the student must supply is clear and complete</li> <li>3 Names of the assessment tools must match the names used on Training and Assessment Plan - Trainer</li> </ol>