

ASSESSMENT POLICY

QUALITY AREA 1 – TRAINING AND
ASSESSMENT

ASSESSMENT POLICY

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PURPOSE

Upskill U Pty Ltd is committed to providing quality training and assessment in accordance with Standards 1.3 - 1.5 of the National Vocational Education and Training Regulator (Outcome Standards for NVR Registered Training Organisations) (referred to herein as the Outcome Standards). As such, Upskill U Pty Ltd is required to implement an assessment system that ensures assessments (including recognition of prior learning) comply with the assessment requirements of National Training Packages and VET Accredited courses within its scope of registration.

This policy ensures Upskill U Pty Ltd's assessment practices comply with the Outcome Standards, provides Upskill U Pty Ltd's Assessors with clear information on assessment processes and evidence requirements, and ensures that assessments are conducted in accordance with the Principles of Assessment and Rules of Evidence.

SCOPE

This policy applies to all staff involved in the development, delivery, conduct, marking and validation of assessments at Upskill U Pty Ltd, across all Nationally Recognised Training Products within our scope of registration.

It also applies to Students and Candidates enrolled with Upskill U Pty Ltd and undertaking any Assessment or course offerings.

POLICY STATEMENT

Upskill U Pty Ltd offers assessment opportunities to all enrolled students. Upskill U Pty Ltd is committed to ensuring that all assessment is conducted in a fair and equitable manner, meeting the requirements of the relevant Training Package, industry expectations and standards.

Upskill U Pty Ltd applies flexible assessment options, which recognise the diversity of individual student needs and circumstances, facilitating wherever possible the realisation of their learning and vocational goals.

Upskill U Pty Ltd ensures that:

- All assessment options and processes implemented comply with competency-based assessment and Training Package requirements;
- All assessments ensure the integrity of the VET system;
- Assessment complies with the Principles of Assessment as prescribed in the Outcome Standards
- Evidence submitted for assessment is assessed in accordance with the Rules of Evidence as prescribed in the Outcome Standards; and
- All assessments are conducted by individuals who meet the necessary requirements in the Outcome Standards and related Credential Policy.

Upskill U Pty Ltd is committed to ensuring all assessment practices:

- Reflect the intent of the Training Package or accredited course;
- Support accurate assessment of student competency;
- Maintain fairness, flexibility, validity, and reliability;
- Are quality assured through a structured and documented validation process;
- Provide equitable assessment opportunities and recognise prior learning.

UNDERPINNING PRINCIPLES

Competency-based assessment is a system for collecting evidence of a student or candidate's performance against predetermined competency standards. The focus is on what the individual can demonstrate (the outcome), rather than comparing their achievement to that of others.

There is no concept of pass or fail or grading system, only competent (C) or not yet competent (NYC). The training is focused and allows for greater participation of the student or candidate in the assessment process.

THREE LEVELS OF ASSESSMENT

Various levels of assessment are utilised, including:

Diagnostic (Pre-assessment)

- Identifies a student's existing knowledge, skills, and abilities prior to training. It provides baseline information that may help diagnose skill gaps or training needs. This may occur prior to or during enrolment utilising the Pre-Training Review and LLN&D Assessment.

Formative assessment

- Supports the learning process having students undertake informal assessment and practice tasks that prepare them for formal assessment. Formative assessment is generally not marked or assessed by the Assessor and used as a self-assessment during the learning and training component of a course.

Summative assessment

- Summative assessment confirms that competency requirements have been met, using assessment tools and tasks developed by Upskill U Pty Ltd. It is marked and assessed by a qualified Assessor and forms the basis for the final assessment judgment for the course.

Where assessment is conducted open book, modes may include:

- On-the-job
- As part of training
- Off-the-job (Simulated environment)
- Completion and submission of assignments / work projects
- Recognition of Prior Learning (RPL)

Upskill U Pty Ltd will outline the assessment methods used within the Training and Assessment Strategy developed for each course offering.

Evidence gathering methods commonly used by Upskill U Pty Ltd include, but are not limited to:

- Projects
- Written Assignments
- Workplace assignments
- Workplace performance
- Documentation
- Demonstration
- Questioning
- Role play
- Simulation
- Oral presentations
- Written tests
- Portfolio
- Third-party reports

Each Assessment piece will include clear instructions and outline:

- Mode of assessment
- Student and assessor expectations and requirements
- Conditions surrounding the assessment
- Benchmark responses

Assessment is carried out in accordance with the requirements of the relevant Training Package; using a consistent, structured process that ensures that learning has taken place prior to undertaking assessment and that students have acquired the knowledge and skills required to demonstrate competency.

The Training and Assessment Process follows: Train, absorb, practice and assess.

Formal Training and Assessment Method



Made with Napkin

RPL Assessment Method



Made with Napkin

All assessments are recorded in accordance with the Records Management Policy and procedures using appropriate documentation and Student Management System (SMS).

Assessment outcomes are recorded and securely maintained in either electronic or paper-based record keeping systems.

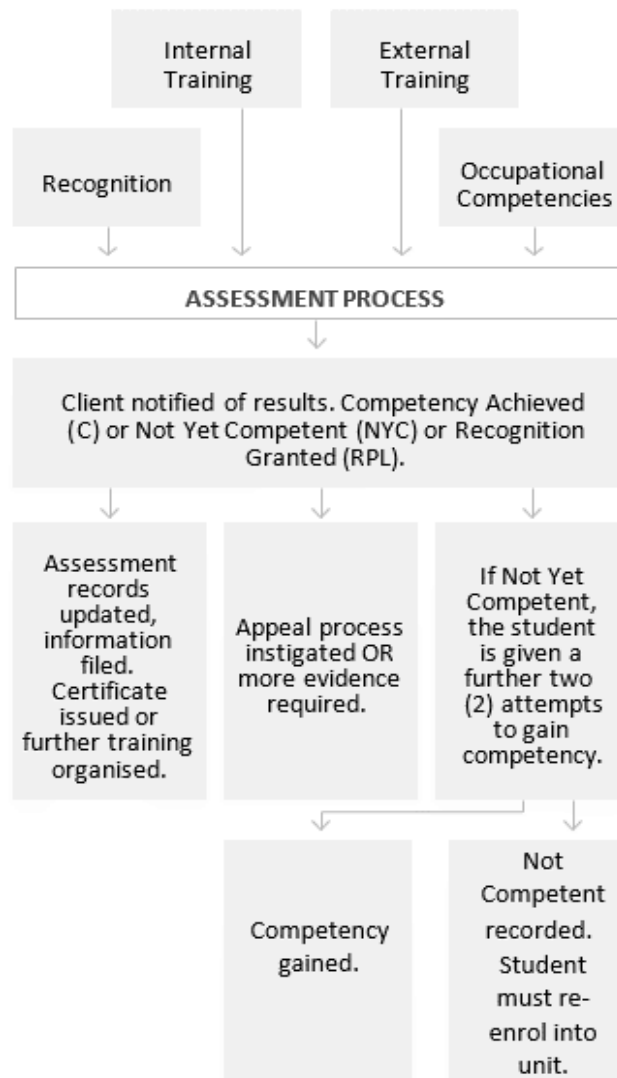
Feedback is provided to students and includes the assessment outcome and guidance for further learning and assessment (as appropriate).

ASSESSMENT SYSTEM – FIT FOR PURPOSE

The assessment system ensures assessment is conducted in a way that is fair and appropriate and enables accurate assessment judgement of student competency. Upskill U Pty Ltd ensures that assessments are fit-for-purpose and consistent with the training product:

- Assessment tools are mapped to the unit or module requirements.
- All assessment tools are reviewed prior to use by qualified assessors and/or subject matter experts and as outlined within the 'Validation Policy'.
- Feedback from students, industry, and assessors is incorporated into tool reviews.
- The outcome of each review is documented and used to revise and improve tools where needed.
- Tools may be contextualised, but not compromised, to suit delivery modes and student and candidate cohorts.

THE ASSESSMENT MODEL



EXTENUATING CONSIDERATIONS

Students who experience unforeseen or extenuating circumstances or have additional needs that affect their performance in an assessment may be eligible to apply for reasonable adjustments and the development of an individual support plan to assist in the completion of the assessments.

Special consideration may apply to students who during training or assessment experience one of the following circumstances:

- Serious illness or psychological conditions, for example, hospital admission, serious injury, severe anxiety or depression (requires doctor's certificate).
- Bereavement.
- Hardship/Trauma for example, victim of crime, sudden unemployment.
- Other exceptional circumstances (to be assessed on application).

Students wishing to apply for adjustments in the above circumstances may do so by discussing their circumstances with their trainer & assessor.

Approved applications for extenuating consideration may be subject to one of the following outcomes:

- Extension of submission date (not beyond 6 months);
- Deferred assessment;
- Additional assessment;
- No action;
- Withdrawal from course without penalty;
- Resubmit/reassessment; or
- Opportunity to recommence course, dependent on availability on another date.

If the student needs to either temporarily or permanently cease all training and assessment see 'Withdrawal, suspension and Cancellation Policy and Procedure'

REASONABLE ADJUSTMENTS TO ASSESSMENT

All Students and Candidates have the right to apply for and receive adjustment to assessment activities to accommodate individual/special needs.

Adjustments to assessment cannot compromise the integrity of the unit of competency including:

- A reduction of, or not assessing all, required elements, performance criteria, performance evidence, knowledge or foundation skills of the unit of competency.

Adjustments to assessment will not provide an unfair advantage/ disadvantage to students.

ASSESSMENT SUBMISSION

All assessments submitted must include a completed assessment cover sheet for student identification, disclaimer, declaration and evidence of submission purposes.

Students are allowed three (3) attempts at assessment; the trainer will provide feedback and guidance if not yet competent is the outcome. Fees may apply for a "Re-submit", at the discretion after the three attempts have been exhausted, for further details see 'Schedule of Fees'.

Assessment resubmission will only be allowed within a four (4) week period from the original result of assessment date, unless otherwise permitted.

Students will need to re-enrol or undertake further learning in the not yet competent units, and additional fees may apply.

PRINCIPLES OF ASSESSMENT

Assessments are conducted in accordance with the Principles of Assessment. An NVR registered training organisation (RTO) demonstrates:

<p>Fairness</p>	<p>Assessment accommodates the needs of the VET student, including implementing reasonable adjustments where appropriate and enabling reassessment where necessary.</p> <p>Upskill U Pty Ltd will ensure:</p> <ul style="list-style-type: none"> • Students are informed of the assessment process and performance expectations. • Reasonable adjustments are made where appropriate. • Students are given opportunities to be reassessed and to appeal assessment outcomes.
<p>Flexibility</p>	<p>Assessment is appropriate to the context, training product and VET student, and assesses the VET student’s skills and knowledge that are relevant to the training product, regardless of how or where the VET student has acquired those skills or that knowledge.</p> <p>Upskill U Pty Ltd will ensure:</p> <ul style="list-style-type: none"> • Assessment considers the individual student’s needs, learning styles, and existing knowledge. • A variety of assessment methods are used to accommodate diverse learning contexts and student backgrounds.
<p>Validity</p>	<p>Assessment includes practical application components that enable the VET student to demonstrate the relevant skills and knowledge in a practical setting.</p> <p>Upskill U Pty Ltd will ensure:</p> <ul style="list-style-type: none"> • Assessments are aligned with the training product requirements. • Knowledge and skills are demonstrated through practical application. • The full range of required skills and knowledge is assessed.
<p>Reliability</p>	<p>Assessment evidence is interpreted consistently by assessors and the outcomes of assessment are comparable irrespective of which assessor is conducting the assessment.</p> <p>Upskill U Pty Ltd will ensure:</p> <ul style="list-style-type: none"> • Assessment outcomes are comparable across different assessors. • Assessment tools contain clear criteria to support consistent judgments.

RULES OF EVIDENCE

An NVR RTO demonstrates compliance with the Rules of Evidence. Assessment judgments are made using evidence that is:

Validity	<p>Assessment evidence is adequate, such that the assessor can be reasonably assured that the VET student possesses the skills and knowledge described in the training product.</p> <p>Upskill U Pty Ltd will ensure:</p> <ul style="list-style-type: none">• Directly aligned with the unit of competency's requirements.
Sufficiency	<p>The quality, quantity and relevance of the assessment evidence enable the assessor to make an informed judgement of the VET student's competency in the skills and knowledge described in the training product.</p> <p>Upskill U Pty Ltd will ensure:</p> <ul style="list-style-type: none">• A wide range and depth of evidence is collected and includes enough quality to support an informed decision about competence.
Authenticity	<p>The assessor is assured that a VET student's assessment evidence is the original and genuine work of that VET student.</p> <p>Upskill U Pty Ltd will ensure:</p> <ul style="list-style-type: none">• Student or candidate identity and original work are confirmed, including against academic misconduct risks.
Currency	<p>The assessment evidence presented to the assessor documents and demonstrates the VET student's current skills and knowledge.</p> <p>Upskill U Pty Ltd will ensure:</p> <ul style="list-style-type: none">• Evidence demonstrates that the student's or candidate's skills and knowledge are recent and reflect current capability.

ASSESSMENT RESOURCES

Assessment resources are developed in consultation with industry.

Assessment tools are reviewed prior to use to ensure assessment can be conducted in a way that is consistent with the Principles of Assessment and Rules of Evidence set out under Standard 1.4 of the Outcome Standards.

Assessment tools are the resources used by assessors to identify and record the skills and knowledge students must demonstrate to be deemed competent in a unit/module.

Assessment tools are crucial for the accurate and consistent assessment of students against competency standards.

Assessment tools are required as evidence of assessment and must be retained on record as proof that a person was assessed as competent, for a minimum period of two (2) years.

Assessment tools consist of:

- Instructions for students and candidates;
- Instructions for assessors;
- Assessment instruments;
- Assessment briefing;
- Assessment checklists; and
- Assessment outcome Summary.
- Confirmation of necessary equipment, resources and conditions of the assessment

ASSESSMENT VALIDATION

Upskill U Pty Ltd assessment policies, processes, resources and outcomes are validated regularly and in line with Upskill U Pty Ltd validation schedule. (See Validation Policy).

ASSESSMENT MARKING

Assessments are assessed/marked in order of submission date.

When marking assessments, assessors make comments and provide genuine feedback throughout the assessment.

Each individual assessment task is evaluated as either 'Satisfactory' or 'Not Yet Satisfactory'.

After all assessment tasks within a Unit of Competency have been completed and marked:

- If any assessment task is marked 'Not Yet Satisfactory', the overall outcome for the unit will be Not Yet Satisfactory.
- If all assessment tasks are marked 'Satisfactory', the overall outcome for the unit will be Competent.

Marking Guides are provided to give benchmark responses for questions and tasks.

Validity of responses must be checked to ensure that no verbatim responses from other students, Internet sources or benchmarks have been used as outlined within the 'Academic Integrity Policy'.

Students or candidates are notified of assessment outcomes within two (2) weeks of submission.

The assessment outcome will be recorded on the "final competency result" page for each unit/cluster.

ASSESSMENT DECISIONS AND OUTCOMES

After all assessment tasks within a Unit of Competency/Cluster have been completed and marked:

- If any assessment task is marked Not Yet Satisfactory, the overall outcome for the unit will be Not Yet Competent. The assessor will provide feedback to the student or candidate, offering guidance on areas deemed as 'Not Yet Satisfactory.'
- If all assessment tasks are marked Satisfactory, the overall outcome for the unit will be Competent.

Assessment outcomes are recorded as one of the following:

- **Competent (C)** – Students and candidates are deemed 'competent' when they have consistently demonstrated their skills and knowledge to the standard required in the workplace, for a full unit/module.
- **Not Yet Competent (NYC)** – Students and candidates are deemed 'Not Yet Competent' when they are unable/have not demonstrated appropriate levels of competence in accordance with the minimum performance standards for a full unit/module.

Students and candidates assessed as 'Not Yet Competent' shall receive feedback and guidance from the assessor and may be required to undergo further training before reassessment. Students have three (3) attempts to gain competency.

ASSESSMENT JUDGEMENTS

Assessment Judgements can only be made ensuring the following has been met:

- Assessors hold appropriate vocational and assessment credentials.
- Assessment decisions are based on the evidence presented and judged consistently using clear benchmarks and instructions.
- All Assessors are supported through moderation and professional development to ensure the integrity of assessment decisions.
- Assessment responses meet required benchmark responses or industry-appropriate responses.
- In instances where Student or Candidate responses are not reflective of benchmark responses but are industry appropriate, the Assessor must provide commentary that justifies how this response is sufficient.

ASSESSOR CODE OF CONDUCT

All Upskill U Pty Ltd assessors abide by the following code of conduct. Assessment specialists have developed an international code of ethics and practice (The National Council for Measurement in Education (NCME)). The Code of Conduct below is based on the international standards:

- Abide by all Assessment practices outlined within the Assessment Policy.
- The differing needs of Students will be identified and handled with sensitivity.
- All forms of harassment will be managed throughout the planning, conduct, reviewing and reporting of the assessment outcomes as per the Access and Equity Policy.
- The rights of the Student or Candidate are protected during and after the assessment.

- Personal or interpersonal factors that are not relevant to the assessment of competency must not influence the assessment outcomes as per the Feedback, Complaints and Appeals Policy.
 - The student or candidate is made aware of rights and processes of appeal.
 - Evidence that is gathered during the assessment is verified for validity, reliability, authenticity, sufficiency and currency.
 - Assessment decisions are based on available evidence that can be accessed and verified by another assessor.
 - Assessments are conducted within the boundaries of the assessment system policies and procedures.
 - Formal agreement is obtained from both the student and the assessor that the assessment was carried out in accordance with the procedures briefed before the commencement of the assessment.
 - Assessment tools, systems, and procedures are consistent with equal opportunity legislation.
 - Prior to the assessment the student or candidate is informed of all assessment reporting processes and all known potential consequences of decisions arising from the assessment.
 - Confidentiality is maintained regarding assessment results and are only released with the written permission of the student or candidate.
 - The assessment results are used consistently with the purpose explained to the student.
 - Self-assessments are periodically conducted to ensure current competencies against the Training and Assessment Competency Standards.
 - Professional development opportunities are identified and sought by assessors.
 - Opportunities for networking amongst assessors are created and maintained with technical assistance in planning, conducting and reviewing assessment procedures and outcomes.
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RECOGNITION OF PRIOR LEARNING

All students and candidates are offered access to Recognition of Prior Learning (RPL). (See Recognition Policy).

PLAGIARISM, CHEATING AND COLLUSION IN ASSESSMENT

Please refer to the Academic Integrity Policy for further information.

ASSESSOR REQUIREMENTS

Trainers/Assessors hold appropriate vocational and assessment credentials. (See Trainer & Assessor Policy).

ACCESS AND EQUITY

Students and candidates have fair and equal rights to assessment. (See Equal Opportunity and Inclusion Policy).

RECORDS MANAGEMENT

All completed assessment items for all students will be kept by Upskill U Pty Ltd for a minimum of two (2) years after the completion of their training and assessment for all students and candidates.

All assessment outcomes and qualifications/Statements of Attainment issuance information will be recorded and kept for a period of 30 years. All documentation from assessment processes is maintained in accordance with Records Management Policy.

CONTINUOUS IMPROVEMENT

All Assessment practices are monitored by the Chief Executive Officer and areas for improvement identified and acted upon. (See Continuous Improvement Policy).

Assessment practices and systems are continuously reviewed through:

- Student and assessor feedback
- Internal audits and
- Pre-validation activity outcomes
- Systematic review post-validation of student cohorts
- Improvement actions documented and tracked in the Continuous Improvement Register

Upskill U Pty Ltd values feedback and is committed to continuously improving the quality of the training and support we offer. We encourage all students and candidates to share their feedback, make appeals on assessment decisions, and raise any complaints they may have regarding the Assessment Policy; this is detailed in our Feedback, Complaints and Appeals Policy.

POLICY IMPLEMENTATION

The implementation of this policy is supported by:

- Staff induction and training on assessment requirements
- Internal audits and validation activities
- Stakeholder feedback

Compliance with this policy will be reviewed at least annually, as part of Upskill U Pty Ltd's quality assurance cycle, in alignment with our Self-Assurance Schedule.

ACCOUNTABILITY

The following table outlines the key roles within the organisation and their specific responsibilities in relation to the implementation, monitoring, and continuous improvement of this policy. Each role is accountable for ensuring the policy is upheld in practice and integrated effectively into relevant operational and compliance processes.

ROLES	RESPONSIBILITIES
Chief Executive Officer	<ul style="list-style-type: none"> • Oversight of assessment policy compliance, ensuring resources and staff capabilities align with legislative requirements.
Trainers and Assessors	<ul style="list-style-type: none"> • Ensure they assess and judge a student's/candidate's skills and knowledge of competence against set standards, Principles of Assessment and Rules of Evidence. • Ensure that safety of the personnel involved in the assessment is consistently maintained. • Ensure that assessment focuses on the application of knowledge and skills to the standard of performance required in the workplace and covers all aspects of workplace performance. • Ensure the assessment process is open, structured, consistent and comprehensive incorporating feedback to the student on the outcomes of the assessment process, as well as information regarding the appeals procedure and guidance on other options. • Interpret and understand the performance criteria and evidence requirements. • Select appropriate assessment methods and materials. • Make fair and objective judgements. • Abide by the Code of Conduct. • Provide all relevant paperwork to administration for processing in a timely manner. • Conduct assessments in line with this policy, participate in validation, and maintain currency in their field.
Compliance Team	<ul style="list-style-type: none"> • Monitor and evaluate the effectiveness of assessment practices, manage documentation and improvements. • All appointed and authorised assessors possess and maintain relevant qualifications and vocational competency in accordance with those required in Outcomes Standards and the related Credential Policy. • Students and candidates are provided information on the assessment process prior to assessments being conducted. • Assessors incorporate the Principles of Assessment including validity, reliability, flexibility and fairness when conducting assessments. • Assessors apply the Rules of Evidence including validity, sufficiency, currency and authenticity when conducting assessments. • Assessment processes provide for Recognition of Prior Learning (RPL) where applicable. • An effective feedback mechanism is established and implemented to inform students and candidates on their assessment progress and results.

	<ul style="list-style-type: none"> • An effective recording and reporting process of the unit of competency/module including access to information by students and candidates to their records. • Students and candidates have access to an open, equitable and transparent appeals process. • Ongoing internal monitoring and validation of the assessment system for quality control checks.
Assessment Development Team	<ul style="list-style-type: none"> • Is responsible for ensuring assessments comply with the requirements of national training packages, the AQF framework and the Outcomes Standards and that they are within the current scope of registration. • Must ensure the assessment process is open, structured, consistent and comprehensive, incorporating feedback to the student on the outcomes of the assessment process, as well as information regarding the appeals procedure and guidance on other options. • Is responsible for ensuring that assessment strategies are designed with flexibility to accommodate the diverse needs and circumstances of all students, including those who may be disadvantaged due to socio-economic status, language background, literacy, numeracy, or digital literacy challenges.

MONITORING

The Accountable Officer is responsible for ensuring Policy Instruments are reviewed, normally on a five-year cycle from the date they came into effect or the date of the last review. An earlier review of the Policy Instrument may be initiated if significant regulatory changes occur or a need identified. A Policy Instrument under review remains in force until the revised Policy Instrument is approved.

POLICY INFORMATION	
Accountable Officer	Sarah Nicholson – CEO
Date Effective	1/07/25
Review Date	1/07/30
Version Number	1

REGULATORY FRAMEWORK

This policy has been developed with reference to a range of legislative instruments, standards, guidelines, and regulatory principles that govern our operations as an RTO. These frameworks ensure that we operate with integrity, uphold quality training and assessment practices, and meet our legal obligations to students, regulators, and the broader community.

The following documents underpin the principles and practices outlined in this policy and should be considered in its application:

- [AQF Glossary of Terminology](#)
 - [AQF Qualifications Issuance Policy](#)
 - [Copyright Act 1968](#)
 - [Credential Policy - Standards for Registered Training Organisations](#)
 - [National Vocational Education and Training Regulator \(Outcome Standards for Registered Training Organisations\) Instrument 2025](#)
 - [The Australian Qualifications Framework](#)
 - [Privacy Act 1988](#)
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RELATED DOCUMENTS

For a complete and centralised list of interconnected documents - including associated policies, procedures, forms, and checklists - please refer to the Dependency Matrix located within the Quality Manual. This matrix has been designed to support consistency, version control, and alignment across the broader compliance framework.

DEFINITIONS

To ensure consistency and clarity across all policies, procedures, and supporting documents, Upskill U Pty Ltd maintains a centralised Definitions Library, located within the Quality Manual. This resource contains standardised definitions of key terms and acronyms commonly used throughout our quality management system and compliance framework. All documents should be read in conjunction with the Definitions Library to support accurate interpretation and application of terminology. Where a term is used within this policy and is not explicitly defined herein, it should be understood according to its definition in the Definitions Library. The Definitions Library is reviewed and maintained regularly to reflect changes to legislation, regulatory standards, and sector-specific terminology. Any suggestions for additions or amendments to the Definitions Library should be directed to the Chief Executive Officer for consideration as part of our continuous improvement practices.
