

# RTO

## RTO Policy 4: Assessments

BE HEARD.  
BE RECOGNISED.



# OWNERSHIP

This policy is the responsibility of CPA Australia’s Registered Training Organisation (**CPA Australia RTO**) working group (**CPA Australia RTO Working Group**).

## Scope

CPA Australia Ltd (**CPA Australia**) has established this policy to support the Australian Skills Quality Authority (**ASQA**) *Standards for Registered Training Organisations (RTO) 2015*. The policy has been developed and implemented by the CPA Australia RTO Working Group to support and provide clear instruction and guidance to program Candidates and CPA Australia RTO Personnel who are involved in the assessment process of education programs offered by CPA Australia’s RTO.

## Review and Maintenance

Maintenance and review of the CPA Australia RTO Assessments Policy is the responsibility of the CPA Australia RTO Working Group. The CPA Australia RTO Working Group will maintain ongoing records of the elements and application of this policy. The CPA Australia RTO Working Group will provide ongoing reports to all relevant stakeholders.

## Change Record

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\* This policy replaces the previous RTO CPA Participant Assessment Policy V1.1 (#416042\_1) and RTO CPA Individual Assessment Policy V1.1 (#415793\_1) documents used when registered with VRQA.

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# POLICY

## Introduction

This policy provides clear guidelines on CPA Australia's assessment approaches to all programs offered under its Registered Training Organisation (RTO) approved status. The assessment policy has been designed to provide both Candidates and CPA Australia Personnel with a clear understanding of the assessment approaches, processes and requirements utilised by CPA Australia.

Assessment is the process of collecting evidence and making judgments as to how well Candidates have achieved the intended learning and performance outcomes. It is the means by which progress or competency (achievement) in a unit of competency is evaluated. Assessment is a key component of the teaching and learning environment.

The endorsed units of competency are the benchmarks for assessment. As such, they provide the basis for nationally recognised Australian Qualifications Framework (AQF) qualifications and statements of attainment issued by RTOs.

Training Packages are utilised as benchmarks for assessment and describe the skills and knowledge needed to perform particular work. They specify the standard of performance required by industry, the conditions under which the competency is to be performed and the evidence that is required to have been observed to deem a person as competent in that job. Full copies of the units of competency contained within each program offered by CPA Australia's RTO can be accessed at Training.gov.au (TGA), the database on Vocational Education and Training in Australia [www.training.gov.au](http://www.training.gov.au).

## National Assessment Principles

The principles of assessment are used to guide all stages and aspects of the assessment process to ensure a quality assessment is administered by an RTO delivering training as part of the Vocational Education and Training (VET) sector. A quality assessment must be;

- **Valid** – all outcomes, performance criteria and evidence requirements set out in a unit of competency are addressed by the assessment in a way that meets industry requirements and at the correct AQF level
- **Reliable** – all assessment methods and procedures are applied consistently to the interpretation of evidence and the consistency of assessment outcomes
- **Fair** – the assessment process is clearly understood by the candidates and agreed with both Assessors and Candidates, and meets the needs of the Candidate in achieving the required skills and knowledge components
- **Flexible** – the assessment process is considerate of the various needs of all parties involved and complies with the principles of access and equity.

## Required Knowledge

The required knowledge differs across the range of products offered by CPA Australia RTO. It is therefore essential that assessment procedures for all education offered under the CPA Australia RTO Scope of Registration incorporate the required knowledge of the training package, as well as focus on the practical application of that knowledge in the workplace. When selecting approaches to assessment, it is important to include strategies that ensure that both these requirements have been satisfied.

### RG 146 Compliance Solution Program

The *Corporations Act 2001:912A General obligations of the licensee* requires that licensees must adequately train and supervise their representatives, and must themselves be competent. In line with this obligation, the Australian Skills & Investments Commission (**ASIC**) has set minimum standards of training for financial planners in Regulatory Guide 146 Licensing: Training of financial product advisers more commonly referred to as RG 146.

The training standards in RG 146 should be read with the Financial Services Training Package (**FSTP**). The FSTP is an integrated set of nationally endorsed competency standards, assessment guidelines and Australian Qualifications Framework qualifications for the financial services industry developed and endorsed under the National Training Framework.

### Certificate IV in Finance and Mortgage Broking

ASIC set the education requirements for mortgage brokers in *RG 206: Credit licensing – Competence and training* as:

Representatives who provide third-party home loan credit assistance need to have at least a Certificate IV in Finance and Mortgage Broking and undertake at least 20 hours of CPD per year.

## Assessment Methodology

Extensive consultation with industry and subject matter experts has been undertaken to develop the assessment strategies utilised by CPA Australia's RTO. These include but are not limited to:

- Written assignments;
- Multiple choice questions
- Written and oral presentations
- Role-play;
- Evidence of prior knowledge; and
- Graphic presentation.

## Responsibilities

### Candidates

Candidates who undertake a program offered by CPA Australia's RTO are expected to comply with the principles of academic integrity when involved in the learning and assessment process. Candidates will:

- participate in the learning and assessment process as it relates to each module or unit of study undertaken, including accepting the fair, timely and helpful assessment feedback from assessors as it relates to evaluation of the Candidates understanding, performance and progress in a module or unit of study;

- act in a manner that upholds the principles of academic integrity, avoiding plagiarism, cheating and collusion (as defined in the CPA Australia RTO Plagiarism and Academic Misconduct policy);
- complete and submit all required assessment materials as specified by each module or unit of study for evaluation of the Candidates understanding, performance and progress **by the allocated assessment due date**, along with a fully completed Assessment Cover Sheet containing a signed declaration of their agreement to be assessed;
- ensure delivery of their assessment materials to the nominated address provided whilst maintaining a copy of all submitted work for their records; and
- consult a CPA Australia RTO Personnel member should personal circumstances affecting their ability to comply with any aspect of the assessment process to the timelines agreed, including submission of assessment documentation, revised documentation or oral assessment by the assessment due date and/or agreed date of receipt.

It is the Candidates responsibility to maintain awareness of upcoming assessment due date(s) and ensure their work is submitted on time, or they contact CPA Australia RTO to discuss alternative arrangements (see Deferrals below).

## Trainers and Assessors

All individuals involved in the delivery of training and/or evaluation of Candidate assessment materials are required to comply with the principles of academic integrity when involved in the learning and assessment process. Trainers and assessors will:

- Adhere to the CPA Australia RTO Training and Assessment Strategies and timeframes governing the delivery of training and assessment activities for each module or unit of study in which a Candidate is involved;
- When required provide support to Candidates to assist with queries during the learning process;
- Provide timely and accurate feedback to Candidates relating to their assessment tasks;
- Keep accurate and secure records of Candidates assessment results;
- Provide CPA Australia RTO with accurate data relating to the Candidates assessment results and progress through the learning process; and
- Report on a Candidates progress and results in a way that is clear, concise, open and honest, focusing only on information of relevance to the Candidates progress and assessment outcomes.

## Assessment Results

On review and evaluation of a submitted assessment tool, Candidates will be awarded a “Satisfactory” or “Not Yet Satisfactory” result. If all assessment tools for a unit of competency are completed satisfactorily, the Candidate will be assessed as “Competent” or “Not Yet Competent”. The results are explained as;

- **Competent (“C”)** – the Candidate has achieved all of the learning and performance outcomes specified by the units of competence that make up the module being assessed
- **Not Yet Competent (“NYC”)** - the Candidate has not achieved all of the learning and performance outcomes specified by the units of competence that make up the module being assessed.

## Evidence Requirements

Evidence plays a crucial role in determining the outcome of an assessment, as it provides proof that the Candidate has acquired through the learning process, the skills and knowledge as defined in relevant units of competency necessary to maintain employment in a related industry or field. The standard of the evidence supplied through a Candidate’s submission of assessment materials, and assessed by an assessor, will ultimately determine whether the Candidate is “Competent” or “Not Yet Competent”.

When supplying evidence to support an assessment it is imperative that the evidence is valid, sufficient, authentic and current. All CPA Australia RTO assessors will consider these points when reviewing assessments.

## Rules for Supplying Evidence

The rules of evidence are used to guide assessors when identifying and analysing evidence. Candidates must ensure that all assessment materials provided meet the rules for supplying evidence. They are;

- **Valid** – the evidence supplied answers the questions posed by the assessment tool, underpinned by the related competency standard
- **Sufficient** – the evidence supplied is consistent with guidance provided to Candidates within the assessment tool on the style and amount of evidence needed to demonstrate competence in a particular unit
- **Authentic** – the evidence supplied is the Candidates own work and a declaration is signed by the Candidate and attached confirming this (evidence of plagiarism and/or academic misconduct is addressed in the CPA Australia RTO Plagiarism and Academic Misconduct policy). Where evidence is supplied as part of an application for recognition of prior learning (**RPL**) it may be necessary for CPA Australia RTO Personnel to contact the third parties that are listed within the RPL application to verify authenticity and validation of the evidence provided
- **Current** – the evidence supplied must be relevant and current to “today’s standards” as specified in the relevant unit of competency.

## Marking of Assessments

Upon receipt of a Candidate’s written assignment submission, CPA Australia RTO Personnel will allocate the Candidate to an assessor who will review the evidence contained in the written submission against the assessment marking guidance supplied to them by CPA Australia RTO in relation to relevant unit(s) of competency.

All written assignments will be marked within ten (10) working days of receipt. The assessor will then contact the Candidate to (a) provide feedback for Candidates to incorporate into the written work or (b) set up a time with the Candidate to complete the oral assessment. The outcome and decision of the full assessment will be communicated to the Candidate in writing by a member of CPA Australia RTO Personnel within ten (10) working days of completion of all assessment components (written assignment and oral assessment).

To ensure the identity of candidates undertaking the oral assessment, CPA Australia RTO will issue a ‘Unique Oral Assessment ID code to candidates in My Online Learning. This ‘Unique Oral Assessment ID’ will be posted in My Online Learning once the assessor has sent notification to the candidate of the successful completion of the written assignment. Candidates are required to retrieve this code (prior to their scheduled oral assessment), and **must** be quoted to the assessor prior to commencing the oral assessment.

Where a Candidate is assessed as “Competent” overall, CPA Australia RTO will award the appropriate certification with all the achieved unit(s) of competency demonstrated. Competency will not be awarded for individual elements of a unit of competency; and will only be awarded for the complete unit.

Where in the view of the assessor, the Candidate has not fulfilled the assessment evidence requirements, the Candidate will be deemed “Not Yet Competent” and will be invited to conduct further learning before submitting an application and written documentation for reassessment.

## Re-submission of Assessments

Candidates who have been deemed “Not Yet Competent” may choose to resubmit a new assignment for marking. Candidates may resubmit a new assignment/re-sit an oral assessment/retake an online exam to address areas of concern after their original submission. Additional fees and charges apply for this service; please refer to the CPA Australia RTO Fees, Charges and Cancellations policy for further information.

## Feedback

CPA Australia RTO assessors are required to provide Candidates with feedback on their written and oral assessment components via the Candidate Marking Sheet and/or feedback on the Candidates written assignment where further evidence is required.

## Deferral of Assessment

A Candidate may apply for and be granted deferral of their assessment due date on the grounds of serious illness or injury, or other exceptional personal circumstances, which will seriously impair the Candidates ability to perform the assessment task. There is a fee payable for deferral of a Candidates assessment due date. Further information on deferral of assessment can be found in the CPA Australia RTO Deferral and CPA Australia RTO Fees, Charges and Cancellations policies.

For deferral of assessment to be approved, the Candidate must complete an *Application for Deferral* form available from the CPA Australia website on the [policies and forms web page](#) and submit this to the CPA Australia RTO Personnel, where feasible before the scheduled date of assessment and **no later** than 3 working days after this date.

If an application for deferral of a Candidates assessment due date has not been received by this time, the Candidates enrolment will be cancelled, and the Candidate will be liable for the full enrolment amount if they wish to re-enrol in the module/program.

Deferral timeframes differ between programs offered by CPA Australia RTO. Candidates should refer to the Deferrals Policy for exact timings.

## Late Submissions

Candidates assessments received after the assessment due date but before the 3 day cut off period for deferrals (above) will be subject to a late assessment fee which must be paid before the assessment is sent for marking. Please refer to the CPA Australia Fees, Charges and Cancellations and CPA Australia Deferral policies for further information.

## Missed Online Exam Deadline

Candidates who miss the deadline for completion of online exams (such as multiple choice questions) will need to follow the "Late Submissions" process as outlined above and in the CPA Australia Fees, Charges and Cancellations and Deferral policies. Candidates who miss the deadline of completion of online exams in conjunction with missing their assessment due date will be required to re-enrol.

## Demonstrable Skills and Experience

All of CPA Australia RTOs trainers and assessors have the required training and qualifications as specified by the *Standards for Registered Training Organisations (RTO) 2015*. By complying with these standards trainers and assessors confirm they:

- have the necessary training and assessment competencies as determined by the Australian Skills Quality Authority (ASQA);
- have the relevant vocational competencies at least to the level being delivered or assessed;
- can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
- can demonstrate continued professional development of their vocational education and training (VET) knowledge and skills as well as their industry currency and Trainer/Assessor competence.

## Quality Assurance, Adjustment, Moderation and Validation

The CPA Australia RTO Manager in consultation with the RTO Working Group is responsible for regular review of assessment tools, practices and procedures. Feedback from Trainers, Assessors, Candidates, CPA Australia RTO Personnel and external parties is collected via a number of quality assurance systems, analysed and actioned where applicable.

Information gathered that relates to course materials (learning manuals or assessment tools) and/or units of competency evaluated during the assessment process are collated, analysed and required improvements incorporated into training and assessment materials.

## Confidentiality and Privacy

CPA Australia RTO regards the assessment of Candidates work as private and confidential. All CPA Australia Personnel, trainers and assessors will adhere to relevant legislation governing the protection of personal information as set out in the CPA Australia Privacy policy located on the CPA Australia website.

CPA Australia RTO Personnel receive training on privacy of information during induction and are governed by the CPA Australia Code of Conduct. Candidates wishing to access their training records may do so by following the process and procedures outlined in the CPA Australia RTO Access to Training Records policy.

## Appeals Process

Appeals against the outcome of an assessment must be made within five (5) working days of receiving the assessment outcome notification and submitted in writing using the *CPA Australia RTO Complaints and Appeals* form (located on the website and available from CPA Australia RTO) to the CPA Australia RTO Manager. The appeal will follow the process set out in the CPA Australia RTO Complaints and Appeals policy. Assessment appeals that are submitted outside this time frame will not be considered.

An appeal may be based on one or more of the following grounds:

- a procedural irregularity has occurred; and/or
- the assessment was not considered on its academic merits.

The written appeal must state the grounds on which the appeal is made, and must contain an outline of why the Candidate believes the original assessment decision is inappropriate. The CPA Australia RTO Manager (or nominee who is independent from the original process) will consider the appeal by reviewing the initial assessment decision, the Candidate's written submission, and consulting with the assessor responsible for the disputed assessment. Appeals may be escalated to the CPA Australia RTO Working Group by the CPA Australia RTO Manager as required.

If, after this process, further information is required, the CPA Australia RTO Manager (or nominee) will seek additional clarification from the Candidate.

The Candidate will be informed of the outcome of the assessment appeal within ten (10) working days of its lodgement (identified as the date of receipt of the appeal by the CPA Australia RTO Manager). The decision of the CPA Australia RTO Manager will be final and no appeals of this decision shall be made.

## Procedure: Actions and Responsibilities

Action	Responsibility
<p><b>Responsibilities</b></p> <p><b>Candidates</b></p> <p>As stipulated in this policy, Candidates will conduct themselves in accordance with the principles of academic integrity, quality and validity of evidence provided during the assessment process.</p> <p><b>Trainers and Assessors</b></p> <p>As stipulated in this policy, trainers and assessors will conduct themselves in accordance with the principles of academic integrity, adhere to the principles of privacy of information, provide the necessary feedback to Candidates to support them throughout the assessment process and comply with the timeframes for receipt and marking of all assessment materials. Trainers and assessors will also demonstrate continued professional development of their (<b>VET</b>) knowledge and skills as well as currency of industry acumen in compliance with the relevant ASQA standards.</p>	<p>Candidates CPA Australia RTO Trainers and Assessors</p>
<p><b>Assessment Timeframes</b></p> <p><b>RG 146 Compliance Solution</b></p> <p>A Candidate enrolled in the distance learning delivery of a module has six months to complete their study in the module and submit the written assignment component of the module assessment to CPA Australia RTO for marking. Candidates are free to complete the module and assessment as quickly as they like within the six-month timeframe.</p> <p>Candidates who have undertaken their module studies via face-to-face workshop have six weeks from the end of the workshop to complete and submit the written assignment component of the module assessment to CPA Australia RTO for marking.</p> <p>The written assignment component of the assessment must be submitted to CPA Australia RTO by the assessment due date. Once the Candidate submits their written assignment, CPA Australia RTO allocates the Candidate to an assessor, and the written assignment is forwarded to the assessor for marking. Upon receipt of the written assignment the assessor has ten (10) working days to mark the assessment and (a) provide feedback to the Candidate that further evidence is required or (b) contact the Candidate to arrange a suitable time to conduct the oral assessment. The oral component of the assessment will be conduct only after the assessor has marked the written assignment as “Satisfactory”.</p> <p>If feedback is provided to the Candidate in relation to their written assignment, and further evidence is requested, the Candidate will have four (4) weeks from the date of this feedback to complete and submit the additional evidence to CPA Australia RTO and the assessor for marking.</p> <p>Upon satisfactory completion of the written assignment, the assessor retains all materials supplied by the Candidate and sends an oral agenda to the Candidate to assist the Candidate in preparing for the oral role-play assessment. The Candidate</p>	<p>CPA Australia RTO Assessors</p>

retains their copy of the written assignment materials, which in conjunction with the oral agenda and the course materials, enables them to prepare for the oral assessment task.

The Candidate and the Assessor will then establish a mutually convenient time to conduct the oral assessment **within ten (10) working days** of receipt of the oral agenda by the Candidate. (Assessors can adjust the timing of the oral assessment to accommodate the Candidates schedule when appropriate.)

**Certificate IV in Finance and Mortgage Broking**

Candidates have twelve (12) weeks from the date of enrolment to complete their online exam and submit their written assignment for marking.

The written assignment component of the assessment must be submitted to CPA Australia RTO by the assessment due date. Once the Candidate submits their written assignment, CPA Australia RTO allocates the Candidate to an assessor, and the written assignment is forwarded to the assessor for marking. Upon receipt of the written assignment the assessor has ten (10) working days to mark the assessment and notify CPA RTO Personnel one of two outcomes (a) successful completion of the written assignment or (b) provide feedback to the Candidate that further evidence is required.

If feedback is provided to the Candidate in relation to their written assignment, and further evidence is requested, the Candidate will have two (2) weeks from the date of this feedback to complete and submit the additional evidence to CPA Australia RTO and the assessor for marking.

Candidates who submit their assessment up to three (3) days after the assessment due date will be charged a late fee to have their assessment allocated to an assessor for marking. Candidates who have not submitted an assessment for marking within this time will be deemed to have not completed the module, and will need to re-enrol for the module if they wish to continue their studies.

It is the Candidates responsibility to ensure they maintain awareness of their assessment due date and submit their written assignment for marking.

**RG 146 Compliance Solution**

Candidates who do not complete the oral assessment component of the module assessment within four (4) weeks of their written assignment being marked as Satisfactory will be cancelled from the program. No refund or certificate documentation will be provided

**Reassessment of Not Yet Competent Candidates**

A Candidate who has been deemed “Not Yet Competent” (NYC) after an assessment has been marked by an assessor may choose to resubmit a new assessment for marking.

The CPA Australia RTO Manager will provide guidance directly to Candidates who choose to undertake reassessment and will work with the Candidate to assist them through this process.

Candidates should notify CPA Australia RTO to activate this option. Reassessment submissions require a new Assessment Cover Sheet and can be submitted for marking via My Online Learning (MYOL)

Candidates

Candidate  
CPA Australia RTO  
Manager  
Candidate

<p>Details of the application to resubmit an assessment will be recorded on the Candidates file in the Learning Management System (<b>LMS</b>).</p> <p>The new assessment documentation will be sent to the relevant assessor and absorbed into the assessment process.</p>	
<p><b>Deferral of Assessment</b></p> <p>Candidates wishing to defer their assessment due date should complete the <i>Application for Deferral form</i> available from the <a href="#">policies and forms</a> web page, and submit this to the CPA Australia RTO Manager, where feasible before the scheduled date of assessment and no later than <b>3 working days</b> after this date.</p> <p>If an application for deferral of a Candidates assessment due date has not been received by this time, the Candidates enrolment will be cancelled, and the Candidate will be liable for the full enrolment amount if they wish to re-enrol in the module/program.</p> <p><b>Late Assessments</b></p> <p>Candidates assessments received after the assessment due date but before the 3 day cut off period for deferrals (above) will be subject to a late assessment fee which must be paid before the assessment is sent for marking. Please refer to the CPA Australia Fees, Charges and Cancellations and CPA Australia Deferral policies for further information.</p>	<p>Candidates CPA Australia RTO Manager</p>
<p><b>Appeals</b></p> <p>If a Candidate wishes to appeal the outcome of the assessment either on procedural grounds or they believe the assessment was not considered on its academic merit, the appeal must be submitted in writing to the CPA Australia RTO Manager either by email to <a href="mailto:rtocpaaustralia.com.au">rtocpaaustralia.com.au</a> or by post to;</p> <p style="padding-left: 40px;">Assessment Appeal RTO Manager CPA Australia GPO Box 2820 Melbourne VIC 3001 AUSTRALIA</p> <p>An assessment appeal must be made within ten (10) working days of receiving the assessment outcome notification. Candidates must state the grounds on which the appeal is made.</p> <p>The CPA Australia RTO Manager will assess the appeal and may escalate the appeal to the CPA Australia RTO Working Group and/or seek further information from the assessor if required.</p> <p>Please refer to the CPA Australia RTO Complaints and Appeals policy for further information on the appeals process.</p>	<p>Candidates CPA Australia RTO Manager</p>

## Associated Documentation

- Candidate Handbook
- Staff Induction Materials
- CPA Australia Code of Conduct
- CPA Australia RTO Policies and Procedures
- CPA Australia RTO Plagiarism and Academic Misconduct Policy
- CPA Australia Privacy Policy
- CPA Australia RTO Complaints and Appeals Policy
- CPA Australia RTO Access to Training Records Policy
- CPA Australia Complaints and Appeals form
- CPA Australia RTO Training and Assessment Strategy Documentation
- Assessment Cover Sheet