

ASSESSMENT POLICY

1. PURPOSE

- 1.1. EMPYREAN EDUCATION INSTITUTE 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.
- 1.2. This policy ensures EMPYREAN EDUCATION INSTITUTE assessment practices comply with SRTOs, provides EMPYREAN EDUCATION INSTITUTE assessors with clear information on assessment processes and evidence requirements, and ensures that assessments are conducted following the principles of assessment and rules of evidence.
- 1.3. Trainer and assessor credentials are managed under the Credential Policy referenced by the 2025 Standards.
- 1.4. The assessment system is fit-for-purpose, consistent with each training product, and supported by reviewed tools that comply with the Principles of Assessment and Rules of Evidence. Reviews are documented and outcomes inform improvements.
- 1.5. The assessment system ensures assessments are conducted fairly and appropriately, supporting accurate competency judgments by consistently applying the Principles of Assessment (fairness, flexibility, validity, reliability) and the Rules of Evidence (validity, sufficiency, authenticity, currency).
- 1.6. The assessment system is quality assured through regular validation by appropriately skilled and credentialed individuals. Validation is risk-based, occurs at least every five years for each training product, and earlier where required (e.g., product changes or risks identified). Outcomes of validation are documented and used to improve assessment practices.
- 1.7. Recognition of Prior Learning (RPL) is offered to all students. Decisions are evidence-based, fair, consistent, and transparent, enabling students with prior learning and experience to progress appropriately while maintaining the integrity of the training product.

2. POLICY PRINCIPLES

- 2.1. EMPYREAN EDUCATION INSTITUTE offers assessment opportunities to all enrolled clients.
- 2.2. EMPYREAN EDUCATION INSTITUTE is committed to ensuring that all assessment is conducted fairly and equitably, meeting the requirements of the relevant Training Package, industry expectations and standards.
- 2.3. EMPYREAN EDUCATION INSTITUTE applies flexible assessment options which recognise the diversity of individual client needs and circumstances, facilitating the realisation of their learning and vocational goals wherever possible.
- 2.4. EMPYREAN EDUCATION INSTITUTE ensures that:
 - 2.4.1. Assessment options and processes implemented comply with competency-based assessment and Training Package requirements

- 2.4.2. Assessments ensure the integrity of the VET system
- 2.4.3. Assessment complies with the Principles of Assessment (POA) as prescribed in the Standard for RTOS
- 2.4.4. Evidence submitted for assessment is assessed following the Rules of Evidence (ROE)
- 2.4.5. Assessments are conducted by individuals who meet the requirements as prescribed in the Standard for RTOS

3. DEFINITIONS

- 3.1. The following words and expressions have specific meanings, as in the Standards for Registered Training Organisations (RTOs) 2025
 - 3.1.1. *Assessment* means collecting evidence and making judgements on whether competency has been achieved to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course
 - 3.1.2. An *assessment system* is a coordinated set of documented policies and procedures (including assessment materials and tools) that ensure assessments are consistent and are based on the Principles of Assessment.
 - 3.1.3. *Competency* means consistently applying knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments
 - 3.1.4. *Recognition of Prior Learning (RPL)* means an assessment process that assesses the competency of an individual that may have been acquired through formal, non-formal and informal learning to determine the extent to which that individual meets the requirements specified in the training package or VET accredited courses
 - 3.1.5. *Formal Learning* refers to learning that takes place through a structured program of instruction and is linked to the attainment of an AQF qualification or statement of attainment (for example, a certificate, diploma or university degree)
 - 3.1.6. *Non-Formal Learning* refers to learning that takes place through a structured program of instruction but does not lead to the attainment of an AQF qualification or statement of attainment (for example, in-house professional development programs conducted by a business)
 - 3.1.7. *Informal Learning* refers to learning that results through the experience of work-related, social, family, hobby, or leisure activities (for example the acquisition of interpersonal skills developed through several years as a sales representative).

4. COMPETENCY AND ASSESSMENT

- 4.1. Underpinning Principles

4.1.1. Competency-based assessment is a system of collecting evidence about a person's performance to a pre-set competency standard with emphasis placed on what a person can do (the outcome) rather than comparing a person's achievement to others.

4.1.2. There is no concept of a pass or fail, only competent (C) or not yet competent (NYC). The focused training allows for greater client participation in the assessment process.

4.2. The Assessment Model

4.2.1. Three levels of assessment; various levels of assessment may be used, including:

4.2.1.1. *Diagnostic*, also known as pre-assessment, provides information about prior knowledge and skills. This baseline information may diagnose a problem or training requirement

4.2.1.2. *Formative* assists and supports training by monitoring and advising clients of their performance and rate of progress against the training outcomes. This provides feedback to the client, supervisor and trainer on what development activities are needed to achieve the required competencies.

4.2.1.3. *Summative* assessment evaluates of achievement of the Training outcome. Often conducted in the workplace, summative assessment confirms the achievement of the competency requirements.

4.2.2. Assessment modes may include:

4.2.2.1. On-the-job

4.2.2.2. As part of the training

4.2.2.3. Off-the-job (Simulation)

4.2.2.4. Completion and submission of assignments/work projects

4.2.2.5. Recognition of Prior Learning (RPL)

4.2.3. Evidence gathering methods commonly used by EMPYREAN EDUCATION INSTITUTE may include, but are not limited to:

4.2.3.1. Projects

4.2.3.2. Written Assignments

4.2.3.3. Workplace assignments

4.2.3.4. Workplace performance

4.2.3.5. Documentation

4.2.3.6. Demonstration

4.2.3.7. Questioning

4.2.3.8. Roleplay

4.2.3.9. Simulation

4.2.3.10. Oral presentations

4.2.3.11. Written tests

4.2.3.12. Portfolio

4.2.3.13. Third-party reports.

4.2.4. Assessment is carried out following the requirements of the relevant Training Package on a consistent and timely basis to ensure that learning has taken place and that clients have acquired the knowledge and skills required to demonstrate competency.

4.2.5. Empyrean Education Institute will securely retain all completed student assessment items for a minimum of 6 months from the date the competency judgement is made. These records will be stored in the Student Management System (SMS) and produced in full at audit if requested.

4.2.6. For CRICOS students, Empyrean Education Institute will retain assessment records (results/records), written agreements, and payment receipts for at least 2 years after the student ceases to be an accepted student.

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

5. SPECIAL CONSIDERATIONS

5.1. Clients who experience unforeseen circumstances or have special needs that affect their performance in an assessment may be eligible to apply for special consideration and reasonable adjustment to the assessment.

5.2. Special consideration may apply to clients who, during training or assessment, experience one of the following circumstances:

5.2.1. Illness or psychological conditions including hospital admission, serious injury, severe anxiety, or depression

5.2.2. Bereavement

5.2.3. Hardship/Trauma, for example, the victim of crime, sudden unemployment

5.2.4. Other exceptional circumstances (to be assessed on application)

5.3. Clients wishing to apply for Special consideration in the above circumstances may do so by discussing their circumstances with EMPYREAN EDUCATION INSTITUTE.

5.4. Approved applications for Special consideration may be subject to one of the following outcomes:

5.4.1. Extension of submission date (not beyond six months)

5.4.2. Deferred Assessment

5.4.3. Additional assessment

5.4.4. Withdrawal from a course without penalty

5.4.5. Re-submission or reassessment

5.4.6. Opportunity to recommence course, dependent on availability on another date

5.4.7. (Overseas students – National Code compliance) For overseas students, any extension, deferral, or rescheduling granted under this policy must also comply with National Code Standard 8 (course

progress and completion within the expected duration). Where required, Empyrean Education Institute will action changes and report them via PRISMS.

5.5. Reasonable Adjustments to assessment

- 5.5.1. Clients have the right to apply for and receive an adjustment to assessment activities to accommodate individual/special needs
- 5.5.2. Adjustments to assessment cannot compromise the integrity of assessment, elements and performance criteria of the unit of competency
- 5.5.3. Adjustments to assessment will not provide an unfair advantage or disadvantage to clients

5.6. Assessment Submission

- 5.6.1. All assessments must include a completed assessment cover sheet for client identification and disclaimer purposes.
 - 5.6.2. Clients must submit all assessments scheduled within the specified period
 - 5.6.3. Clients who submit assessments after the specified period may need to reschedule or re-enrol in the training course by paying the scheduled course fee
 - 5.6.4. Clients are allowed one "re-submit" for an assessment previously deemed "Not Yet Competent". Fees may apply for a second "Re-submit", at the discretion of the trainer or as directed by the Training Manager
 - 5.6.5. Third and subsequent re-submissions are at the assessor's discretion and assessed on a case-by-case basis
- 5.7. All assessment outcomes will be recorded in the student management system within ten working days of the end date of the unit.

6. PRINCIPLES OF ASSESSMENT

- 6.1. Assessments follow the Principles of Assessment prescribed in the standards for Registered Training Organisations (RTOs) 2025.

Fairness: the individual learner's needs are considered in the assessment process. Where the RTO applies appropriate reasonable adjustments to take into account the individual learner's needs. The RTO informs the learner about the assessment process and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary

Flexibility: assessment is flexible to the individual learner by:

- Reflecting the learner's needs;
- Assessing competencies held by the learner no matter how or where they have been acquired; and
- Drawing from a range of assessment methods and using those appropriate to the context, the unit of competency and associated assessment requirements, and the individual.

7. RULES OF EVIDENCE

7.1. Assessments ensure compliance with the Rules of Evidence (ROE) prescribed in the Standards for RTOs. Below is an excerpt from the standards for Registered Training Organisations (RTOs) 2025

- Validity: the assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
- Sufficiency: the assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
- Authenticity: the assessor is assured that the evidence presented for assessment is the learner's own work.
- Currency: the assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the recent past.

8. ASSESSOR REQUIREMENTS

8.1. All assessments are undertaken by suitable qualified Assessors who have both assessor and vocational competencies at least to the assessed level and as prescribed in the standards for Registered Training Organisations (RTOs) 2025.

8.2. Assessment Resources

8.2.1. Assessment resources are developed in consultation with the industry.

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

8.2.3. Assessment tools are crucial for accurately and consistently assessing clients against competency standards.

8.2.4. Assessment tools are required as evidence of assessment and must be retained on record as proof that a person was assessed as competent for six (6) months.

8.2.5. Assessment tools consist of:

8.2.5.1. Instructions for clients

8.2.5.2. Instructions for assessors

8.2.5.3. Assessment instruments

8.2.5.4. Assessment checklists

8.2.5.5. Assessment outcome summary

8.3. Assessment Validation

8.3.1. EMPYREAN EDUCATION INSTITUTE assessment policies, processes, resources and outcomes are validated regularly.

8.4. Assessment Marking

- 8.4.1. Assessments are not graded
- 8.4.2. Assessments are assessed in order of submission date
- 8.4.3. When marking assessments, Assessors must comment and provide genuine feedback
- 8.4.4. Clients are notified of assessment outcomes within two (2) weeks of submission

8.5. Assessment Decisions and Outcomes

8.6. Assessment outcomes are recorded as one of the following:

- 8.6.1. Competent (CO) - Clients are deemed 'competent' when they have consistently demonstrated their skills and knowledge to the standard required in the workplace for a complete unit/module
- 8.6.2. Not Yet Competent (NYC) – Clients are deemed 'Not Yet Competent' when they can/have not demonstrated appropriate levels of competence following the minimum performance standards for a complete unit/module
- 8.6.3. Clients assessed as 'Not Yet competent' shall receive feedback and guidance from the assessor and may be required to undergo further training before re-assessment

9. ASSESSOR CODE OF CONDUCT

- 9.1. Assessment specialists have developed an international code of ethics and practice (The National Council for Measurement in Education (NCME).
- 9.2. The Code of Practice below is based on international standards.
- 9.3. All EMPYREAN EDUCATION INSTITUTE Assessors abide by the following code of conduct:
 - 9.3.1. The differing needs of clients will be identified and handled with sensitivity
 - 9.3.2. Conflict of interest in the assessment process will be identified with appropriate referrals made to the operations manager when identified
 - 9.3.3. 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
 - 9.3.4. The rights of the client are protected during and after the assessment
 - 9.3.5. Personal or interpersonal factors that are not relevant to the assessment of competency must not influence the assessment outcomes as per the Complaints and Appeals Policy
 - 9.3.6. The client is made aware of the rights and processes of appeal
 - 9.3.7. Evidence that is gathered during the assessment is verified for validity, reliability, authenticity, sufficiency, and currency
 - 9.3.8. Assessment decisions are based on available evidence that can be accessed and verified by another assessor

- 9.3.9. Assessments are conducted within the boundaries of the assessment system policies and procedures
- 9.3.10. A formal agreement is obtained from both the client and the assessor that the assessment was carried out following the procedures briefed before the commencement of the assessment
- 9.3.11. Assessment tools, systems, and procedures are consistent with equal opportunity legislation
- 9.3.12. Before the assessment, the client is informed of all assessment reporting processes and all known potential consequences of decisions arising from the assessment
- 9.3.13. Confidentiality is maintained regarding assessment results and is only released with the written permission of the client
- 9.3.14. The assessment results are used consistently with the purpose explained to the client
- 9.3.15. Self-assessments are periodically conducted to ensure current competencies against the Training and Assessment Competency Standards
- 9.3.16. Professional development opportunities are identified and sought by assessors
- 9.3.17. Opportunities for networking amongst assessors are created and maintained with technical assistance in planning, conducting, and reviewing assessment procedures and outcomes.

10. RECOGNITION OF PRIOR LEARNING

- 10.1. All clients are offered access to Recognition of Prior Learning (RPL) and Recognition of Current Competency upon enrolment.

11. ACADEMIC DISHONESTY

- 11.1. Plagiarism, cheating and collusion in the assessment are expressly prohibited.
- 11.2. Clients cannot submit any piece of work for assessment that is not entirely their work.
- 11.3. Clients cannot assist other EMPYREAN EDUCATION INSTITUTE clients with assessed work.
- 11.4. Clients cannot accept assistance from other EMPYREAN EDUCATION INSTITUTE clients with assessed work.
- 11.5. Clients cannot submit the same work for assessment as another learner/client of EMPYREAN EDUCATION INSTITUTE.
- 11.6. All cases of plagiarism, cheating and collusion are treated as a serious matter and will be reviewed and treated on a case-by-case basis.
- 11.7. Depending on severity and circumstances, penalties for plagiarism, cheating and collusion may include one or more of the following:
 - 11.7.1. Completion and re-submission of a new assessment task
 - 11.7.2. All parties receiving a "Not Yet Satisfactory" result for the assessment task
 - 11.7.3. Verbal or written warning

11.7.4. Suspension or expulsion from the course

11.7.5. Fees applied as applicable

11.8. Client records will be noted with all investigated and proven incidents.

11.9. All incidents will be reviewed by EMPYREAN EDUCATION INSTITUTE.

12. RESPONSIBILITIES

12.1. EMPYREAN EDUCATION INSTITUTE is responsible for ensuring assessments comply with the requirements of National Training packages, the current AQF Handbook and the Standards for Registered Training Organisations 2025 and are within the current scope of registration.

12.2. EMPYREAN EDUCATION INSTITUTE must ensure the assessment process is open, structured, consistent, and comprehensive, incorporating feedback to the client on the outcomes of the assessment process, as well as information regarding the appeals procedure and guidance on other options.

12.3. EMPYREAN EDUCATION INSTITUTE is responsible for ensuring the assessment strategies are designed with the flexibility to meet the needs and circumstances of a wide range of clients, including those who may be socially, linguistically, educationally, or otherwise disadvantaged.

12.4. EMPYREAN EDUCATION INSTITUTE will ensure:

12.4.1. All appointed and authorised Assessors possess and maintain relevant qualifications and vocational competency following those required in the Standards of RTOs

12.4.2. Clients are provided information on the assessment process before assessments are conducted

12.4.3. Assessors incorporate the principles of assessment, including validity, reliability, flexibility, and fairness, when conducting assessment

12.4.4. Assessors apply the rules of evidence, including validity, sufficiency, currency, and authenticity, when conducting assessments.

12.4.5. Assessment processes provide for Recognition of Prior Learning (RPL)

12.4.6. An effective feedback mechanism is established and implemented to inform clients and clients about their assessment progress and results

12.4.7. An effective recording and reporting process of the unit of competency/module, including access to client information to their records

12.4.8. Clients have access to an open, equitable and transparent appeals process

12.4.9. Qualifications' Awards follow the RTO Scope of Registration as listed by TGA (www.training.gov.au).

12.4.10. Ongoing internal monitoring and validation of the assessment system for quality control checks

12.4.11. Management and staff participation in an independent (external auditing) quality control process conducted by the VET regulator

12.5. ASSESSORS RESPONSIBILITIES

12.5.1. Assessors conducting an assessment on behalf of EMPYREAN EDUCATION INSTITUTE will:

- 12.5.1.1. Ensure they assess and judge a client's skills and knowledge of competence against set standards, principles of assessment and rules of evidence
- 12.5.1.2. Ensure that the safety of the personnel involved in the assessment is always maintained
- 12.5.1.3. Ensure that assessment focuses on applying knowledge and skills to the standard of performance required in the workplace and covers all aspects of workplace performance
- 12.5.1.4. Ensure the assessment process is open, structured, consistent, and comprehensive, incorporating feedback to the client on the outcomes of the assessment process, as well as information regarding the appeals procedure and guidance on other options
- 12.5.1.5. Interpret and understand the performance criteria and evidence requirements
- 12.5.1.6. Select appropriate assessment methods and materials
- 12.5.1.7. Make fair and objective judgements
- 12.5.1.8. Abide by the Assessor Code of Conduct
- 12.5.1.9. Provide all relevant paperwork to administration for processing promptly

13. RELATED LEGISLATION & REGULATIONS

- 13.1. The National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students 2018, known as 'The National Code 2018'
- 13.2. Standards for Registered Training Organisations (RTOs) 2025
- 13.3. Education Services for Overseas Students Act 2000
- 13.4. Education Services for Overseas Students Regulations 2019