

## RTO004 SOP Assessment

### 1. Purpose

The purpose of this standard operating procedure is to ensure that all Health Information Management Association of Australia Limited (HIMAA) Education Services staff are assessing learners against the principles of assessment and the rules of evidence, as well as ensuring that the quality of HIMAA's training and assessment processes meets the unit of competency and is continuously being improved.

### 2. Scope

This standard operating procedure applies to all HIMAA Education Services staff and the Quality and Compliance officer.

### 3. Standard 1 Clause 1.8 -1.12

1.8 The RTO implements an assessment system that ensures that assessment (including recognition of prior learning);

- a) Complies with the assessment requirements of the relevant training package or VET accredited course; and
- b) Is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence in Table 1.8-2.

**Table 1.8-1 Principles of Assessment**

Fairness	<p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learners needs.</p> <p>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.</p>
Flexibility	<p>Assessment is flexible to the individual learner by:</p> <ul style="list-style-type: none"> <li>• Reflecting the learners needs</li> <li>• Assessing competencies held by the learner no matter how or where they have been acquired; and</li> <li>• Drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.</li> </ul>
Validity	<p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"> <li>• Assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;</li> <li>• Assessment of knowledge and skills integrated with their practical application;</li> </ul>

	<ul style="list-style-type: none"> <li>Assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and</li> <li>Judgement of competence based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.</li> </ul>
Reliability	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

**Table 1.8-2: Rules of Evidence**

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 the 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 very recent past.

1.9 The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the RTO's scope of registration:

- When assessment validation will occur;
- Which training products will be the focus of the validation;
- Who will lead and participate in validation activities; and
- How the outcomes of these activities will be documented and acted upon.

1.10 For the purpose of Clause 1.9, each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five year cycle, taking into account the relative risks of all of the training products on the RTO's scope of registration, including those risks identified by the VET Regulator.

1.11 for the purpose of Clause 1.9, systematic validation of an RTO's assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:

- Vocational competencies and current industry skills relevant to the assessment being validated;
- Current industry knowledge and skills in vocational teaching and learning; and
- The training and assessment qualification or assessor skill set referred to in\* Item 1 or 3 of schedule 1.

Industry experts may be involved in validation to ensure there is the combination of expertise set out in (a) to (c) above.

1.12 The RTO offers recognition of prior learning to individual learners.

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**\*Schedule 1 Item 1 and 3**

Item	Relevant Standard	AQF Qualification or Unit of Competency
1	1.14 1.15	TAE40110 Certificate IV in Training and Assessment or its successor
3	1.15	TAESS00001 Assessor Skill Set or its successor

#### 4. Definition

**Assessment** – means the process of 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.

**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 contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8.2.

**Assessors**- are persons who assess a learner's competence in accordance with clauses 1.13 to 1.16. (See Trainers and Assessors Policy and SOP).

**Competency** – means the consistent application of 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.

**Industry** – means the bodies that have a stake in the services provided by RTO's. These can include, but not limited to:

- a) Enterprise/industry clients, e.g. employers;
- b) Group training organisations;
- c) Industry organisations
- d) Industry regulators
- e) Industry skills councils or similar bodies;
- f) Industry training advisory bodies; and
- g) Unions

**Learner** – means a person being trained and/or assessed by the RTO for the purpose of issuing AQF certification documentation.

**Recognition of Prior Learning (RPL)** – means an assessment process that assesses the competency/s of an individual that may have been acquired through formal, non0-formal and informal learning to determine the extent to which that individual meets the requirements specified in the training package or VET accredited courses.

- a) 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);
- b) 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

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statement of attainment (for example, in-house professional development programs conducted by a business); and

- c) Informal learning refers to learning that results through 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).

**Training Package** – means the components of a training package endorsed by the Industry Skills Council or its delegate in accordance with the Standards for Training Packages. The endorsed components of a Training Package are: unit of competency; assessment requirements (associated with each unit of competency); qualifications; and credit arrangements. The endorsed components form part of the requirements that an RTO must meet under these Standards. A training package also consists of a non-endorsed, quality assured companion volume/s which contains industry advice to RTOs on different aspects of implementation.

**Unit of competency**- means the specification of the standards of performance required in the workplace as defined in a training package.

**Validation** – is the quality review of the assessment process. Validation involves checking that the assessment tool/s produce/s valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the training package or VET accredited courses are met. It includes reviewing a statistically valid sample of the assessments and making recommendations for future improvements to the assessment tool, process and/or outcomes and acting upon such recommendation.

## 5. References

- Standards for Registered Training Organisations (RTO's) 2015
- Users Guide Standards for Registered Training Organisations (RTO's) 2015
- Training Package requirements
- RTO001 Policy Training and Assessment Strategies and Practices
- RTO001 SOP Training and Assessment Strategies and Practices
- RTO002 Policy Industry Relevance
- RTO002 SOP Industry Relevance
- RTO003 Policy Learner Support Services
- RTO003 SOP Learner Support Services
- RTO005 Policy Trainers and Assessors
- RTO005 SOP Trainers and Assessors
- RTO006 Policy Individuals Working Under Supervision of a Trainer
- RTO006 SOP Individuals Working Under Supervision of a Trainer
- RTO008 Policy Quality Assurance of RTO Operations
- RTO008 SOP Quality Assurance of RTO Operations
- RTO009 Policy Issuing, Maintaining and Acceptance of AQF Certification and Providing Learners Access to Records
- RTO009 SOP Issuing, Maintaining and Acceptance of AQF Certification and Providing Learners Access to Records

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- RTO012 Policy Learners Informed and Protected
- RTO012 SOP Learners Informed and Protected
- RTO013 Policy Complaints and Appeals
- RTO013 SOP Complaints and Appeals
- RTO001 Form Industry Consultation
- RTO005 Form Complaint
- RTO004 Form Assessment Appeal
- RTO010 Form Access to Records

## 6. Procedure

### 6.1 Assessment

- 6.1.1 HIMAA informs learners of the assessment process. When enrolling the learner has the option to choose a timetable that suits them. The timetable consists of dates for submission of assessments, when each module is due to start as well as the exam date.
- 6.1.2 HIMAA learners are given the appropriate timetable if they are having trouble with maintaining the timetable submission dates.
- 6.1.3 HIMAA learners are given information about assessments and what is required through the Student Management System (SMS) as well as in the student handbook. Learners can phone or email the Student Support and Administration Officer or their Education Officer at any time to get more information or have their queries answered.
- 6.1.4 HIMAA Education Officer's use the principles of assessment and rules of evidence to assess learners. HIMAA Education Officer's use a marking guide to ensure consistency with assessment answers.
- 6.1.5 HIMAA learners are assessed against the benchmarks for the unit of competency as well as industry quota expectations for clinical coders.

### 6.2 Recognition of Prior Learning

- 6.2.1 HIMAA offers a challenge examination prior to course commencement for learners who demonstrate evidence of prior learning.
- 6.2.2 Learners are encouraged to apply for Recognition of Prior Learning (RPL) or Credit Transfer (CT) at any time during the course or prior to course commencement.
- 6.2.3 RPL evidence is mapped to the unit of competency. If competency is achieved the learner will be issued with a Statement of Attainment.
- 6.2.4 HIMAA recognises other Registered Training Organisation's Certificates and Statements of Attainment for credit transfer and conducts Recognition of Prior Learning (RPL) for learners, for training they have already completed or for working in the industry.

### 6.3 Validation and Moderation

- 6.3.1 Assessment validation and moderation is planned and organised by the Quality and Compliance Officer with the Training Manager.

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- 6.3.2 Validation occurs systematically with 50% of all assessments being validated within the first three years of the registration period and the remaining 50% in the next two years of the registration period.
- 6.3.3 HIMAA's validation is done pre-assessment and post-assessment with a moderation sample being taken at the end of each course intake.
- 6.3.4 HIMAA has a validation and moderation schedule. This is used to ensure that HIMAA has a process for where, when and who is involved in the validation and moderation meetings.
- 6.3.5 HIMAA will at times get people from industry who hold the necessary qualifications to participate in the validation session. HIMAA, being the peak body for clinical coding, requires all Education Officers to continue to work part time in the industry so that they are always current with industry practices. HIMAA's Education Officers must work in the industry a minimum of six times per year.
- 6.3.6 When HIMAA asks industry to participate in validation sessions they are to complete confidentiality agreements and in no circumstances are the participants allowed to remove any documentation from the validation session. This ensures that copyright on HIMAA's coursework is kept intact. For evidence that the person from industry taken part in the validation session on request the Quality and Compliance Officer will provide a copy of the sign-in register and minutes as well as the checklist.
- 6.3.7 Validation meetings are conducted with minutes being taken by the Quality and Compliance Officer. The Quality and Compliance Officer organises the materials for the validation meeting. These consist of:
  - 6.3.7.1 Training and Assessment Strategy (TAS)
  - 6.3.7.2 Mapping Documents
  - 6.3.7.3 Unit of Competency
  - 6.3.7.4 Assessment tools
  - 6.3.7.5 Learner's assessments (de-identified)
  - 6.3.7.6 Marking guides
  - 6.3.7.7 Validation checklist
  - 6.3.7.8 Minutes documentation
  - 6.3.7.9 Continuous Improvement Action Request forms
- 6.3.8 HIMAA will action a Continuous Improvement to the assessment tools if the validation participants find that the assessment tool needs more clarification to meet the requirements of the unit of competency.
- 6.3.9 The Quality and Compliance Officer keeps all copies of evidence with a copy of the minutes of each session. This is kept in a folder as evidence of compliance with the standards.
- 6.3.10 HIMAA will use ASQA's sample size evaluation tool in order to have a correct sample size for systematically validating assessments.

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- 6.3.11 Moderation will occur at the end of each intake after the final examination prior to the learner receiving a Statement of Attainment. This ensures that the learner meets the competency requirements in the unit of competency.

#### 6.4 Creating and Updating Assessment Tools

- 6.4.1 HIMAA develops its assessment tools by:
- 6.4.1.1 Unpacking the unit of competency
  - 6.4.1.2 Mapping tasks to the elements, performance criteria, skills, knowledge, critical aspects and CSFW and ACSF
  - 6.4.1.3 Validating the assessment tool once it has been developed to ensure it meets the unit of competency requirements
  - 6.4.1.4 Trialling the assessment tool on the next intake
  - 6.4.1.5 Reviewing feedback from learners and the trial assessments to ensure they assess what they are supposed to assess and the results are consistent
  - 6.4.1.6 Review the assessment tool at least annually to ensure it meets industry and the unit of competency requirements.
- 6.4.2 HIMAA updates the assessment tools not only when the unit of competency changes but also when the ICD-10-AM, ACHI and ACS changes. This ensures that our assessment tools are current and up-to-date.
- 6.4.3 HIMAA, being the peak body for clinical coders, gains industry consultation between state branches as well as hospitals. By industry participation HIMAA EO's are aware of current systems which ensure HIMAA assessment tools meet the needs of industry.

#### 6.5 Management of Course Content

##### 6.5.1 Responsibility

Course	Staff Member
Comprehensive Medical Terminology (CMT)	Team Leader of CMT
HLTCC301B (all editions) Introductory clinical coding (all editions) Refresher Clinical Coding	Team Leader Introductory, Intermediate and refresher Clinical Coding
HLTCC401B (all editions) Intermediate Clinical Coding (all editions)	Training Manager
HLTCC402B (all editions) Advanced Clinical Coding (all editions)	Training Manager

##### 6.5.2 Downloading the master document from the SMS Document Management System

- Log into Business Applications (BA) system
- Select ADMINISTRATION from the toolbar
- Select LICENSED ORGANISATION

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- Select the DOCUMENTS tab
- Click the down arrow under the Document Type column and select the document type. (This will reduce the number of documents on the screen and make it easier for you to locate the correct document)
- Locate the relevant document and click on the Download Latest link.

#### 6.5.3 Update and convert the document

- Make the necessary changes to the master document.
- For errata, update the footer to reflect the date of the change in the format (day month, year) e.g. 12/01/14. For edition changes, put the date of the first intake when the new coursework will be implemented in the format (month, year) e.g. March 2014.
- Convert the document to pdf
- Secure the pdf
- Select secure from the pdf menu
- Select encrypt with password
- In permissions, tick the box 'restrict editing and printing of the document'.
- In the field Change Permissions Password enter the password 6magnoliaz
- In the field Printing Allowed, select High Resolution
  - Click OK
  - Enter the password again and click OK
  - Save the document

#### 6.5.4 Upload the document into the LMS

- Log into BA
- Select the relevant courses from My Courses
- Scroll down to Hidden Tools and links
- Select Documents
- Select the folder where the document would be held from the drop down list
- Click upload documents
- Click the browse button and locate the updated file
- Select Overwrite the existing file if you are uploading an erratum. If you are uploading new coursework select 'Do nothing'.
- Click upload file. You should receive a message saying 'file upload succeeded. If you are uploading and erratum the message should also include '.....was overwritten'.

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#### 6.5.5 Update the LMS Map for the Course

- Access the LMS map for the course in the binder
- Locate the relevant document listed on the map
- If the document has already been updated previously, print out a new map(follow the instructions in number 1 to locate the LMS Map in the Document Management System)
- Place a tick in the errata column if the update is related to errata
- Enter the date the document was uploaded in the appropriate column and sign your initials
- File the copy of the errata or updated information in the plastic sleeve behind the mapping document and place back in the binder.

#### 6.5.6 Upload the document into the SMS Document Management System

- Log into BA
- Select ADMINISTRATION from the toolbar
- Select LICENSED ORGANISATION
- Select the Document tab
- Click down arrow under the Document Type column and select the document type.
- Locate the relevant document and click to highlight
- Select the new version from the menu
- Click attach file
- Click browse and locate the file then Upload to the system
- Type the document name into the document field
- Select appropriate document type from the Document Type dropdown list
- Select system administrator for both the Write Permitted Roles and Read Permitted Roles
- Click save

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