

ASSESSMENT POLICY AND PROCEDURES

Version 6.0



Contents

Section	Topic	Page number
1	Application	3
2	Assessment Task Content	3
3	Assessment Task Submission	5
4	Course End Date	5
5	Extensions	5
6	Assessment Outcomes	6
7	Assessment Appeals	6
8	Document Retention	7

Assessment Policy and Procedures

This is an important document. Please read carefully.

1. APPLICATION

This document explains the assessment policy and procedures for the following Australian Compliance Institute (ACI) nationally recognised courses:

- 10964NAT Certificate IV in Compliance and Risk Management
- 10980NAT Graduate Certificate in Compliance and Risk Management
- FNSS00010 Anti Money Laundering and Counter Terrorism Financing Skill Set
- FNS80020 Graduate Certificate in Anti Money Laundering and Counter Terrorism Financing
- FNS80120 Graduate Diploma in Anti Money Laundering and Counter Terrorism Financing

2. ASSESSMENT TASK CONTENT

Format

Assessment tasks should be saved in Word. This allows the assessor to insert comments directly into the document. **Assessment tasks must not be submitted in PDF format.**

Referencing

Candidates should appropriately reference their work if they have used resources beyond the Module Notes, Slides, and Fact Sheets.

The Harvard system is commonly used, and guidance can be found at the following web sites:

<https://www.kent.ac.uk/learning/resources/studyguides/harvardreferencingguide.pdf>

or longer guide

<https://www.adelaide.edu.au/writingcentre/sites/default/files/docs/harvard-referencing-guide.pdf>

Plagiarism

Cheating, plagiarism, and falsification of data are dishonest practices which contravene the ACI Code of Ethics. The ACI is committed to honest behaviour and ethical education.

Candidates may collaborate on assessment tasks to discuss issues and ideas. However, any submission by a candidate must be their own work. Assessors will be evaluating all submissions to identify similarities in submissions and will advise the ACI if they believe the collaboration is not genuine (i.e. plagiarism).

Plagiarism is when a candidate uses the wording, expressions or ideas of another person and failing to acknowledge the source. Plagiarism

includes:

- a) Copying part or all of another learner's assignment.
- b) Allowing another person to write some or all of an assignment.
- c) Copying paragraphs, sentences or parts of sentences directly from texts or the internet without enclosing them in quotation marks or otherwise showing them to be copied – even if the source is acknowledged.
- d) Using concepts or developed ideas, even if paraphrased or summarized, from another person, from texts or the internet without acknowledging the source.
- e) Copying graphics, multimedia works or other forms of intellectual property without appropriate acknowledgement.

Should the assessor find evidence suggesting plagiarism, the matter will be referred to the RTO Compliance Manager (or other appointee by the CEO of the ACI) who will draft a formal report of the evidence. The RTO Compliance Manager/appointee may discuss the matter with the candidate(s) directly.

The report will be brought to the attention of the CEO who will refer the matter to the Professional Development Committee of the Board. The Professional Development Committee will make a judgment based on the evidence made available to them as to whether plagiarism has occurred and whether the plagiarism is considered unintentional or intentional.

The candidate(s) will receive a written response from the Chair of the Professional Development Committee (or delegate) advising the candidate(s) of the outcome.

Outcomes:

- (a) No plagiarism: Candidate(s) may receive a warning, but no further action will be taken.
- (b) Unintentional plagiarism: The candidate's submission will be graded as a Not Yet Satisfactory (NYS), with the option to resubmit the assignment at a date specified by the Professional Development Committee.
- (c) Intentional plagiarism: The Candidate's submission will be graded as NYS, with no eligibility to resubmit the assessment task. The candidate must re-enroll in the course if they wish to undertake it again in the future. As with any course submission, the re-enrolment will be subject to review before acceptance of the enrollment. Please Note: The ACI reserves the right to disallow a candidate from study should they be deemed non-compliant with the Australian Compliance Institute's policies or Code of Ethics.

For further details, please refer to the Academic Integrity Policy (available on the ACI website)

3. ASSESSMENT TASK SUBMISSION

Instructions for the assessment task submission are set out at the beginning of each assessment task.

The candidate will be given a student number which should be used instead of their name to identify the assessment task. **This number should be included in the cover page of the assessment task.**

The document should be saved in the following convention: *Course Name Assessment Document Name student number.docx*. For example, the assessment task for student no. 12345 submitting a workplace assessment for Certificate IV in Compliance and Risk Management would be named "Cert IV WPA 12345.docx."

All assessment tasks must be submitted by email to: education@compliance.org.au
Candidates should make sure they keep a copy of their assessment tasks.

4. COURSE END DATE

The course end date is the date by which the candidate must have submitted all their completed assessment tasks. The candidate will be advised of the course end date when the course materials are issued. The course end date varies according to the method of delivery as set out below:

Delivery	Course	Course end date
Face-to-Face & Live Stream	All	12 months from the last day of the face-to-face or live stream delivery by the facilitator.
Distance Learning	All	24 months from the date the materials are first issued by the ACI to the candidate. Where a candidate is in a payment plan (available for Distance Learning only), the course-end date is from when the first batch of materials are issued to the candidate.

Submitting assessment tasks by the course end date is the responsibility of the candidate. The ACI will not follow up candidates from whom assessment tasks have not been received.

All submitted assessment tasks must be complete. Incomplete assessment tasks will not be assessed and will be returned to the candidate to complete.

5. EXTENSIONS

All complete assessment tasks are to be submitted by the candidate no later than the course end date to the ACI as per the submission instructions. In accordance with the submission instructions, all completed assessment tasks are to be electronically submitted to the ACI no later than midnight on the course end date.

Extensions to the course end date may be granted **under exceptional circumstances**. All requests for extensions must be made in writing NO LATER than 10

working days before the course end date.

Extensions of up to 10 working days may be granted by the Professional Development Manager or the ACI Chief Executive Officer/delegate. Any extensions beyond this must be referred to the Professional Development Committee for their consideration and ruling. All applications for extension must be accompanied by supporting evidence.

Any extension requests submitted after the course end date will only be considered in extreme situations on a case-by-case basis. Any requests submitted 60 days after the course end date will not be considered.

Partially complete assessment tasks will not be considered as a submission by the candidate. The assessor will evaluate whether they believe that the candidate has genuinely submitted the assessment task as complete.

If an incomplete assessment task is received prior to the course end date it will not be considered as a final submission and returned to the candidate. Incomplete submissions will not extend the course end date timing, unless the assessor believes a genuine error was made.

If a candidate does not complete the course by the course end date (including extensions) they can register to undertake the course at a later date. However, they will be required to pay the full course fee, as no discounts will be offered for previous uncompleted courses. If complete units of competency have been completed in the prior course, the candidate can submit to have that considered for a credit transfer.

6. ASSESSMENT OUTCOMES

Assessment tasks are marked against the prescribed set of competencies which are listed in each assessment task.

The marking schema is Satisfactory (S)/Not Yet Satisfactory (NYS).

Should the assessment task be marked as NYS, the candidate will be given two more attempts to resubmit their assessment tasks to be assessed as satisfactory. Resubmissions must be made no later than 30 days after the candidate receives the feedback.

The first two resubmissions will not incur the candidate additional costs. If further resubmissions are required, the candidate will be charged \$250 (+ GST) on each attempt to cover additional marking or coaching costs.

7. ASSESSMENT APPEALS

If a candidate does not agree with the assessment, they may lodge an appeal.

The method of lodging an appeal will depend on the complexity of the issues being the subject of appeal. The ACI has four (4) levels of assessing appeals as follows:

Level 1

Candidates who are appealing an assessment outcome and/or the assessment process or an administrative matter involving their study should raise the matter with their Trainer/Assessor who will attempt to resolve the issue immediately. Appeals may be made by email, phone or in person. If the candidate advises the matter is resolved or no response is received from the candidate within 30 calendar days after the decision is issued, the issue is considered closed. The outcome is noted and placed in the Candidate file and the Appeals and Complaints log.

This step should commence within ten (10) working days of the assessment outcome being advised or the issue becoming a concern.

Level 2

If the candidate is not satisfied with the Level 1 response, the candidate must outline the basis of their continued appeal and forward to the CEO of the ACI. The candidate should undertake a Level 2 appeal no later than 30 days after they have been informed of the decision of the Level 1 appeal.

Level 2 appeals will result in the assessment being sent to a different assessor for review. The new assessor will not receive any information on the original assessor's marks or commentary. The candidate will be advised of the appeals outcome within 10 working days after the matter has been sent to the new assessor. If the candidate advises the matter is resolved or no response is received from the candidate within 30 calendar days after the decision is issued, the issue is considered closed. The outcome is noted and placed in the candidate file and the Appeals and Complaints log.

Level 3

If the candidate remains dissatisfied with the outcome of the appeal it is to be reviewed by the CEO of the ACI. If necessary, the CEO will convene a review panel to thoroughly examine the appeal or complaint. The candidate will be advised of the outcome of the Level 3 review 15 working days after the appeal is reviewed by the CEO/panel. If the candidate advises the matter is resolved or no response is received from the candidate within 30 calendar days after the decision is issued, the issue is considered closed. The outcome is noted and placed in the candidate file and the Appeals and Complaints log.

Level 4

Should a candidate wish to engage an independent party once the ACI internal review process is exhausted, the candidate can refer the matter to National Training Complaints Hotline. Such complaints will be directed to relevant authorities, connecting consumers with the most appropriate organisation to assist them. Candidates can register a complaint with the National Training Complaints Hotline by:

- Phone: 13 38 73
- Email: skilling@education.gov.au

For more details, please refer to the Complaints and Appeals policy (available on the ACI website)

8. DOCUMENT RETENTION

Completed assessment tasks will be retained by the ACI for a minimum of six months after completion of the course. The ACI currently retains assessments for three years for moderation and validation purposes.

Qualifications and Statements of Attainment will be retained electronically for 30 years.

Version Control

Date	Version number	Description of amendment	Authorised by
2009-2013	V1 to v1.9	Included in Policy and Procedures revisions	Maree Hurley
December 2013	V2.0	Included in Policy and Procedures revisions	Maree Hurley
April 2014	V3.0	Included in Policy and Procedure rationalisation	John Saunders
October 2014	V4.0	Update for SRTO 2015	John Saunders
January 2022	V5.0	Amended to be the Assessment Submission Guide	John Saunders
6 May 2024	V6.0	Revised and updated as a stand-alone policy to be integrated into updated Policy and Procedures. Replaces the Assessment Submission Guide.	Professional Development Committee