Chapter 4: Training and assessment

Trainers assigned to deliver training are qualified.

The training provider has sufficient and appropriate resources for training and assessment.

The amount of training and mode of delivery is consistent with requirements.

IMPLEMENTING, MONITORING AND EVALUATING TRIANING AND ASSESSMENT STRATEGY PRACTICES (CLAUSES 1.1 – 1.4)

1.1 **The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of tr aining package and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.**

1.2 **For the purposes of Clause 1. 1, the RTO determines the amount of training they provide to each learner with regard to:**

the existing skills, knowledge and the experience of the learner;

the mode of delivery; and

where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

.3The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:

trainers and assessors to deliver the training and assessment;

educational and support services to meet th e needs of the learner cohort/s undertaking the training and assessment;

learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and

facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

1.4 **The RTO meets all requirements specified in the relevant training package or VET accredited course.**

Strategy

The RTO identifies, negotiates, plans and implements appropriate training and assessment strategies and practices to meet the needs of each of its clients, in consultation with industry, as well as the appropriate Training Product and the requirements of the Australian Qualifications Framework (AQF) for the appropriate AQF level requirements.

Policy and Procedure/s

Training and Assessment Strategy (T)

A strategic approach to training and assessment is applied to ensure consistency and compliance are maintained throughout the customisation and development of training and assessment program materials and accredited courses.

When developing or revising a Training and Assessment Strategy the RTO engages with industry and students through consultation via meetings, surveys, attendance at industry seminars and employer feedback, this ensures that the training and assessment strategies and practices adopted are relevant to the identified needs of industry and the RTO's clients.

Senior Management are responsible for implementing Training and Assessment Strategies for training products delivered within the Scope of Registration, this strategy is developed into a report that includes information on how the RTO wishes its training and assessment to be provided to our clients. The RTO has in place a Training and Assessment Strategy template, which is used for all training and assessment development and addresses the following:

Training product	Clearly identifying the training product, the strategy relates to, including the code and full title to ensure this is clear.

Core and elective components (full qualifications)	If delivering a full qualification, identified core and elective components in accordance with the structure defined in the training package or course. Define which elective units or modules are being offered so the RTO can properly plan for all delivery variables. Identify any entry requirements, as well as pre-requisite and co-requisite units, and the sequencing of delivery and assessment.
Target Audience	Existing skills, knowledge and experience of learners.
Mode of delivery	Identified how the training and assessment is to be delivered—face-to-face, online, through workplace training or a mixture of different modes.
Entry requirements	Identified any mandatory requirements for learners commencing the program, such as qualifications that must be held or periods of industry experience, any areas where learners may need additional support (e.g. if they have low English levels) and identify whether learners' physical attributes may influence their ability to complete the training and assessment (e.g. if heavy lifting is required).
Duration and scheduling	Analyse the nature of your learner cohort. Use the analysis and any specific requirements of the training product to determine how the RTO will schedule training and assessment activities to ensure learners are able to fully develop the required skills and knowledge prior to being assessed.
Assessment resources, methods and timing	Training package and VET accredited courses often specify resources that must be used in assessment at a unit of competency level. The TAS includes details of how the RTO will ensure learners have access to the resources that will give them the best chance of completing their study. Identify: assessment resources assessment methods to be used timing of assessment, and any adjustments that may be needed to cater for different learner characteristics.
Learning resources	To ensure learners are able to obtain and absorb the required knowledge and skills prior to assessment, the RTO has carefully chosen and planned the learning resources we will use to guide them.
Human resources	The Staff Matrix identifies the human resources available to deliver the training product, this is recorded at the unit of competency level to ensure any specific requirements are met, and to allow the RTO to deploy staff efficiently.
Physical resources	Compare the physical resources required to deliver a training product with the resources available to the RTO. Many units of competency include detailed specifications of resources required, so conducting this analysis at a unit of competency level ensures these requirements are met.

Strategies for 'stand-alone' single units or skill sets	Develop and implement a strategy in the same way as you would for a qualification, noting that some information may not be relevant, such as information on core and elective units. Often, this type of delivery is aimed at an industry licence or accreditation. Identify all of the requirements of that licence or accreditation in the strategy (including any possible entry requirements such as minimum age) and explain how learners can readily attain the desired outcome. Identify any pre-requisite and co-requisite units, and the sequence of delivery and assessment.
Strategies for 'assessment only' pathways	Where the RTO offers an 'assessment only' pathway, we have developed and implemented a strategy that covers: assessment methods, timing and resources, and how issues will be addressed (for example, if a learner does not achieve the competency requirements). Specific requirements may be set, such as a minimum period of industry experience before commencing the program, to allow for Volume of Learning.

Attention to various learning styles, learners existing skills, knowledge and experience, literacy and numeracy issues, equipment and resources, mode of delivery, reasonable adjustment, delivery and assessment methods has been incorporated into the Training and Assessment Strategies. This information provides trainers and assessors with a background on how the RTO wishes the training product to be delivered.

The amount of training included in each training product is determined by the learner's existing skills and knowledge and mode of delivery, which is reflected in the Training and Assessment Strategy.

Program context, delivery, material and assessment methods are evaluated and adjusted accordingly through a continuous improvement process. Refer to Standard 1, Clause 2.2 a) for more details.

Information contained within organisational marketing materials for course delivery is to be derived from the information contained within the Training and Assessment Strategies, this will ensure consistency of information throughout the RTO, including course flyers and the organisational website.

Industry Consultation Folders, kept at the head office, are in place for each Training Product we have on our Scope of Registration. In the Industry Consultation Folders information is stored on: Industry Surveys; Research materials; minutes from Industry Meetings; Conference Notes, Relevant news articles; etc

Volume of Learning

In order to ensure that the Training and Assessment Strategy includes the "amount of training the RTO will provide", the Training and Assessment Strategy includes the total Volume of Learning in accordance with the timeframes outlined in the AQF Handbook. The total volume of learning includes all the hours the student should undertake to meet the typical timeframe requirements of the qualification level. This can include, but is not limited to, the following:

- Face to face learning
- Work Placement
- Self-paced learning
- On the job assessments
- Portfolio of evidence

~~Prior qualifications~~
Evidence of prior skills and knowledge

Volume of learning can be identified through the relevant Industry Skills Council Companion Guide and the AQF Handbook.

Where the learner cohort consists of new entrants or inexperienced workers, the course length will be determined by ensuring that the learners are able to fully absorb the required skills and to develop skills over time in the different contexts they would experience in the workplace.

Following is an extract from the AQF Handbook that includes the typical timeframe of each qualification level. (www.aqf.edu.au)

Level	Volume of Learning	Years	Hours
1	The volume of learning of a Certificate I is typically	**0.5–1**	600-1200
2	The volume of learning of a Certificate II is typically	**0.5–1**	600-1200
3	The volume of learning of a Certificate III is typically Up to 4 years may be required to achieve the learning outcomes through a program of indentured training/employment	**1 – 2**	1200-2400
4	The volume of learning of a Certificate IV is typically. There may be variations between short duration specialist qualifications that build on knowledge and skills already acquired and longer duration qualifications that are designed as entry level requirements for work	**0.5–2**	600-2400
5	The volume of learning of a Diploma is typically	**1 – 2**	1200-2400
6	The volume of learning of an Advanced Diploma is typically	**1.5–2**	1800-2400

Training products or courses that do not meet the required hours will include a validation of why the hours have been shortened. Following is an example of reasons why the hours would be shortened:

The learner cohort comprises of experienced workers who already have most of the required skills and knowledge (i.e. 3 years' current industry experience within a role that utilises most of the skills being delivered)

Students must be existing workers already working with the role where they may wish to up-skill

Student holds a qualification below the training product being delivered or equivalent experience

Students are required for licensing purposes to complete a refresher course every 1-3 years as part of their employment.

The RTO has policies in place to ensure that each learner achieves the requirements of their training, these include:

- Support Services
- Training and Assessment Strategies
- Monthly Quality and Compliance Meetings
- Monthly reports from Trainers and Assessors
- Assessing student suitability prior to course commencement

Training and Assessment Strategy Development (T)

Procedure for the development of Training and Assessment Strategies as follows:

- Identify Training Product to be updated or added to the Scope of Registration
- Conduct Industry consultation through meeting key stakeholders, who are responsible for the recruitment of people from the industry of the training product
- Undertake industry surveys by distributing the Industry Survey Form to potential employers, supervisors or Human Resources Managers within the industry
- Research the relevant Industry Skills Council for the Training Package to acquire further information on the training product, industry trends and industry feedback
- Draft the Training and Assessment Strategy utilising the organisational template addressing each of the following areas:
    - define the RTO's target client group/s and describe how it will deliver the training product/s to meet client needs
    - demonstrate how each strategy has been developed through effective consultation with industry
    - demonstrate how each proposed trainer/assessor possesses (equivalence to) all relevant vocational competencies at least to the level of the training or assessment to be delivered
    - list all physical resources and equipment that are accessible at each proposed delivery venue
    - identify the range and format of all delivery and assessment methodologies and resources/tools to be used
    - describe how assessment processes, tools and judgements have been and will continue to be systematically validated
- Develop a plan on how the RTO plans to deliver and assess, this can be done by either a:
    - Session Plan – For single units or skill sets; or
    - Delivery and Assessment Plan – For full qualifications (refer to page 86 for more details on Delivery and Assessment Plans)
- Once a draft TAS has been finalised, have a range of staff and industry review the TAS to ensure currency and validity of proposed training and assessment
- Finalise TAS and distribute to relevant staff, including Trainers and Assessors, Compliance Managers, Administration Staff. If the TAS has been developed for a specific client, distribute to the client.

Variations to the approved Training and Assessment Strategy

Our organisation recognises that changes may be required to the training and assessment strategy to meet learner, industry and trainer needs. Where changes are required an Opportunity for Improvement Form should be submitted for consideration, see page 76 for the procedure on how to submit an Opportunity for Improvement.

The following circumstances would warrant an update of the TAS:

Training Package changes (Transition)

Change of delivery method or additional delivery methods

Change of Training and Assessment tools

~~Change in legislation that affects the training product~~
Change in licensing requirements
Change in industry requirements
Learner cohort or target audience changes

Staff, Facilities, Resources and Equipment (T)

The RTO will ensure that all staff, facilities, resources and equipment is in place for the RTO's entire scope of registration at all times. To ensure that students and trainers have access to the required resources, to accommodate the number of learners, as per the requirements of the training products on the RTO's scope of registration, we have the following strategy in place:

The resource requirements for each training product is identified during the development of the Training and Assessment Strategy (TAS) and included within the TAS. This includes identifying the "Critical Aspects" for "Assessment Requirements" from www.training.gov.au and/or the Training Package companion guides.

Data collected from Industry Consultation are reviewed and identified. Facilities and equipment for training and assessment are included in the Training and Assessment Strategy.

Trainers are provided access to training and assessment materials either through the RTO or through the Employer for on-the-job training, at the or off-site training facilities.

Access to resources may include:

- Staff, including relevant industry professionals; subject matter experts
- Trainer/assessor guides
- Assessment plans/tools
- Relevant online resources
- Delivery and Assessment Plans
- Facilities, including on the job training
- Equipment and resources, as outlined in the training product
- Equipment and processes used by the industry
- Learner tools, including text books, workbooks and/or other resources
- Industry specific facilities and equipment
- Resources for learners with special needs

If a trainer identifies a resource that they require, the trainer is instructed to complete a Resources Order Form, to validate why the resource is required and submit to the CEO or RTO Manager for approval. Refer to the "Resources Ordering Process" on page 70.

If a resource is rejected, the RTO will give a valid reason, which could include:

- Resource is already in stock
- Resource is not in line with Training Product requirements
- A similar resource is already in place

The TAS is to provide evidence of arrangements for student and trainer/assessor access to suitably equipped workplace or simulated workplace environments for delivery and assessment.

The RTO develops or purchases training and assessment tools that meet:

- Current industry requirements
- Learner needs
- Written against the Training Product requirements
- Easy to use, providing clear instructions
- Mapped to the Units of Competencies and the elements within the UOC's
- Written specifically to meet the requirements of the Training Product
- Language Literacy and Numeracy requirements

Training Facility Checklist (T)

Each training venue, including classroom based and on the job based, should be fully equipped with the resources required to deliver the training, according to the training product requirements.

The RTO has in place a **Training Facility Checklist** template, which is to be used to identify that all the required resources are in place prior to course commencement, this checklist should be customised for each training product and provided to the Trainer/Assessor prior to course delivery.

The Trainer/Assessor is responsible for completing the “Training Facility Checklist” prior to course commencement. If the training facility does not have all the required resources, the trainer/assessor is responsible for notifying the RTO Manager and complete a Resources Order Form to order the required resources. See the “Resources Ordering Process” on page 70 for further details.

The **Training Facility Checklist** is to be completed to ascertain whether a training room meets the requirements for training. Adjustments can be made to the room if the requirements are not met, but in some cases, another training room may need to be sourced.

The Training Facility Checklist identifies the training facility meets the following:

- WHS requirements
- Has enough tables and chairs for each student (if theory-based training)
- Have the required resources as per the training product requirements and in line with the Training and Assessment Strategy requirements.

Resources Ordering Process (T)

All staff are required to complete a Resources Order Form for all resources that they wish to have in place, once completed, this order form is to be submitted to the RTO Manager for approval. The RTO Manager will determine whether the resource requested is a necessary requirement, if yes, the RTO Manager will then determine whether the resource is currently in stock or the resource will need to be ordered.

There are two types of resources that may be ordered, these include:

Consumable Resources - Any resource, such as paper, ink cartridges used in printers, textbooks that are given to students or disposable training specific resources (such as urine testing kits and sanitary napkins), by its nature these resources are usable on only a limited number of occasions.

Reusable Resource - A resource, such as tables, chairs, or training equipment that is not rendered useless by being used. A table or chair can be used often indefinitely and are to be regarded as reusable resources, unless it has been damaged or is broken.

An Inventory of Resources is to be kept on file by the RTO Manager to ensure that all resources identified within the Training and Assessment Strategies are in place. This **Resource Inventory Register** is to be maintained by the RTO Manager to keep a record of all the required resources by the RTO.

Resources Order Form (T)

Once you have identified a need for a new resource, the following process should be followed:

- Obtain a copy of the Resources Order Form, which can be accessed from the Administration Office or the RTO Manager
- Complete the form, including:

Your name, Course Name and Date

Name of Resource/s, number of units to be ordered and ISBN Code (if applicable)

Circle the level of importance and the date the resource is required by

State the "Reason for the resource" (i.e. Replace existing stock or a piece of equipment needs to be replaced due to being broken)

Forward Resources Order Form to the RTO Manager for approval

The RTO Manager will review the "Resources Order Form" to identify whether resources to be ordered are necessary or whether there are sufficient resources already in stock. The Resource Order Form may be rejected if it is identified that the resources are already in stock or an equivalent piece of equipment or resource is already in place and sufficient.

Once the order is approved, the RTO Manager is to sign and approve the order and forward to accounts for processing.

Staff Matrix (T)

All trainers are required to complete a staff matrix prior to commencement of training with the RTO, this should include the trainers' relevant industry experience to the qualification to be delivered as well as Professional Development that has been undertaken in the VET sector, including any workshops or conferences that they have attended. Certified copies of Certificates and any other documentation that supports Industry experience and VET development is to be provided to the RTO Manager.

A Staff Matrix is to be developed and updated for each Trainer/Assessor against each qualification and/or Unit of Competency on the RTO's Scope of Registration. The Staff Matrix is to be updated under all the following circumstances:

When a Training and Assessment Strategy has been updated

When preparing for an Addition to Scope

Whenever a new trainer joins or leaves the RTO

When transitioning from a superseded Training Product

The Staff Matrix template is to be used for all Training and Assessing staff. This template format should not be amended by the trainer; this is to ensure consistency of our Staff Matrix's.

When updating the Staff Matrix, the RTO will ensure that the tool maps to t he trainers' qualifications and experience that is relevant for the qualification they are to deliver.

Trainers are responsible for ensuring their Staff Matrix is kept up to date and should be reviewed at least annually. Trainers should ensure that they address each Unit of Competency with their relevant industry experience.

Evidence

- Staff Matrix
- Resources Order Form
- Training and Assessment Strategy
- Delivery and Assessment Plan
- Training Facility Checklist

Continuous Improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **January** on an annual basis.

Responsibility

- CEO
- RTO Manager
- Trainers & Assessors

2.2 The RTO:

systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and

systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7 .5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

Strategy

Continuous improvement is about applying good business practices within our organisation to ensure the best outcomes for our clients. This involves the collection of relevant information (or data), analysing that data and then applying corrective actions to improve the practices of the RTO. Relevant information is collected through actively engaging with key stakeholders, before, during and after training and assessment.

Policy and Procedure/s

Systematic monitoring of Training and Assessment Strategies

As per clauses 1.1 – 1.4, TAS's will be systematically monitored on an annual basis to ensure currency with the Training Product and updated with industry consultation. See continuous improvement strategy for more details on improvements and monitoring of TAS's.

Continuous Improvement Strategy

To ensure that we are systematically monitoring our systems, we have implemented a continuous improvement strategy, this strategy includes:

- Types of stakeholders
- Types of data collected
- Mechanisms for collecting data
- The timing of the data collection
- How data will be analysed
- Who is responsible?
- How the data will be acted upon
- Implementation of improvements
- Monitoring of data

The strategy includes a list of stakeholders from which we will collect data, this is also mapped against each form within the RTO to identify who the key stakeholders are.

Types of data to be collected

Data required for the development and improvement of training, assessment, strategies and practices.

Mechanisms for collecting data

Data collected for improving training, assessment, systems and practices in the conduct of its Continuous Improvement Strategy, is collected through the following mechanisms:

- AVETMISS data
  - Enrolment Agreement Form (refer policy and procedure on page 32)
  - Annual Internal Audits (refer to policy and procedure on page 77)

Annual internal audits (refer to policy and procedure on page 77)
Meeting Agenda and Minutes template (refer to policy and procedure on page 74)

Quality indicator data
Quality Indicators (refer to policy and procedure on page 170)
Annual internal audits (refer to policy and procedure on page 77)
Meeting Agenda and Minutes template (refer to policy and procedure on page 74)

Validation outcomes
Annual internal audits (refer to policy and procedure on page 77)
Meeting Agenda and Minutes template (refer to policy and procedure on page 74)

Client feedback
Training Needs Analysis (refer policy and procedure on page 49)
Training Evaluation Form (refer policy and procedure on page 82)
Industry Survey Form (refer policy and procedure on page 86)
Opportunity for Improvement Form and Register (refer policy and procedure on page 76)
WHS Incident and Report and Register (refer to policy and procedure on page 148)
Annual internal audits (refer to policy and procedure on page 77)
Meeting Agenda and Minutes template (refer to policy and procedure on page 74)

Training and assessor and feedback
Staff Matrix (refer policy and procedure on page 71)
Opportunity for Improvement Form and Register (refer policy and procedure on page 76)
Trainers Report (refer policy and procedure on page 78)
WHS Incident and Report and Register (refer to policy and procedure on page 148)
Annual internal audits (refer to policy and procedure on page 77)
Meeting Agenda and Minutes template (refer to policy and procedure on page 74)

Complaints and appeals
Complaints and Appeals Form (refer to policy and procedure on page 57)
Annual internal audits (refer to policy and procedure on page 77)
Meeting Agenda and Minutes template (refer to policy and procedure on page 74)

The timing of data collection

Using a variety of methods for collecting data as identified above, the continuous improvement strategy includes the timing of when this data should be collected mapped against each form from which we collect data.

How data will be analysed

Data is utilised for the improvement of training, assessment, strategies and practices which means that all data collected should be relevant to the improvement of these services. To ensure that data is relevant, the data collected is analysed by the appropriate personnel, the staff member responsible will depend on the form utilised for collecting the data. Each form has been mapped against how the data collected will be analysed within the “Continuous Improvement Strategy” under “Part 2: Data collected on RTO forms”.

In the majority of cases, data collected is reviewed at the monthly Quality and Compliance Meeting. At this meeting there are standing agenda items for the review of Continuous Improvement, these Standing Agenda Items include:

- Opportunities for Improvement – Register
- Complaints and Appeals - Register
- WHS Incident - Register
- Quality Indicators and Student Feedback
- Industry Consultation
- Trainers Report
- Continual Improvement Cycle
- Changes to Training Packages
- General administration and training issues
- Previous Business
- Business Arising
- Business without notice
- Date of next meeting

The relevant data collected and received by the RTO will be discussed at the next scheduled Quality and Compliance Meeting, with data collected being analysed for continuous improvement.

Who is responsible for analysing the data

Ultimately the CEO or RTO Manager will be responsible for the data collected, but on occasion the responsibility may also be on the Trainer/Assessor or other key RTO Staff. Please see the relevant policy and procedure for each form to identify who is responsible for the data collected.

How the data will be acted upon

Data collected and analysed for continuous improvement is to be acted upon within a timely manner. Each form has a policy and procedure within the Quality and Compliance Manual, with the types of action that should be taken on the data collected, all staff should refer to this manual for the procedure.

Implementation of Improvements

If an Opportunity for Improvement is identified through the data collected, an Opportunity for Improvement form should be completed, as per the process outlined on page 76.

Monitoring of improvements identified through the data collected will be undertaken at the monthly Quality and Compliance Meetings, as per the process on page 74.

Monitoring of Data

Data collected for the improvement of training, assessment, strategies and practices is monitored through the monthly Quality and Compliance Meeting, this is done through discussions held at the meeting and minutes of the meeting are then distributed to all staff (including trainers and assessors) following the meeting. Any data collected that requires to be reviewed again, will be carried over to the next meeting.

Once a year an Internal Audit is conducted, whereby all systems and practices are reviewed, which includes a review of continuous improvement data that had been collected over the year.

Quality and Compliance Meetings (Q&C)

The Quality and Compliance Meetings are held on a monthly basis to review and analyse data collected and plan the RTO's continuous improvement activities. All staff will be provided with an opportunity to present individual needs, stakeholder feedback forms, continuous improvement items or client feedback advice to the management team. Following is the process for the Quality and Compliance Meeting:

- CEO or RTO manager sets the date and time of the next Q&C Meeting to all members at the end of each Q&C meeting.
- The Minute Taker will request any Agenda items to be added to the agenda at least five business days prior to the scheduled meeting.
- Minute Taker distributes agenda to all attendees.
- The CEO shall ensure that the appointed Minute Taker accurately records the management team meetings.
- The CEO shall ensure that all current stakeholder feedback forms presented by staff are reviewed and analysed for relevant corrective actions that may contribute to improvements to the operations.
- The Minute Taker shall ensure that all stakeholder feedback forms and client feedback surveys are stored in the appropriate files.
- All items of the agenda shall be allocated to a staff member for action.
- The Minute Taker shall ensure that the recorded management meeting minutes are stored, and copies of the minutes are circulated to attendees and other relevant staff who should receive the minutes, this includes Trainers, Assessors, and Management and Administration staff.

Standing Agenda Items for the Quality and Compliance Meetings include:

- Opportunities for Improvement – Register
- Complaints and Appeals - Register
- WHS Incident - Register
- Quality Indicators and Student Feedback
- Industry Consultation
- Trainers Report
- Continual Improvement Cycle
- Changes to Training Package
- General administration and training issues
- Previous Business
- Business Arising
- Business without notice
- Date of next meeting

Continuous Improvement Cycle (T)

All staff are encouraged to contribute to the continual improvement of our systems and practices by assisting with the review of the RTO's policies and procedures. The cycle of when each Policy and Procedure is to be reviewed is within the continuous improvement cycle on page 16.

The Continuous Improvement Cycle is implemented throughout the organisation to maintain a continuous improvement approach to compliance, this is achieved by:

- Issuing each staff member with the Continuous Improvement Cycle.
- Each staff member is required to read the Cycle prior to the Quality and Compliance Meetings
- Each month a range of Standards are reviewed at the Quality and Compliance Meetings, as per the continuous improvement cycle
- Staff are invited to submit ideas or suggestions for improvement according to the standard being reviewed
- Refer to the cycle for a schedule of improvement reviews

If a staff member would like to submit an item to be discussed at the Quality and Compliance Meetings, they should complete an Opportunity for Improvement Form and submit to the RTO for action.

Opportunity for Improvement (T&S)

A key process for managing continuous improvement throughout the RTO is through identifying "Opportunities for Improvement", these can be improvements to Training and Assessment, Client Services or Management Systems. Examples of when Opportunities for Improvement may be identified include:

Training and Assessment:

- Reviewing a Training and Assessment Strategy
- Feedback on Training and Assessment
- Industry Consultation
- Assessment Validation
- Internal Audits

Client Services:

- Opportunities for Improvement
- Training Evaluation Form
- Enrolment Agreement Forms
- Internal Audit Reports
- Complaints and Appeals Forms

Management Systems:

- Quality and Compliance Meeting minutes
- Review of Continuous Improvement Cycle
- Conducting Annual Internal Audits

All staff and students are encouraged to complete an Opportunity for Improvement Form if they identify a system, process or procedure requiring implementation or improvement.

The implementation of the actions identified in the Opportunity for Improvement Form will be reviewed and discussed at the Monthly Quality and Compliance Meetings. Following is the process for opportunities for improvement:

An opportunity for improvement is identified

An Opportunity for Improvement Form is completed, by outlining the details of the current weakness in the system, process, procedure or practice.

In order to focus on the solution and not the weakness, the person who has identified the improvement is given the opportunity to also identity the "Action required for Improvement". If they are not able to identify a solution, this will be given to the RTO Manager to resolve.

Submit the Opportunity for Improvement Form to the RTO Manager.

RTO Manager reviews the Opportunity for Improvement Form, and either reviews the suggested "Action required for Improvement" identified by the person who completed the form or identifies what they believe the "Action required for Improvement".

The RTO Manager enters the Opportunity for Improvement into the Opportunity for Improvement Register.

RTO Manager either then delegates the Opportunity for Improvement to be actioned by another staff member or undertakes the Action to be completed.

Once Actioned and finalised, the Opportunity for Improvement Form is to be filed into the Opportunities for Improvement Register.

The Opportunity for Improvement is reviewed at the monthly Quality and Compliance Meeting. Minutes from the Quality and Compliance Meeting are distributed to all Training and Administration staff so that they can review the Opportunities identified.

Annual Internal Audits

The CEO shall ensure that the person responsible for carrying out an Internal Audit is conversant with the policy and procedures for conducting internal audits across the RTO's scale of operations, Policies and Procedures and those organisations that conduct training on its behalf.

The CEO will ensure that all annual Internal Audits conducted by the RTO are against the VET Quality Framework and will apply to all of the RTO's training delivery and assessment within its scope of registration.

The CEO shall ensure that all Internal audits conducted has an action plan for addressing the non-compliances. The RTO should utilise the Regulatory Bodies Audit Report template for undertaking the internal audit to identify level of compliance against the requirements of the Standards.

The CEO shall review and act upon all non-compliance issues within 20 business days following all Internal Audits.

Procedure for conducting Internal Audits

Notify all staff by email or memo advising the schedule of the audit and the scale of the audit (including partnership organisations, if applicable)

Review the management meeting minutes from the previous 12 months for any inaction from Opportunities for Improvement that were identified.

Review the Opportunity for Improvements from the previous 12 months of operation or for the period of registration.

Review Assessment Validation activities from the previous 12 months of operation or for the period of registration.

Review all Third-Party Arrangements, agreements and assessment validation activities for the previous 12 months.

Review the legislation under the VET Quality Framework and all other appropriate legislative requirements.

Source the appropriate regulatory authority for updates of compliance requirements.

Review all relevant State and Commonwealth Legislation and its availability to all staff.

Complete a full report, using the ASQA Self Assessment Tool identifying non-compliances against the Standards for RTO's

Provide the CEO with a copy of the full report of non-compliances.

Date and file a copy of the record of internal audit and the full report of non-compliance in the RTO's Audit File.

Review Audit non-compliances and identify an action plan at the monthly Quality and Compliance Meeting

The RTO may also choose to engage an external consultant to conduct the Internal Audit, which will provide an external view of the RTO's compliance against the VET Quality Framework.

Records required for Audit

The following documents will be required for audit purposes and will be [1]securely retained for a period of 6 months from the date on which the judgment of competence was made or a qualification was awarded.

These documents will include the following:

- Attendance rolls that show the names of students, the unit/s of competency identifier and/or name,
- Date/s of attendance and signature or initial of Trainer/Assessor.
- Records of assessment and/or training record books that show the date of assessment/s, unit/s of competency, student name and outcome of assessment/s.
- Training delivery and assessment policies and strategies for all qualifications/courses.
- Completed assessment tools and instruments.
- Recognition of Prior Learning assessment records.
- Complaints, Appeals and the complaints resolution records

Trainers Report (T)

The "Trainers Report" is to be completed by Trainers and Assessors and submitted for review at the monthly Quality and Compliance Meeting.

The Trainers Report includes feedback on the following:

- Feedback on training and assessment
- Feedback on operations
- Student concerns
- Disruptive behaviour
- Continuous improvement

Trainers can use this report to raise any areas of concern, or aspect of operations that may be impacting on their ability to perform their role effectively. They can also use it as a means to make suggestions to management and the team that will support the continuous improvement culture of the RTO.

Each month Trainers and Assessors are required to submit a Trainers Report to the RTO Manager, following is the procedure that should be followed:

- Trainers will be advised of the due date for the Trainers Report by the RTO Manager
- Three days prior to the report being submitted to the RTO Manager, the Trainer/Assessor completes the Trainers Report
- Trainer/Assessor submits the Trainers Report to the RTO Manager by no later than the due date, this can be electronically or on paper.
- The RTO Manager is to review the reports and prepare a summary for the Quality and Compliance Meeting.
- Trainers Reports, with RTO Managers summary, is to be tabled at the monthly Quality and Compliance Meeting and minuted as tabled.
- Any action items from the Trainers Report identified will be tabled as action items.
- Any opportunities for improvement identified are transferred onto an Opportunity for Improvement Form and action taken, as per the Opportunities for Improvement procedure (see page 76 for procedure).

Each report is reviewed at the monthly Quality and Compliance Meetings to discuss strategies for improving practices through any issues identified in the reports.

Consultation with Trainers and Assessors (T)

Feedback provided by trainers and assessors can contribute to the improvement of the overall service provided as they have the industry experience and are in direct contact with the clients and implementing the training and assessment activities. In order to ensure that Senior Management are able to make informed decisions based on the experiences of our trainers we:

Advise all new employees of the importance of communication and sharing any suggestions and recommendations for improvement

Make sure that all staff have the necessary documents and procedures to collect feedback (such as feedback forms, session reports, records of meetings, etc)

Hold regular meetings to provide opportunities for open discussions regarding training and assessment services and opportunities for improvement

Encourage trainers and assessors to provide feedback and suggestions for improvement as identified and report this feedback through for consideration and where appropriate action/implementation

Provide a range of opportunities and activities for trainers/assessors to be involved in the review process and provide feedback.

Evidence

- Continuous Improvement Strategy
- Quality and Compliance Meeting Register
- OFI Register
- Complaints and Appeals Register
- Audit Reports
- Trainers Reports

Continuous Improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **March** on an annual basis.

Responsibility

- Chief Executive Officer
- Senior Management
- Trainers and Assessors

Securely retain: To retain records in a manner that safeguards them against unauthorised access, fire, flood, termites or any other pests, and which ensures that copies of records can be produced if the originals are destroyed or inaccessible .

ENGAGING WITH INDUSTRY (CLAUSES 1.5 – 1.6)

1.5 The RTO's training and assessment practices are relevant to the needs of industry and informed by industry engagement.

1.6 The RTO implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of:

its training and assessment strategies, practices and resources; and

the current industry skills of its trainers and assessors.

Strategy

To provide training that is relevant to employers and to maximise learner opportunities for employment, advancement or further education, our RTO engages with relevant industry stakeholders to establish appropriate contexts, methods, resources, trainers and assessors to deliver training and conduct assessment.

The information gathered through industry engagement is used in the development of the RTO's Training and Assessment Strategy and in the selection of suitable resources, including the currency of industry skills of its trainers and assessors.

Policy and Procedure/s

Industry Engagement Strategies (T)

The RTO consults directly with industry to identify how the RTO will deliver and assess training products to meet industry needs.

The RTO, including its trainers and assessors, undertakes a range of consultation with industry, these include:

- Attending **Industry Workshops, Conferences and Forums.** Being actively involved in industry focussed workshops, conferences and forums to increase skills and knowledge of the industry
- Attending **Industry Skills Council workshops** and meetings, to gain a better understanding on how to implement a Training Product as well as actively be involved in training product development
- Attending **VET Conferences and Workshops**, to further develop VET knowledge and skills of RTO and Training staff
- Undertaking **Industry Surveys,** utilising the industry survey form which directly aligns with this Training & Assessment Strategy, to identify the desired training delivery and assessment methods required by employers and supervisors within the industry we service (see page 81 for policy and procedure)
- Attaining **Letters of Support** from organisations that have stated that they wish to support our RTO to add a training product to our scope of registration
- **Meeting with industry** and clients to discuss their specific training needs
- Undertaking **Training Needs Analysis** for clients to identify the most appropriate training to fulfil the needs of their organisation and the industry (see page 49 for policy and procedure)
- **Subscribing to Industry Newsletters**, either direct with industry or through industry skills councils, and social networks (i.e. LinkedIn and Facebook)
- **Engaging consultants** who are experts in their industry and/or compliance requirements

Senior Management, in consultation with the Trainers and Assessors, are to develop a Training and Assessment Strategy for the intended training products utilising the data collected from industry engagement. See Clauses 1.1-1.4 for further information.

Strategies to engage employers

Strategies to engage employers and other parties, such as third-party supervisors, are outlined below:

During the Development of Training and Assessment Strategies, through interviews and requesting that they review our Training and Assessment Strategies

When utilising employers and supervisors during traineeship visits or Work Placement to identify whether our training is meeting their needs

Meeting with employers and supervisors to identify if training outcomes are meeting industry needs

Conducting **QI Employer Surveys** and **Training Evaluations** to identify that skills and experience of our trainers and assessors meet industry needs.

Following is an outline of how the RTO ensures that the contribution by employers and other parties are incorporated into training and assessment:

1. Development

Prior to placing a qualification onto the RTO's Scope of Registration or prior to implementing new assessment tools, changes to existing training products; the RTO engages employers and other parties in the development of the Training and Assessment Strategies by undertaking industry consultation and industry surveys to identify employer/industry needs.

2. Delivery and Monitoring

Employers and other parties may be required to contribute to the delivery and assessment of training, this could include providing:

Third Party Reports: whereby a supervisor may be required to provide feedback on the students' progress in the workplace.

Work Placement: whereby the student undertakes work placement with an organisation as part of their qualification completion requirements.

In order to undertake assessments, the Assessor must hold the relevant Vocational and Training qualifications, as per the requirements set out in Clause 1.13, this includes employees/contractors of the RTO and employees/contractors of any other organisation.

All assessments, including Third Party Reports and Work Placement, are to be finalised and signed off by a qualified Assessor of the RTO.

The RTO maintains evidence that we have consulted with industry stakeholders through the following methods:

The RTO has in place **an Industry Consultation Folder**, which includes evidence of consultation including copies of Industry Surveys

Once a month we hold **Quality and Compliance Meetings**, at this meeting one of the agenda items is Industry Consultation, a record of meetings with industry is minuted at this meeting. Refer to the policy and procedure for Quality and Compliance Meetings on page 74, which includes how data collected from Industry Consultation will be utilised for improving practices

If any **Opportunities for Improvement** are identified during **Industry Consultation** or through the monthly Quality and Compliance Meeting an Opportunity for Improvement Form will be completed, please refer to the **Opportunity for Improvement** policy and procedure on page 76 for more information.

Industry Survey Form

The Industry Survey Form has been developed in line with the types of data the RTO collects to write the TAS, this includes feedback from industry on how they would like to have the course delivered. The Industry Survey Form includes questions on the following:

- Relevant units to select for the training product
- Skills the industry believe are essential to their industry
- Identifies the role of the person completing the form
- Mode of delivery preferred by the person completing the form
- What the person completing the form thinks about training currently being supplied
- What do they consider to be essential skills and experience of trainers and assessors
- What they believe to be essential resources for the industry

When undertaking Industry Surveys the RTO targets people who will be employing our students once they complete the training (for example Managers, Human Resource Managers, Directors, Management Staff, Supervisors etc.).

This Survey can be conducted either via emailing the Survey direct to relevant organisations within the Industry or we conduct the survey over the phone or at an interview/ meeting with the relevant staff. Industry Surveys can also be sent via an online platform, such as Survey Monkey.

When preparing for an Addition to Scope, a minimum of five Industry Survey Forms are to be collected for each qualification to be placed onto the scope of registration.

Letter of Support

The Letter of Support template is a letter that the RTO sends to associates or companies that the RTO is currently working with, who wish to support the RTO's application for an addition to scope.

Letters of Support should be obtained from Senior Management staff of the organisation, this will ensure that the Letters of Support are valid. It is also best if the organisation is a possible future client, whereby the RTO could possibly provide training for that organisation in the future.

Trainers Currency (T)

All Trainers and Assessors are required to maintain currency within their industry as a part of their employment. Refer to the policy on "Trainers Qualifications and Experience" under Clause 1.13.

In order to ensure that trainers and assessors currency with required industry skills is informed by industry engagement, the RTO has in place the following policy:

- **Industry Surveys** are distributed to industry and includes questions on trainers' skills and knowledge
- **Consulting directly** with industry to ascertain current skills and knowledge requirements
- **Training Evaluation Forms and QI Employer Forms** include feedback on trainers' skills and knowledge
- Trainers and Assessors are required to consult with industry directly about current industry skills and knowledge
- Trainers and Assessors are required to undertake Professional Development and/or training activities focussed on industry skills and knowledge in both the industry they deliver and the VET sector.

Training Evaluations Forms (T&S)

Training Evaluation Form - Student

The purpose of the Training Evaluation Form is to collect feedback from students on the delivery of training and assessment, including training facilities, the trainers' skills and knowledge, as well as feedback on the resources utilised for delivery of training, and overall satisfaction ranking with the course.

At the mid-way point and completion of each training program a Training Evaluation Form is to be handed out to the participants for completion. The Training Evaluation Forms are to be collected and the relevant trainer will prepare a summary of the evaluations to be given to the RTO Manager for reviewing at the monthly Quality and Compliance Meetings.

In addition to training evaluation, the RTO will conduct random surveys and interviews with industry leaders, clients, students and other community bodies to identify future needs in training.

The RTO Manager will report both positive and negative feedback to the relevant people for discussion. Feedback regarding delivered programs is to be discussed with the trainer that delivered the training with positive feedback being acknowledged. These discussions are to assist in the revision and adjustment of training material and delivery methods and enable to trainers' professional development.

Any complaints or issues that are identified from feedback are to be recorded in an Opportunity for Improvement Form for action. Once action has been taken the Opportunity for Improvement Form is to be filed into the Opportunity for Improvement Register. Forms filed into the folder are reviewed at the monthly Quality and Compliance Meetings.

Trainers are to provide feedback on training through the Trainers Report.

Training Evaluation Form – Employer

The purpose of the Employer Training Evaluation Form is to collect feedback from employers participating in any work placement arrangements, about the delivery of training and assessment, including training facilities, trainers' skills and knowledge, as well as feedback on the resources utilised for delivery of training, including their supervisors, and overall satisfaction ranking with the course.

At the mid-way point and completion of each training program an Employer Training Evaluation Form is to be handed out to the employers for completion. The Employer Training Evaluation Forms are to be collected and the relevant trainer will prepare a summary of the evaluations to be given to the RTO Manager for reviewing at the monthly Quality and Compliance Meetings.

In addition to training evaluation, the RTO will conduct random surveys and interviews with industry leaders, clients, students and other community bodies to identify future needs in training.

The RTO Manager will report both positive and negative feedback to the relevant people for discussion. Feedback regarding delivered programs is to be discussed with the trainer and supervisor that participated in the training with positive feedback being acknowledged. These discussions are to assist in the revision and adjustment of training material and delivery methods and support professional development strategies.

Any complaints or issues that are identified from feedback are to be recorded in an Opportunity for Improvement Form for action. Once action has been taken the Opportunity for Improvement Form is to be filed into the Opportunity for Improvement Register. Forms filed into the folder are reviewed at the monthly Quality and Compliance Meetings.

Trainers are to provide feedback on training through the Trainers Report.

Evidence

- Training and Assessment Strategy template

  Industry Survey Form
  Training Evaluation Form- Student and Employer
  Industry Consultation Folder
  Staff Matrix

Trainers and Assessors Position Description

Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **January** on an annual basis.
Responsibility	Chief Executive Officer Senior Management Trainers & Assessors

CONDUCTING EFFECTIVE ASSESSMENT (CLAUSES 1.8 – 1.12)

1.8 The RTO implements an assessment system that ensures that assessment (including Recognition of Prior Learning):

complies with the assessment requirements of the relevant training package or VET accredited course;

is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2;

.9The RTO implements a plan for ongoing systematic validation of assessment practices and judgments 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 purposes 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 RT O's scope of registration including those risks identified by the VET Regulator

1.11 For the purposes 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 involve in the particular instance of delivery and assessment of the training product being validated, and who collectively have:

a) vocational competencies and current industry skills relevant to the assessment being validated;

b) current knowledge and skills in vocational teaching and learning; and

c) the training and assessment qualification or assessor skill set referred to in item 1 or 3 of Schedule 1

1.12 The RTO offers recognition of prior learning to individual learners

Strategy	The RTO acknowledges the National Assessment Principles issued under the Australian Recognition Framework and is committed to validity, reliability, flexibility and fairness in assessment processes for the training products that it delivers to its clients. The RTO aims to provide clients and training/assessment staff with an assessment system that is as fair and equitable as possible. Assessments are competency based and are designed to determine whether the student can demonstrate the targeted competencies. Students who are unable to demonstrate competency at any given time, or who successfully appeal assessment results may be reassessed at an appropriate later date, (reassessment may attract an additional fee). Assessments are set to meet the assessment criteria of the training product or accredited course on which the program is based. Assessment may be undertaken on or off the job. If conducted in the workplace, suitable workplace assessors and assessment procedures are to be used. All assessment materials must be appropriate to the client's needs and program delivery methods.

Policy and Procedure/s

Assessment (T)

Student Assessment Guide

The Student Assessment Guide provides the student with a guide to the assessment tasks required to be completed in order to demonstrate competence.

The guide includes an outline of the types of assessments and the expectations to achieve competence. A Student Assessment Guide is to be provided with each Assessment Task.

Assessors must provide a copy of the Assessment Guide to all students prior to commencement of assessment in order to meet the principles of assessment.

Trainers Assessment Guide

The Trainers Assessment Guide provides the Trainer with instructions on how to conduct assessments, with a guide for the typical answers for each assessment activity. The assessment guide should provide clear instructions so that consistency of assessment is maintained throughout the RTO. A Trainers Assessment Guide is to be provided with each Assessment Task.

In order to conduct quality assessments, the RTO has developed an assessment guide to meet the Rules of Evidence and Principles of Assessment, by providing clear informative instructions to the Assessor on the structure and methods of assessment.

Assessment Cover Sheet (S)

The Assessment Cover Sheet is to be provided to the student to complete and attach to their completed Assessment Tasks prior to submission to their Assessor. The cover sheet provides a mechanism for the student to sign a declaration that the work submitted is “all their own work” and that they have kept a copy of their assessment task for their reference. The cover sheet also provides a mechanism for the assessor to provide feedback to the student as well as their result for work completed. A copy of the Assessment Cover Sheet is provided on the back of the Student Handbook.

Contextualisation

Assessment tools that have been purchased from a publisher should be contextualised to meet the target client group of the RTO, i.e. language and literacy skills, specific industry requirements, current experience of target group, etc.

Contextualisation can include:

- Adding the organisational logo and details
- Adjusting the wording to the target group
- Adding or refining assessment tasks to delivery method

Training Product Requirements (T)

Assessment tools are developed or purchased for each course that maximises assessment opportunities and meets the specific needs of the industry. All assessors will be provided access to the relevant Training Product.

Assessments are to be developed in consultation with industry to ensure that it meets the requirements of the workplace.

Purchased assessment tools should be contextualised to suit particular methods, learner profiles, enterprise equipment requirements to meet the needs of the RTO’s Target Audience.

Sub-contractors may, on occasion, be contracted to develop assessment tools, which are to be validated by a minimum of two assessors.

Assessment Mapping Tools

In order to best identify how an assessment tool addresses the requirements of the UOC a mapping tool should be in place for each assessment tool. This mapping tool should identify the assessment tasks against each performance Criteria and Assessment Criteria of each UOC.

Delivery and Assessment Plans (T)

The **Delivery and Assessment Plan (DAP)** outlines how the RTO plans to deliver and assess and should be developed for each full qualification or skill set. The Delivery and Assessment Plan includes:

- Delivery – An outline of how each unit will be delivered, including the resources required to deliver that unit and any instructions to the trainer on how to set up the training
- Assessment – A list of all the assessments for each UOC, including proposed due dates for each assessment task.

The DAP should be distributed to each Trainer/Assessor responsible for the delivery of the course. Trainers/Assessors are responsible for following the DAP and suggesting any improvements to Senior Management through an Opportunity for Improvement Form.

The DAP can also be distributed to students, providing them with a plan for their training and assessment.

DAP's can be customised for specific employer clients to meet the needs of the employer; this should be done in consultation with the employer. Customisation can include changes to:

- Delivery methods
- Delivery sites
- Assessment methods

Session Plan

The Session Plan is to be used for single units or short courses (ie one day courses). The session plan template is not as comprehensive as the DAP, as it is more focussed on short courses and the plan for the day. The plan should include details such as:

- Activities to be undertaken
- Resources Required
- Reference to textbooks and other readings
- Assessment Tasks
- Relevant Unit of Competencies
- Excursions
- Goals of the session

The Session Plan should be developed by the trainer prior to commencement of training and should be reviewed at least once per year or when there is a change in the Training Product, text book or assessment tools. Once developed, the Session Plan should be submitted to the RTO Manager for approval, once approved the trainer can implement the Session Plan.

Principles of Assessment and the Rules of Evidence (T&S)

Assessors are responsible for ensuring that all assessments are conducted in accordance with the principles of assessment and the rules of evidence.

Principles of assessment are required to ensure quality outcomes. Assessments should be fair, flexible, valid and reliable as follows:

Fairness: Fairness requires consideration of the individual candidate's needs and characteristics, and any reasonable adjustments that need to be applied to take account of them. It requires clear communication between the assessor and the candidate to ensure that the candidate is fully informed about, understands, and is able to participate in, the assessment process, and agrees that the process is appropriate. It also includes an opportunity for the person being assessed to challenge the result of the assessment and to be reassessed if necessary.

Flexible: To be flexible, assessment should reflect the candidate's needs; provide for recognition of competencies no matter how, where or when they have been acquired; draw on a range of methods appropriate to the context, competency and the candidate; and, support continuous competency development.

Validity: There are five major types of validity: face, content, criterion (i.e. predictive and concurrent), construct and consequential. In general, validity is concerned with the appropriateness of the inferences, use and consequences that result from the assessment. In simple terms, it is concerned with the extent to which an assessment decision about a candidate (e.g. competent/not yet competent, a grade and/or a mark), based on the evidence of performance by the candidate, is justified. It requires determining conditions that weaken the truthfulness of the decision, exploring alternative explanations for good or poor performance, and feeding them back into the assessment process to reduce errors when making inferences about competence.

Unlike reliability, validity is not simply a property of the assessment tool. As such, an assessment tool designed for a particular purpose and target group may not necessarily lead to valid interpretations of performance and assessment decisions if the tool was used for a different purpose and/or target group

Reliability: There are five types of reliability: internal consistency; parallel forms; split-half; inter-rater; and, intra-rater. In general, reliability is an estimate of how accurate or precise the task is as a measurement instrument. Reliability is concerned with how much error is included in the evidence.

Following is a guide to what should be in the assessment tools to meet the "Principles of Assessment":

Elements addressed (to levels as defined in performance criteria)
Knowledge evidence/required knowledge addressed
Performance evidence/required skills addressed
Assessment conditions/critical aspects of evidence addressed
Context and consistency of assessment addressed to appropriate AQF level
Assessment of knowledge and skills is integrated with their practical application
Assessment uses a range of assessment methods
Criteria defining acceptable performance are outlined for all instruments
Clear information about assessment requirements is provided (for assessors and students)
Allows for reasonable adjustment and provides for objective feedback
Considers dimensions of competency and transferability

Rules of evidence are closely related to the principles of assessment and provide guidance on the collection of evidence to ensure that it is valid, sufficient, authentic and current as follows:

Validity: Assessment evidence considered has direct relevant to the unit or module's specifications.

Sufficiency: Sufficiency relates to the quality and quantity of evidence assessed. It requires collection of enough appropriate evidence to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly. Supplementary sources of evidence may be necessary. The specific evidence requirements of each unit of competency provide advice on sufficiency.

Authenticity: To accept evidence as authentic, an assessor must be assured that the evidence presented for assessment is the candidate's own work.

Currency: Currency relates to the age of the evidence presented by candidates to demonstrate that they are still competent. Competency requires demonstration of current performance, so the evidence must be from either the present or the very recent past.

Following is a guide to what should be in the assessment tools to meet the "Rules of Evidence":

Validity	Assessment evidence considered has direct relevance to the unit or module's specifications
Sufficiency	Sufficient assessment evidence is considered to substantiate a competency judgement
Authenticity	Assessment evidence gathered is the learner's own work
Currency	Competency judgements include consideration of evidence from the present or the very recent past

In order to ensure that assessment activities/tasks meet the Principles of Assessment and the Rules of Evidence requirements, which includes meeting workplace requirements and to ensure the reliability and flexibility of assessment, all assessment activities/tasks must be validated. Please refer to the policy and process for **Assessment Validation** below for more details on how to validate.

Cheating and Plagiarism (T&S)

IQY Technical College will not condone cheating or plagiarism in any form by students of the RTO and will ensure that these standards are upheld. Trainers must be diligent in reducing potential opportunities for cheating and plagiarism to occur by adhering to our policy on Cheating and Plagiarism.

Definition of Cheating

Cheating is defined as obtaining or attempting to obtain, or aiding another to obtain credit for work, or any improvement in evaluation of performance, by any dishonest or deceptive means. Cheating includes, but is not limited to: lying; copying from another's test or examination; discussion at any time of answers or questions on an examination or test, unless such discussion is specifically authorized by the instructor; taking or receiving copies of an exam without the permission of the instructor; using or displaying notes, "cheat sheets," or other information devices inappropriate to the prescribed test conditions; allowing someone other than the officially enrolled student to represent same.

Definition of Plagiarism

Plagiarism is defined as the act of using the ideas or work of another person or persons as if they were one's own without giving proper credit to the source. Such an act is not plagiarism if it is ascertained that the ideas were arrived through independent reasoning or logic or where the thought or idea is common knowledge. Acknowledgement of an original author or source must be made through appropriate references; i.e. quotation marks, footnotes, or commentary. Examples of plagiarism include, but are not limited to the following: the submission of a work, eithe r in part or in whole completed by another; failure to give credit for ideas, statements, facts or conclusions which rightfully belong to another; failure to use quotation marks (or other means of setting apart, such as the use of indentation or a different font size) when quoting directly from another, whether it be a paragraph, a sentence, or even a part thereof; close and lengthy paraphrasing of another's writing without credit or originality; use of another's project or programs or part thereof without giving credit.

It is cheating to:

- use notes or other resources without permission during formal testing
- hand in someone else's work as your own (with or without that person's permission)
- hand in a completely duplicated assignment
- take work without the author's knowledge
- allow someone else to hand up your work as their own
- have several people write one computer program or exercise and hand up multiple copies, all represented (implicitly or explicitly) as individual work
- use any part of someone else's work without the proper acknowledgement
- steal an examination or solution from a Trainer/Assessor.

It is not cheating to:

- discuss assignments with your Trainer/Assessor or other students to understand what is being asked for
- hand in work done alone or with the help of staff
- get help to correct minor errors in spelling, grammar or syntax (sentence construction)
- discuss assignment requirements and course materials so that you can better understand the subject (this is, in fact, encouraged)
- submit one assignment from a group of students where this is explicitly permitted or required
- use other people's ideas where they are acknowledged in the appropriate way, such as referencing using footnotes, end notes or the Harvard system of referencing.

Penalties

If you are suspected of cheating, your Trainer/Assessor will investigate to establish evidence to support the suspicion.

If there is evidence to support the suspicion, your Trainer/Assessor will notify the RTO Manager and set out the concerns to you in writing, requesting a time to discuss the matter. You will have the opportunity to counter the allegations made against you.

Once you have provided your information, IQY Technical College may come to one of two decisions:

- It is a minor or unintentional offence and you will need to undergo an alternative form of assessment, such as a short oral assessment, which may involve talking about the work or questioning. The penalty in this case is that you will receive the lowest level of competency or pass for all the learning outcomes being assessed.
- It is a serious offence and you will fail the module. Repeated offences of cheating – minor or serious – will result in failure of the module plus a record on your student file, together with the reason.

You will be advised of all penalties writing.

What if I don't agree with the decision?

If you are accused of and penalised for cheating and believe that the accusation is unjust, you have the right to appeal against the charge. This appeal must be lodged in writing with the educational manager of the program within one week of the penalty being imposed.

The appeal may be lodged against:

- the process
- the decision
- the penalty.

The appeal will be investigated, and a decision will be advised to you within a week of your appeal.

If you are having difficulties with your studies, you are encouraged to seek help from your Trainer/Assessor.

Assessment Validation Plan (T)

The goal of this Assessment Validation Plan is to ensure thorough and rigorous assessment practices and results are in place, by implementing a comprehensive plan of systematic validation. Decisions about competence are made on the basis of quality evidence, sufficiency of the evidence and the relevance of the evidence collected on the assessment tools. Validation is also a way to ensure that different applications of industry performance criteria or performance benchmarks remain within acceptable limits.

This plan sets out a strategy for ongoing systematic validation of assessment practices and judgements that includes validation of each training product on the RTO's scope of registration. The plan includes:

- When assessment validation will occur (Assessment Validation Schedule) including:
  - Proposed Pre-Assessment Validation and
  - Proposed Post-Assessment Validation
- Which training products will be the focus of the validation (Assessment Validation Schedule)
- Who will lead and participate in validation activities (Assessment Validation Meeting) and
- How the outcomes of these activities will be documented and acted upon (Validation Forms and Opportunity for Improvement Forms)

Assessment Validation Schedule (1.9 -1.10)

The purpose of the Assessment Validation Schedule is to ensure that all assessment tools are validated over a 5-year period, with 50% of the tools to be validated over the first 3 years. All training products are placed into the schedule to identify when they should be validated over a 5-year period. Training products are validated according to a risk rating. Higher risk units, those units that have a higher risk of safety for students, are prioritised as high priority for validation and should be validated before low risk units.

The schedule includes a risk rating for each unit to identify whether a unit is a high, medium or low risk to the student. Units identified as a high risk, is to be validated before the low risk units and should be validated within the first 3-year period. Following is an outline of the risk ratings.

Low – Minimal to low risk to students. Unit is mainly theory based and does not include skills required for working with the public (i.e. units from Business qualifications such as customer service)

Medium – More technical units that require the use of low risk equipment that do not have a high-risk impact on the public (i.e. computer skills or office equipment)

High – High risk units include units that teach the student a service-based skill that will impact the public.

The Assessment Validation Schedule is to be reviewed as follows:

- Minimum of once per year
- Updated when a new Training Product is added or removed from the scope of registration
- Prior to a regulatory audit
- When a Training and Assessment Strategy is updated.

Types of Assessment Validation

There are two types of Assessment Validation, they include:

- **Pre-Assessment Validation** – This is the process of validating assessment tools **prior to using them with students**, normally conducted when introducing a new assessment tool to ensure that they meet the Training Package requirements, Rules of Evidence and Principles of Assessment
- **Post-Assessment Validation** – This is the process of validating assessment tools **following the assessment tools being utilised**, whereby the completed assessment tools are validated against the Training Package requirements, Rules of Evidence and Principles of Assessment, as well as validating the consistency of answers or moderation of the tools between different students and assessors

For more information, the process of Assessment Validation, please refer to the procedure "How to Validate" below.

Assessment Validation Meeting

The policy of the RTO is to hold a minimum of Two (2) Assessment Validation Meetings per year, where a minimum of 9% of the training products from the RTO's scope is validated at each meeting, with a minimum of 50% of the RTO's training products being validated over a 3-year period.

The aim of validation meetings is to:

- discuss the assessment instruments and the assessment decisions being made
- scrutinise the evidence that has been presented by students
- check that there has been consistent interpretation of the assessments in both the design of the instrument and the judgments made
- that the answers to the questions are aligned to the model answers in the Assessors Guide

Tools required for the Assessment Validation Meeting

At the meeting the following is to be reviewed from each training product:

- Assessment tools including written, oral, demonstration, third party, RPL Kits, work placement tools, etc
- Training product outline from training.gov.au or the accredited course owner (if applicable)
- Assessment processes, including instructions to the student and assessor
- Assessment Mapping Tool, normally provided by the publisher, or developed by the RTO

How to Validate

The following steps should be taken at the Assessment Validation Meeting.

- A meeting date should be set up with Trainers and Assessors
- Select the qualifications to be validated as per the validation schedule
- The following tools should be collected prior to the meeting and be ready for the meeting

- Printed copies of the units of competencies from the training product for all units to be reviewed
- Printed copies of the assessment tools for each unit of competency to be reviewed
- Printed copy of this Assessment Validation Report
- Copy of the AQF Handbook
- If available, a copy of the Assessment Mapping tool for each qualification. This is normally supplied by the publisher or developer

At the meeting, outline what is the purpose of the meeting and the units that will be validated

Validate as follows:

- Read the Performance Criteria from the Training Product
- Map each performance criteria against the questions within the assessment tool
- Identify whether there is a question that addresses the performance criteria
- Does the question enable the assessor to ascertain the student's competence against the performance criteria?
- Once you have reviewed each performance criteria, move onto the Assessment Evidence Requirements
- Does the question in the assessment tool address the Assessment Evidence Requirements? I.e. are you able to ascertain from the assessment question that it includes all the required evidence
- Once you have reviewed each assessment tool against the Training Product, move onto the Assessment Validation Report.

Answer each question in the Assessment Validation Report by addressing:

- Does the tool meet the required Rules of Evidence?
- Does the tool meet the required "Principles of Assessment"?

Now review each tool against the qualification level within the "AQF Handbook"

Once all this has been done, you can sign off the Assessment Validation Report, staple together the tool and the evidence validated

If the assessment tool validated met all the Evidence requirements i.e.:

- Performance Criteria
- Assessment Requirements
- Principles of Assessment
- Rules of Evidence
- AQF level

You can finalise the validation and review at your next Quality and Compliance Meeting.

If the assessment tool DID NOT meet the required evidence, an Opportunity for Improvement Form should be completed and identify what rectifications that should be undertaken, these could include:

- Redevelop current tools
- Contact publisher (if applicable) and advise that you found gaps in the tool and provide them with a copy of your report
- Purchase new tools from another publisher

Assessment Validation Team

Assessment Validation is to be conducted by one or more persons who are not directly involved in the particular instance of delivery of the training product being validated and who collectively hold:

- Relevant vocational competencies and current industry skills
- Current knowledge and skills in VET teaching and learning
- TAE40116 Certificate IV in Training and Assessment (or its successor) or TAESS00001 Assessor skill set (or its successor)

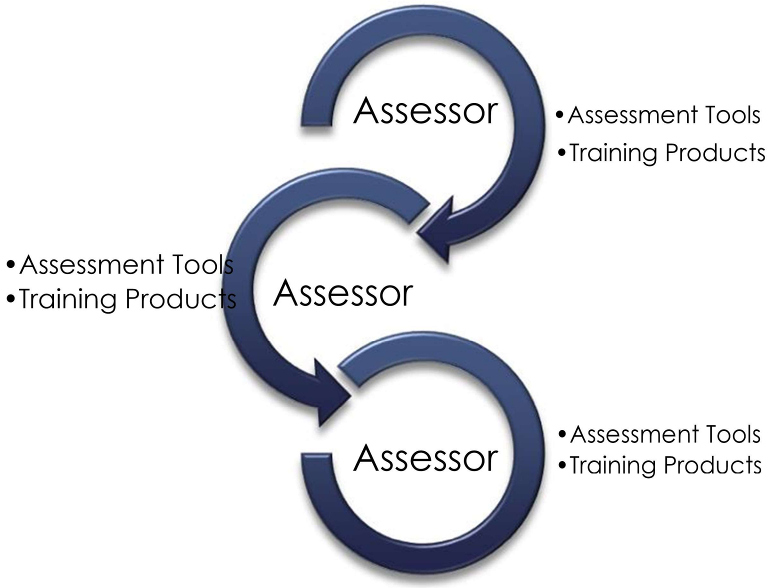
The Validation team is facilitated and led by either the Chief Executive Officer or the RTO Manager.

Final validation decisions are to be made by persons who are not directly involved with the delivery and assessment of the training product being validated.

The Assessment Validation Team may include:

- Trainers and Assessors from the RTO
- The RTO Manager or other senior management
- Industry experts
- Consultants who have expertise in Assessment Validation
- Another RTO

Following is a graph of how the validation could be conducted to ensure that assessment tools are validated by assessors that did not deliver the training and assessment:



Recognition of Prior Learning (RPL) (T&S)

All students are eligible to apply for Recognition of Prior Learning and are advised of this on the back of the Enrolment Agreement Form and on the course flyer.

Recognition of Prior Learning is granted as a result of identifying and assessing previous and current informal education and training, work experience and/or life experience and knowledge. Previous learning and the evidence supplied is measured against pre-determined performance standards contained within the Units of Competency.

To prepare for recognition of prior learning the student should indicate their decision to apply for recognition as soon as possible after the induction and orientation program. Following is the process for preparing for recognition of prior learning:

In consultation with the trainer/assessor the student should:

- Decide which units are to be recognised
- Provide an Evidence Portfolio in line with agreed evidence plan
- Undertake peer assessment or third party evidence
- Be prepared to 'show, tell and apply' skills and knowledge

Evidence for recognition of prior learning may include any of the following:

- Performance, demonstration, or skills test/assessment
- Workplace or other pertinent observation
- Oral presentation
- Portfolio, logbook, task book, projects or assignments
- Written presentation

- Interview and questions
- Simulations
- Video, photographic (endorsed) evidence
- Competency conversations (focusing on key points to look for in responses)

Students will initially be assessed against the performance criteria and critical aspects of evidence for each unit of competency within the Training Product.

RPL applicants must demonstrate their claim for competency in sufficient detail to enable the assessor to make clear judgements.

Students are required to sign an RPL Assessment Kit, which outlines the requirements of the evidence required for proof of competency. Assessors will develop an Assessment Plan to enable a portfolio to be developed.

RPL Fees (S)

Each applicant for RPL will be provided with a quote for RPL based on the following variables:

- The number of units to be recognised
- Whether observation within the Workplace is required
- The amount of evidence to be reviewed
- Whether references need to be interviewed
- Whether units have been clustered

On average RPL for each unit of competency will be $50 per hour.

Once the quote has been accepted and the invoice has been paid, the student will be issued with an RPL Kit (see more details below) and an Assessor will be assigned to conduct the assessment.

RPL Kit (S)

The RPL Kit is to be completed by students who wish to be given recognition for skills and knowledge that they may currently hold within a field or industry. The application process requires the student to provide evidence of, or demonstrate, their current ability to perform the requirements of each of the performance criteria within the unit of competency of a qualification.

Following is the process for applying for RPL using the RPL Kit:

- Student to contact the RTO and advise that they wish to apply for RPL using the RPL Kit
- RTO to supply the RPL Kit and explain the process for RPL
- RTO to allocate an Assessor to contact the student to ensure that they understand the requirements of the evidence to be supplied
- Student to submit to the Assessor all the required evidence and the completed RPL Kit
- Assessor to review the RPL Kit and determine whether the student has the required skills and knowledge against each Unit of Competency

Once the eligibility of the student has been determined by the Assessor, the kit is to be forwarded to the RTO for Certificate issue.

Work Placement (S)

There are two main types of Work Placement requirements, firstly there is the Compulsory Work Placement requirement and secondly it may be a requirement by the RTO that the student undertakes work placement as a key component of their training to assist them to gain employment upon completion or to provide a simulated workplace environment. For Compulsory Work Placements, students may be required to complete a set number of hours in order to meet the minimum requirements of a qualification according to the Training Product requirements.

Work Placement Supervisors Report

When conducting work placement, the student must have evidence of sign off from a suitably qualified supervisor within the workplace environment. This supervisor must have appropriate industry qualifications for the area in which the student is working, with a minimum of three years' experience within that or a similar role.

Assessors Responsibilities

An assessor must hold the TAE40110 Certificate IV in Training and Assessment or at the very least the TAEASS Skillset to satisfy requirements for assessing candidates in the workplace. It is expected the assessor will have industry experience in the field being assessed of at least 5 years.

An assessor will provide a fair and equitable assessment environment considering allowance for reasonable adjustment where necessary.

Student Responsibilities (S)

The RTO has a responsibility to protect members of the public (and the students themselves) from being harmed by students taking part in workplace or simulated workplace learning. If there is evidence that your skills or behaviour could present a risk to yourself or other people in the workplace, you may not be allowed to participate in a work placement, at least for a period of time.

To help you understand your responsibilities in the workplace, you will be given a code of practice, which indicates expected standards of behaviour. Your trainer will explain to you and your workplace supervisor the range of duties for which you have the skills and knowledge. You must not carry out duties other than those indicated by your trainer.

You need to take particular care if workplace clients are people who may be in vulnerable circumstances – for example, people who are frail, children, young people, people with a disability or people who are receiving a type of service which may put them in vulnerable circumstances (e.g. massage therapy or nursing care).

A Working with Children Check must be signed by a student in courses where contact will be made with children and young people. Your trainer will give you more information about this, if required.

Students who have committed a breach of discipline or who are assessed as presenting a significant risk to themselves or others during work placement may be prevented from undertaking or continuing further work placement. This may mean they will not complete the course. Your trainer can provide you with more information about this policy. If you are unsure about whether it may prevent you from completing a course you should discuss the matter with your trainer. In some circumstances students may be required to undertake a Police Records Check prior to undertaking work placement, this will be identified on the course flyer if it is a requirement.

All students should refer to their trainer if they have any questions or require any assistance with regards to their work placement.

Supervisors Responsibilities

If an employer agrees to take on a student for work placement, the employer is responsible for providing the appropriate facilities and a qualified person to support the training and supervision of the student in the workplace. Where applicable the supervisor should hold a current qualification for their role and/or skills and knowledge as deemed appropriate for their industry.

The level of supervision provided should be aimed at facilitating the successful achievement of the relevant competencies for each student. This level of supervision should be reassessed on a regular basis, by taking into account the stage of the student and the knowledge, previous experience and training the student has received in a particular area.

The Workplace Supervisor is required to provide opportunities for the student to develop their skills and knowledge and may be involved in coaching or mentoring of the student but does NOT assess the student.

The Supervisor will be required to complete a “Work Placement Supervisor’s Third Party Report” in consultation with the Assessor. The Third Party Report provides information on what the student is required to demonstrate on the job, including the required skills and knowledge for the qualification that the student is undertaking, as well as following or providing feedback on relevant policies and procedures of the workplace.

Depending on the qualification being undertaken policies and procedures may include:

- WHS Policies and Procedures
- Operation of relevant equipment used in the workplace
- Participating in workplace meetings
- Grievance procedure
- Confidentiality and Privacy
- Respecting others
- Property and resources
- Reporting procedures

The Supervisor is provided with an outline of their responsibilities within the Third Party Report, as well as the Assessor and Students responsibilities. Each “Work Placement Supervisor’s Third Party Report”, will include the relevant units that will be required to be completed in the workplace, including the responsibility of the Supervisor for monitoring the students’ competency against these units. This will be completed under the supervision of the Assessor from the RTO.

The Student is responsible for following the instructions of the supervisor, as well as demonstrate to their supervisor that they are competent in each of the tasks they are required to complete as part of their Work Placement requirements.

If a Supervisor requires assistance with their role as a Supervisor, they should contact the RTO Manager or Assessor, who can provide you with further assistance.

Supervisors Checklist

The Supervisors Checklist should be distributed by the RTO to a Supervisor in the workplace and the form be completed by the Supervisor prior to undertaking supervision of a Student in the workplace to ensure that the Supervisor understands their responsibilities.

Once completed the Supervisors Checklist is to be returned to the Assessor and placed onto the Students File.

Work Placement Supervisors Third Party Report

A third-party report can be completed by a person who has the ability to provide supplementary evidence in support of the student competence with regards to work placement.

The “Work Placement Supervisors-Third Party Report” has been designed to be easily used in the workplace by Supervisors, Students and Assessors to assess the student performance in the workplace and for recording on the job assessments or observations.

Monitoring Traineeship Supervision

The State Training Services 'guide 'supervising your apprentice or trainee' is provided at induction for trainee; this guide is used to explain to supervisors their role as a workplace supervisor and tips on coaching

Reference to the appropriate State Training body in your state can be found through the following link: **http://www.australianapprenticeships.gov.au/state-training-authorities**

Supervision Arrangements for Traineeships

An employer must provide the appropriate facilities and a qualified person/s to support the training and supervision of trainees in the workplace. Where applicable the supervisor should hold a current occupational licence and /or skills and knowledge as deemed appropriate for their industry.

The level of supervision provided should be aimed at facilitating the successful achievement of the relevant competencies for each individual. It should be reassessed on a regular basis by taking into account the stage of the trainee and the knowledge and previous experience and training the trainee has received in a particular task.

The Workplace Supervisor will provide opportunities for the trainee to develop skills and knowledge and may be involved in coaching or mentoring of the trainee but does NOT assess the trainee.

The Supervisor will be required to complete a third-party report in consultation with the Assessor. The third-party report provides information on what the trainee does on the job to demonstrate the required skills and knowledge for the qualification that the trainee is undertaking as well as following / providing feedback on relevant policies and procedures of the workplace.

Depending on the qualification being undertaken policies and procedures include:

- WHS policies and procedures
- Operation of relevant equipment used in the workplace
- Participating in workplace meetings
- Grievance procedure
- Confidentiality and Privacy
- Respecting others
- Property and resources
- Reporting procedures

Traineeship Assessment Visits

The roles and responsibilities of the student, supervisor, RTO, trainer/assessor and the Australian Apprenticeship Centre (AAC) are explained at induction of the trainee. The completion of a training plan is completed in consultation with and signed off by trainee, employer/ supervisor and RTO representative usually the trainer/assessor. The training plan is used to capture the units of competence, the number of visits, evidence to be gathered, clustering of any specific units and any required needs of the individual student such as slow reader or specific disabilities.

In the event of a school-based traineeship the parent or guardian is always included with all relevant stakeholders

At assessment visits the Assessor:

- collects and reviews any completed evidence
- observes trainee on the job or carrying out specific tasks and completes relevant documentation
- meets with both the trainee and supervisor to ensure all assessments completed accurately in line with workplace policies and procedures, discuss progress, identify any areas for improvement, whether or not extra evidence

	is required, to provide ongoing feedback and to allocate requirements for next visit. The Trainer/Assessor will either call or visit the Trainee between actual scheduled visits to monitor and provide ongoing direction and support. The Trainee or Supervisor can call or email their Trainer/Assessor if they require extra clarification or assistance in understanding what is required for their traineeship
Evidence	▪ Training and Assessment Strategies ▪ Opportunity for Improvement Forms ▪ Equipment ▪ Training and Assessment tools ▪ Learner Resources ▪ Resources Order Form ▪ Trainers Handbook ▪ Assessment Validation Report
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **September** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management ▪ Trainers & Assessors

EMPLOYING SKILLED TRAINERS AND ASSESSORS (CLAUSES 1.13 – 1.16)

1.13 In addition to the requirements specified in Clause 1.14 and Clause 1.15, the RTO's training and assessment is delivered only by persons who have:

vocational competencies at least to the level being delivered and assessed;

current industry skills directly relevant to the training and assessment being provided; and

current knowledge and skills in vocational training and learning that informs their training and assessment.

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

1.14 The RTO's training and assessment is delivered only by persons who have:

from 1 January 2016, the training and asses sment qualification specified in Item 1 or Item 2 of Schedule 1 .

.15Where a person conducts assessment only, the RTO ensures that the person has:

from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.

1.16 The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

Strategy

To have a systematic approach for engaging Trainers and Assessors who possess the required skills and experience as set out under these Standards. The RTO will do this by requesting that all trainers engaged by the RTO meet the Essential Requirements, which will be assessed against the Selection Criteria within the position description. All Trainers and Assessors will undergo a Performance Review on a yearly basis, to monitor professional development, currency within industry and performance of duties as outlined in their Position Description.

All Trainers are required to hold TAE40116 Certificate IV in Training and Assessment, or has demonstrated equivalent competencies (TAE40110 and TAELLN411 and TAEASS502) or a Diploma or higher level qualification in adult education.

Policy and Procedure/s

Trainers Qualifications and Experience (T)

Training and assessment are delivered by trainers and assessors who meet the minimum qualification and professional development requirements as set out below, as per clause 1.13

have the necessary training and assessment competencies as determined by the National Quality Council or its successors

Demonstrate that they have maintained currency in qualifications in training and assessment:

TAE40116 Certificate IV in Training and Assessment or equivalent or a diploma or higher level qualification in adult education and **have the relevant vocational competencies at least to the level being delivered and assessed**
Diploma or Higher Education in Adult Education

Demonstrate current knowledge and skills in assessing against the Training Product in a range of contexts. This may be demonstrated through at least two of the following; whereby the bolded requirements are the two preferred:

Hold a current vocational qualification at least to the level being delivered and assessed
Familiarity with the units of competency in the Training Product to be used by the learner as a basis of assessment

- Recent planning, conduct and review of assessment and/or workplace training activities in a workplace context
- Participation in moderation or validation processes
- Attendance at professional development activities focused on assessment and/or workplace training.

can demonstrate current industry skills directly relevant to the training/assessment being provided

Demonstrate current knowledge, experience and qualifications of the industry, industry practices, and the job or role against which performance is being assessed, this may be demonstrated through the following:

- Have current workplace experience, within the last two years
- Vocational Development
- Attendance at professional development or training and education activities focusing on good practice in the relevant industry competencies
- Participation in professional or industry networks.

continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

Demonstrate the necessary knowledge and skills required to conduct training and assessment, in line with the rules of evidence and principles of assessment. This may be demonstrated through evidence of one or more of the following:

- Attendance in professional development and/or training activities focused on effective communication in assessment and/or workplace training contexts
- Knowledge of language, literacy and numeracy issues in the context of assessment and workplace training
- Attending seminars/webinars in the VET sector
- Recent assessment and/or workplace training activities
- Participation in VET Professional Networks
- Observe others deliver training and assessment
- Delivered Courses with a head assessor

Assessors Conducting Assessment Only

Where an assessor conducts assessment only, the assessor must meet at least one of the following six requirements:

- TAE40116 Certificate IV in Training and Assessment or its equivalent or its successor
- Diploma or higher qualification in adult education
- TAESS00001 Assessor skill set or its successor

Each assessor (the conducts assessment only) must meet all the following requirements:

- Vocational competencies at least to the level being delivered
- Current relevant industry skills
- Current vocational training and learning knowledge and skills

Trainer and Assessor Responsibilities (T)

The Trainer and Assessor is responsible for ensuring that they comply with the VET Quality Framework, with a particular focus on the following:

Assessment including Recognition of Prior Learning (RPL):

- meets the requirements of the relevant Training Product or VET accredited course;
- is conducted in accordance with the principles of assessment and the rules of evidence; and

meets workplace and, where relevant, regulatory requirements; and

is systematically validated.

The Trainer, in line with the requirements stated in 1.7 below, is responsible for ensuring that they establish the needs of their clients on behalf of the RTO during the delivery of training and assessment to allow for reasonable adjustment.

1.6 Employers and other parties who contribute to each learner's tra ining and assessment are engaged in the development, delivery and monitoring of training and assessment.

The Trainer is responsible for reporting to the RTO, as required, on the delivery of training and/or assessment services

2.4 The RTO monitors training and/or assessment quality.

8.5 The trainer/assessor must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to the RTO and its scope of registration.

Recruitment Process

The purpose of this process is to recruit and engage trainers that have the necessary training and assessment competencies and relevant vocational competencies to the level of the qualification being delivered and/or assessed. The potential Trainer/Assessor should demonstrate current industry skills directly related to the training/assessment being undertaken and be continually developing their VET knowledge and skills as well as maintaining industry currency and trainer/assessor competence.

Trainers and assessors are required to supply evidence of their suitability by providing certified copies of certificates for any formalised training or professional development they have achieved as well as provide referees from previous/current employers or organisations that have engaged their services, Resumes/ CV's, evidence of attendance to seminars or conferences or subscriptions to relevant industry newsletters, forums or webinars.
Trainers/Assessors need to be able to satisfy the following:

Vocational competencies at least to the level being delivered and assessed

Current industry skills directly relevant to the training and assessment being provided

current knowledge and skills in vocational training and learning that informs their training and assessment

TAE40116 Certificate IV in Training and Assessment, or has demonstrated equivalent competencies (TAE40110 and TAELLN411 and TAEASS502) or its successor or Diploma or higher qualifications in Adult Education

The next step is to obtain certified copies (signed by a Justice of the Peace), of the trainer's certificates, to support their Staff Matrix and a copy of their Resume or CV. Certificates can be verified by contacting the issuing RTO and asking them to confirm the issuance. As extra assurance, it would be recommended that you look up the issuing RTO on training.gov.au and check that they have the qualification on their scope of registration. Certificates must be current and match the details listed on TGA and formatted in line with the AQF Qualifications Issuance Policy and Schedule 5 of the Standards. (A fact sheet on Sample forms of AQF certification documentation, can be accessed through the ASQA website.) If trainers do not hold the current qualification, they will need to provide evidence of vocational and training currency against each unit of competency they will be delivering.

Further evidence of currency could be reference letters from employers, of which you could easily contact to verify their role responsibilities. Role responsibilities should be relevant to their vocational and training experience, and evidence of current professional development i.e. subscriptions to relevant industry bodies, attendance to seminars or conferences, recognised or non-recognised training, current licenses, police clearances, working with children checks or memberships.

The more evidence you obtain, the more confident you will be that you are able to deliver high standards of training and ensure quality outcomes for students.

Following is the process to be followed for engaging new trainers: (relevant documents are in bold below)

Identify the need to recruit a trainer and allocate appropriate Position Description (Please see Trainer and Assessor Position Description)

Place an advertisement, on “Seek” or through the newspaper, that includes the key performance criteria from the position description allocated

Advertisement Request Form

Receive applications and address suitability against key performance criteria for each applicant and shortlist.

Applicant Suitability Checklist

Make contact with shortlisted applicants, advise they have progressed in the selection process and would like to organise a time for them to attend an interview.

Email successful candidates an application form to be completed and returned to the RTO

Trainer Application Form

Carry out interview using the trainer and assessor interview questions. This may be a one on one interviewer or a panel of interviewers.

Interview Questions - Trainer

Review the interviewed applicants and select those who are most suitable to progress to the next stage of selection process.

Phone applicant to advise that they have progressed to the next stage of the selection process and that they are to complete a staff matrix for each qualification they will be engaged to deliver and assess and supply certified copies of their certificates.

Staff Matrix and certificates

Complete a Working with Children Check

Review each completed staff matrix, verify credentials and select the most suitable applicant.

Carry out two (2) reference checks on the applicant and complete the Recruitment Checklist.

If satisfied with reference checks, make contact with the applicant to advise that they have been successful in the recruitment process and that you would like to offer them the position.

If the applicant accepts the position, send via email, a Letter of Offer and Contract of Employment.

Offer of Employment Letter

Contract of Employment Template

On receipt of the signed contract, schedule an induction with the successful applicant

Notify all staff of new employee commencing, their position and commencement date.

On the day of the induction have an induction schedule prepared that will outline what will be covered and the applicants partially completed recruitment checklist

Conduct induction using the Staff Induction PowerPoint and complete induction checklist.

Staff Induction Presentation

Complete Induction Checklist

Take the successful applicant on a tour of the premises (if applicable) and introduce to other staff members

Complete employment administration including Tax File Number declaration (if applicable), Staff Details Form, Superannuation Choice Form. At this point provide the applicant with a copy of the signed Employment Contract and Position Description for their records.

Begin a detailed review of the Trainers Handbook, relevant Forms and training/assessment tools.

Issue the applicant with the required resources and equipment to undertake their duties.

Review the **Position Description** and discuss the expectations of the position.

Develop a **Professional Development Plan** and **Schedule** for the trainer, identifying PD that the trainer could undertake in the next 12 months

Complete the Employment Checklist on the **Recruitment Checklist**

Create a trainer file – refer to the Records Management Process for setting up Staff Files (Refers to Records Management- Staff Files Policy on page 104

Advertisement Request Form

The purpose of the form is to assist in preparing to place an advertisement on Seek or in a newspaper for a position vacant, it captures relevant information to target the most suitable applicants. A copy of the draft advertisement should be attached to the form for approval by the CEO.

Applicant Suitability Checklist

This form is utilised when reviewing an application for a position vacant. The form allows the RTO to record if the applicant has met/addressed the selection criteria of the position and allows the RTO to make an informed decision on the applicant's suitability based on their application and interview.

Interview Questions – Trainer

There are two interview question forms, one for Trainers and the other for Administration staff, each has questions specifically for the recruitment of staff for training and administration. This form is used to assist with the interview process it provides questions suitable to the position to capture information about the applicant and to assist in making an informed decision in the recruitment process.

Trainer Induction Process

Once you have engaged your trainer, you will need to conduct an induction utilizing the Staff Induction Power point presentation and issue each trainer with a Trainers Handbook. The Trainers handbook outlines the trainer's role and responsibilities in relation to the delivery of training, organisational compliance and adherence to legislative and regulatory requirements whilst engaged by your organisation. Trainers working with person under the age of 18 need to adhere to Child Protection Regulations 2013, including obtaining a Working with Children check clearance.

Records Management – Staff Files

In order to ensure that the employee files are maintained in a systematic and orderly manner, all files are to be set up as follows:

All qualifications are to have the originals sighted, and a copy signed as "Original Sighted" or "Certified as true and correct copy" including date sighted and signed by an RTO employee. The copies are to be placed into the Trainer/Assessor's staff file.

Ensure the Staff Matrix is completed by the Trainer and verified for authenticity, then placed onto file. Verification includes checking that qualifications are valid by either calling the RTO to verify completion or checking http://www.usi.gov.au. Verify employment by calling referees and previous employers to confirm that the trainer was employed by the employer and that the trainer has the experience outlined in the resume.

Senior Management is to confirm and validate the authenticity of all qualifications and stated industry experience and professional associations prior to engaging a trainer and assessor, through undertaking a reference checks for each candidate and completing the Applicant suitability checklist.

A Professional Development plan is to be completed for the trainer and the RTO to encourage professional growth in relation to their position and to maintain currency of skills to industry standards.

Senior Management conducts annual Performance Reviews by reviewing professional development schedules for all Administration, Training and Assessing staff.

All newly engaged trainers and assessors will complete an induction program and be provided with a Trainers Handbook to ensure that The RTO's Policies and Procedures are understood.

The following Induction forms are to be completed at induction and placed onto the Staff members file:

Recruitment Checklist (which includes a checklist of documents that should be included on the staff file)

Contract of Employment

Position Description (signed)

○ Staff File Form

○ Current and up to date Resume ○ Staff Matrix

○ Training and VET qualifications (certified copies of Certificates on file) ○ Professional Development (certified copies of certificates of attendance to workshops and conferences attended)

○ Working with Children Check (if delivering training and assessment services to students under the age of 18)

○ Police Record Check (if applicable to industry requirements) ○ Superannuation Form (Permanent staff only)

○ Tax File Number Declaration (Permanent staff only)

Performance Review (T)

The Performance Review is a tool to identify how staff are achieving the key performance criteria, as outlined in their Position Description. The Performance Review objectives will be agreed to and signed by the staff member, appraiser and Senior Management to be reviewed at the next Performance Review meeting.

The procedure for Performance Reviews is as follows:

To be undertaken two weeks prior to the end of a new employees' probationary period

After successful completion of the probationary period a second performance review interview may be held within six months.

Annual performance reviews will be held subject to satisfactory performance.

Performance reviews can be held more frequently if there are concerns related to performance.

Reviews will be undertaken by senior management (in a more senior position to the person being reviewed).

Staff will be given two weeks' notice that their performance will be reviewed.

Senior Management will provide a Performance Review form to the staff member, so that they are given an opportunity to comment on performance, two weeks prior to the review, these need to be returned to the reviewer within one week. The Reviewer will use this form during the Performance Review meeting.

Objectives that the staff monitor intends to get done for the next period will be set and agreed to by both Senior Management and the staff member. These will be signed by both parties.

Objectives will be signed by Senior Management for final approval.

If the employee being appraised does not agree with the outcomes of the Review he or she may enter into the Complaints Procedure (see SRTO 6 for procedure on how to submit a complaint).

Professional Development (T)

It is the goal of the RTO to have all training staff qualified in Training and Assessment, in order to achieve this goal all training staff must endeavour to complete the required training and assessment qualification.

It is a requirement of all Trainers and Assessors to undertake Professional Development that relates to both the area of training/assessment and industry currency, it is the trainers' responsibility to ensure that their skills and knowledge are current.

All Training and Assessing staff are required to:

- Attain the full trainers and assessors' qualification, TAE40116 Certificate IV in Training and Assessment.
- Attend induction training with the RTO
- Attend at least two professional development activities each year, either with the RTO or through other VET and Industry bodies
- Attend an assessment validation meeting at least once per year
- Trainers/assessors are required to document and submit a record of their currency and professional development activities at least annually, this can be provided through an updated Staff Matrix and by providing certified copies of certificates and or letters of support.

Every 12 months Trainers/assessors are required to submit an updated Staff Matrix, this should include details and supporting documentation of all activities to demonstrate that relevant industry skills and knowledge and professional development completed. Failure to submit or comply with currency requirements will result in cancellation of their employment contract.

Professional Development Plan

A Professional Development Plan is completed for each Trainer/Assessor upon commencement of their employment as well as conducted annually at the Trainer/Assessors Performance Review. The plan is to include proposed Professional Development activities that should be undertaken by the staff member to maintain industry and VET currency. The Professional Development Plan should include networking opportunities, workshops, conferences, accredited and non -accredited training that will provide evidence of the Trainer/Assessor's currency within the industry.

Professional Development Schedule

The Professional Development Schedule is used for recording Professional Development that has been undertaken by a staff member, this should include any training and/or workshops that the staff member has attended in both the VET and vocational sector. The Professional Development Schedule should be updated at least annually, but preferably is updated following the staff member submitting evidence of attending the Professional Development.

In order to verify that the staff member has completed the professional development, the staff member and CEO are required to sign the Professional Development Schedule following each PD activity being completed.

The original copy of the Professional Development Schedule is to be placed onto the staff members file.

Evidence

- Position Descriptions
- Recruitment Checklist
- Applicant Suitability checklist
- Professional Development Plan
- Professional Development Schedule
- Trainer/Assessor File
- Trainer contract
- Staff Matrix
- Performance Review Form
- Trainers Handbook

Continuous Improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **April** on an annual basis.

Responsibility

- Chief Executive Officer
- Senior Management
- Trainers and Assessors

PROVIDING SUPERVISION OF TRAINERS WHERE NEEDED (CLAUSES 1.17 – 1.20)

1.17 Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer or assessor and does not determine assessment outcomes.

1.18 The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:

- holds the skill set defined in Item 4 of Schedule 1
- has vocational competencies at least to the level being delivered and assessed; and
- has current industry skills directly relevant to the training and assessment being provided.

1.19 Where the RTO engages an individual under Clause 1. 17, it ensures that the training and assessment complies with Standard 1.

1.20 Without limiting Clauses 1. 17 - 1 .19, the RTO must:

- determine and put in place:
  - the level of supervision required; and
  - any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and
- ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Strategy	To ensure that all training staff, who do not currently hold the required qualifications to train and assess a training product, works under the supervision of a qualified trainer/assessor. Person's that may undertake training under the supervision of a suitably qualified trainer may include: Partners of the RTO Trainers under supervision within an RTO Supervisors within a workplace.
Policy and Procedure/s	**Trainers and Assessors under Supervision** **A - Supervision is provided by a trainer that meets the following (as per clause 1.13 & 1.14)** hold the TAE40116 Certificate IV in Training and Assessment, or has demonstrated equivalent competencies (TAE40110 and TAELLN411 and TAEASS502), from the TAE16 Training and Education Training Package be able to demonstrate vocational competencies at least to the level being delivered and assessed; and be able to demonstrate how they are continuing to develop their VET knowledge and skills as well as maintaining their industry currency and trainer/ assessor competence. **B - Persons delivering training under the supervision of a trainer must:** work under the supervision of a trainer with the ***TAE40116 Certificate IV in Training and Assessment*** or of a person who has demonstrated equivalence of competencies (TAE40110 and TAELLN411 and TAEASS502); and

be able to demonstrate vocational competencies at least to the level being delivered and assessed as well as maintaining their industry currency.

Each trainer (that conducts training under supervision) must hold the skill set defined in Item 4 of Schedule 1:

TAESS00003 Enterprise trainer and assessor skill set or its successor

TAESS00007 Enterprise trainer – presenting skill set or its successor

TAESS00008 Enterprise trainer – mentoring skill set or its successor

Each trainer (that conducts training under supervision) must meet all of the following requirements:

has vocational competencies at least to the level being delivered and assessed; and

has current industry skills directly relevant to the training and assessment being provided.

Notes:

Evidence used to demonstrate competencies may include consideration of relevant past training, including consideration of superseded and pre -existing teaching qualifications, experience, and professional development.

Supervision is the provision of regular and ongoing guidance, direction and leadership from a person holding the ***TAE40110 Certificate IV in Training and Assessment*** The supervising person monitors and is accountable for the training delivery.

C - Assessors must:

hold the ***TAESS00001 Assessor Skill Set***

be able to demonstrate vocational competencies at least to the level being assessed; and

be able to demonstrate how they are continuing to develop their VET knowledge and skills as well as maintaining their industry currency and assessor competence.

Note:

If a person does not have all the assessment competencies as defined in (i) ,(ii) and (iii) then one or more persons with the combined expertise in (i), (ii) and (iii) may work together to conduct the assessment. People under supervision do not determine assessment outcomes.

Training and Assessment under supervision (1.17 -1.18)

All training and assessment conducted under supervision will be conducted and comply with Standard 1 – Clause 1.17: Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

Standard 1 - Clause 1.18: The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:

holds the skill set defined in Item 4 of Schedule 1

has vocational competencies at least to the level being delivered and assessed; and

has current industry skills directly relevant to the training and assessment being provided

Supervision Arrangements for Traineeships or Work Placement (S)

An employer must provide the appropriate facilities and qualified person/s to support the training and supervision of trainees in the workplace. Where applicable the supervisor should hold a current occupational licence and /or skills and knowledge as deemed appropriate for their industry.

The level of supervision provided should be aimed at facilitating the successful achievement of the relevant competencies for each individual. It should be reassessed on a regular basis by taking into account the stage of the trainee and the knowledge and previous experience and training the trainee has received in a particular task.

The Workplace Supervisor will provide opportunities for the trainee to develop skills and knowledge and may be involved in coaching or mentoring of the trainee but does NOT assess the trainee.

The Supervisor will be required to complete a third party report in consultation with the Assessor. The third party report provides information on what the trainee does on the job to demonstrate the required skills and knowledge for the qualification that the trainee is undertaking as well as following / providing feedback on relevant policies and procedures of the workplace.

Depending on the qualification being undertaken policies and procedures include:

- WHS policies and procedures
- Operation of relevant equipment used in the workplace
- Participating in workplace meetings
- Grievance procedure
- Confidentiality and Privacy
- Respecting others
- Property and resources
- Reporting procedures

Workplace Supervisors Responsibilities

The Workplace Supervisor has an important role where they are required to be a role model and coach to the student during their work placement. Workplace supervisors must have at least 3 years' vocational experience within a position at the same or higher level than the students and must either hold the relevant qualification or higher, or have equivalent experience.

Workplace Supervisors will be required to complete a Workplace Supervisors Checklist, prior to the commencement of work placement, ensuring they meet the requirements of their supervisory role.

During training they will complete a Third Party Supervisors report, ensuring students have sufficient time to practice and apply the required skills, knowledge and practical tasks associated with the training they are undertaking. Supervisors will need to consider the requirements of the training and any conditions or restrictions that may prevent the student from working towards achieving competence.

Supervisor's will be monitored by a suitably qualified trainer that meet the requirements of Clauses 1.13 and 1.14. Clauses 1.13 and 1.14. People under supervision do not determine assessment outcomes.

Workplace supervisors are required to report to the RTO's t rainers and submit all support documentation when requested. Successful achievement of competence will be determined through assessment activities and information supplied by the workplace supervisor.

Evidence	▪ Trainers Files ▪ Trainers Handbook ▪ Workplace Supervisors Checklist ▪ Third Party Supervisors report
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **April** on an annual basis.
Responsibility	▪ CEO ▪ RTO Manager ▪ Trainers and Assessors

EMPLOYING EXPERTS TO TEACH TRAINERS AND ASSESSORS (CLAUSES 1.22 – 1.24)

~~1. 21 Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment:~~

~~hold the training and assessment qualification at least to the level being delivered; or~~

~~have demonstrated equivalence of competencies .~~

~~. 22From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successo r) the RTO must ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.~~

1.23 From 1 January 2017, to deliver the training and assessment qualification sp ecified in Item 1 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment:

hold the qualification specified in It em 5 of Schedule 1; or

work under the supervision of a trainer that meets the requirement set out in (a) above.

. 24The RTO must ensure that any individual working under supervision under Clause 1. 23 b) holds the qualification specified in Item 1 of Schedule 1 and does not determine assessment outcomes .

Strategy	To deliver the training and assessment qualification specified in Item 1 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment: hold the qualification specified in Item 5 of Schedule 1; or work under the supervision of a trainer that meets the requirement set out in (a) above. The RTO must ensure that any individual working under supervision under Clause 1.23 holds the qualification specified in Item 1 of Schedule 1 and does not determine assessment outcomes. Note: from 1 January 2017, the requirements set out in Clause 1.22 continue to apply to any other AQF qualification or skill set from the Training and Education Training Package (or its successor). From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation).
Policy and Procedure/s	**TAE Trainers Qualifications (T)** As of January 2017, RTO's delivering the Certificate IV in Training and Assessment or any assessor skill set from the TAE Training Package have been required to hold a relevant credential or alternatively, they can work under the supervision of a person that holds one of the relevant credentials. The relevant credentials have been updated (in the *Standards for Registered Training Organisations (RTOs) Amendment 2017*) *to* include: TAE50111 Diploma of Vocational Education and Training (or its successor) TAE50116 Diploma of Vocational Education and Training (or its successor)

- TAE50211 Diploma of Training Design and Development (or its successor)
- TAE50216 Diploma of Training Design and Development (or its successor)
- a higher-level qualification in adult education.

The requirements do not apply to delivery of TAE units of competency within qualifications or skill sets from other training packages or within accredited courses.

IQY Technical College retains evidence of the qualifications of all trainers and assessors delivering TAE qualifications or skill sets.

IQY Technical College retains evidence that any person delivering the Certificate IV in Training and Assessment or any assessor skill set who does not hold the required diploma or higher level qualification:

- is working under the supervision of a person who does hold the required credentials
- does not determine assessment outcomes.

As with any other training product, trainers and assessors delivering TAE training products must hold current industry skills and knowledge. While the Standards do not prescribe how trainers and assessors must maintain this currency, it is the responsibility of your RTO to retain evidence showing:

- the current industry skills and knowledge of your trainers and assessors
- that their skills and knowledge directly relate to the training and/or assessment they are providing.

The industry skills and knowledge held by trainers and assessors must be consistent with:

- those identified through your industry engagement activities
- any specific requirements expressed in the TAE Training Package.

Evidence	▪ Trainer/Assessor File
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **May** on an annual basis.
Responsibility	▪ Chief Executive Officer

ENGAGING INDEPENDENT VALIDATORS TO CONDUCT THE QUALITY REVIEWS OF TRAINING AND ASSESSMENT QUALIFICATIONS (1.25)

1. 25	From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation).
Strategy	A systematic approach to independent validation of all assessment systems, tools, processes and outcomes for all AQF qualifications or assessor skill set for the Training and Education Training Product.
Policy and Procedure/s	**Independent Validation of TAE** All validation of assessment tools processes and outcomes for any AQF qualification or assessor skill set from the Training and Education Training Product (or its successor) must be independently validated, this includes if the RTO applies to deliver qualifications from the TAE Training Package. Independent validation must be conducted by one or more persons who collectively have: Current knowledge and skills in vocational teaching and learning The training and assessment qualification or assessor skill set at least to the level being validated. Validation is to be conducted as per the Policy and Procedure for Assessment Validation, but the validation must be carried out by someone who was not involved with the RTO other than conducting the validation activity.
Evidence	▪ Trainer files ▪ Assessment tools
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **June** on an annual basis.
Responsibility	▪ Chief Executive Officer

MANAGING TRANSITIONS FROM SUPERSEDED TRAINING PRODUCTS (CLAUSES 1.26 – 1.27)

.26Subject to Clause 1 .27 and unless otherwise approved by the VET Regulator, the RTO ensures that:

where a training product on its scope of registration is superseded, all learners' training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register;

where an AQF qualification is no longer current and has not been supers eded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register;

where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register; and

a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.

1.27 The requirements specified in Clause 1 . 26 (a) do not apply where a training package requires the delivery of a superseded unit of competency.

Strategy

When a Training Package is superseded by a new Training Package, a strategic plan will be put into place for the transition to the new Training Package within 12 months of its publication on the National Register.

The RTO will develop a Strategic Plan, which will incorporate the process and responsibility covering the transition to new Training Package within 12 months of publication on the National Regulator of Training Package on the RTO's scope of registration.

National Standards clarify requirements to:

deliver current training products

consider teach out and transition periods.

approve exemptions

Policy and Procedure/s

Training Product Transition (T)

All Senior Management and the RTO Manager are required to register with www.training.gov.au to receive updates when Training Products on the RTO's Scope of Registration has been updated.

When a new Training Product is rolled out, a strategy will be put into place to transition to the new product. The strategy will include:

Review and map old Training Product with the new Training Product

Review all training and assessment systems, tools and processes to be mapped across to the new Training Product

Make necessary changes to the training and assessment materials in consultation with all training and assessment staff in preparations for addition to scope

Complete an Assessment Validation Schedule with all units to be validated within a 5-year period. High-risk units are to be validated before low risk. (See policy and procedure for Assessment Validation on page 91)

Update the Training and Assessment Strategy to meet the new requirements of the Training Product as per policy and procedure under 1.1 on page 68

Complete a Change of Scope Application using ASQAnet if training product is not a direct equivalent or not eligible for a direct transition. Follow the instructions provided on ASQAnet – asqanet.asqa.gov.au

Once the new training product has been added to the Scope of Registration, courses can be scheduled with the new training product

Once added to scope, ensure that all material, assessment, marketing information and statements of attainment reflect changes with correct codes, names and titles

RTO will disseminate the updated Training and Assessment Strategy to all its relevant staff

During the 12-month transition period the CEO will review the status and progress of existing participants to determine which participants can complete their studies during the transition. Participants who cannot complete their studies within the transition period are to be transitioned to the new units

Learners who have completed are issued with certification placement within 1 year of training product being superseded.

If learners have not completed within 12 months of being superseded, learners are transferred to the replacement training product within the year of training product being superseded.

All learners will have completed and been issued a certification within two years of qualification being removed or deleted.

Learners have been issued certification within one year of skill sets, units, modules or short courses being removed or deleted.

The CEO is required to advise all current participants and employers (if relevant) about the revised units and the requirement to complete studies within the transition period or transition to the new training product

The CEO is required to ensure relevant parties are aware that the organisation cannot issue a statement of attainment after the expiry of the teach -out period, therefore a participant must complete their studies or transition within one year of training product being superseded. Relevant personnel include trainers, administration staff, contractors, participants and employers

Superseded Units imported into a training product

Where a unit of competency is superseded but the qualification requires delivery of that superseded unit, the unit can continue to be delivered as requested by the Training Product (i.e. a Certificate III in Business may contain an elective from the Hospitality Training package which has been superseded but the Certificate III qualification still refers to the superseded unit).

Evidence

- Training and Assessment Strategy
- Q&C Meeting Minutes

Continuous Improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **May** on an annual basis.

Responsibility

- Chief Executive Officer
- Senior Management
- Trainers and Assessors

Chapter 5: Completion

Only students assessed as meeting course or training package requirements are issued with certification.