TRAINING AND ASSESSMENT
POLICY AND PROCEDURE

Training and assessment
Policy and procedure

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1. Overview of the Training and assessment policy

1.1. Purpose

This policy outlines the processes and procedures employed by Allara to ensure that its training and assessment strategies and practices meet with the requirements set out in the Standards for registered Training Organisations 2015.

1.2. Definitions

Allara – Allara Investments Pty Ltd, trading as Allara learning and is inclusive of; Tactical Training Group Pty Ltd, RTO provider No: 91054 (TTG) and W G learning Pty Ltd, RTO Provider No: 91178 (WGL).

TTG - Tactical Training Group Pty Ltd, RTO provider No: 91054 (TTG)

WGL– W G learning Pty Ltd, RTO Provider No: 91178 (WGL)

Scope means, Scope of registration and consists of; the list of training package qualifications, units of competency or state accredited courses which a training organisation is registered to provide the services offered: either training and assessment, or assessment only

Transition means, where a training product has been superseded, removed or deleted from the National Register, the participant's training, assessment, and AQF certification documentation issuance must be completed or, in the case of a superseded training product, the participant is transitioned into the replacement training product.

Training package means the components of a training package endorsed by the Industry and Skills Council or its delegate in accordance with the Standards for Training Packages. The endorsed components of a training package are: units of competency; assessment requirements (for individual units of competency); qualifications; and credit arrangements. A training package also consists of a non-endorsed, quality assured companion volume/s which contains industry advice to RTOs on different aspects of implementation.

Training product means, a course, AQF qualification, accredited course, skill set or unit of competency currently or previously endorsed by the Industry and Skills Council or its delegate in accordance with the Standards for Training Packages

Recognition means, recognition of prior learning and/or recognition of current competency and is an assessment process that involves assessment of an individual's relevant prior learning (including formal, informal and non-formal learning) to determine the credit outcomes of an individual application for credit

1.3. Scope

The policy applies to all of Allara Learning's (Allara's) operations inclusive of Tactical Training Group Pty Ltd, RTO provider No: 91054 (TTG) and W G learning Pty Ltd, RTO Provider No: 91178 (WGL). It applies to all participants, stakeholders and staff involved in training and assessment and covers all aspects of the training and assessment process.

1.4. Policy

1.4.1. Allara will in accordance with the Standards for registered training organisations 2015;

    i.   develop training and assessment strategies and practices that are responsive to industry and participant needs and meet the requirements of training packages and VET accredited courses

    ii.   implement a range of strategies for industry engagement and systematically use the outcome of that industry engagement to ensure the industry relevance of:

        a.   its training and assessment strategies, practices and resources; and

        b.   the current industry skills of its trainers and assessors

    iii.   determine the support needs of individual participants and provide access to the educational and support services necessary for the individual participant to meet the requirements of the training product as specified in training packages or VET accredited courses

    iv.   Implement an assessment system that ensures that assessment (including Recognition);

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

        b.   is conducted in accordance with the Principles of Assessment and the Rules of Evidence

    v.   systematically validate the training and assessment strategies, practices and assessment tools

    vi.   ensure training and assessment is delivered only by persons who have:

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

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

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

    vii.   transition participants from superseded training products

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2. Training and assessment strategies and tools

2.1. Training and assessment strategy development

2.1.1. In developing Training and Assessment Strategies for applications to change scope, the CEO shall ensure that;

    i.   target groups and industry are consulted to identify training needs and specific competency requirements

    ii.   training and assessment materials designed and or produced by Allara or by other organisations, meet the requirements of the modules or units of competency in accredited courses, training package qualifications or units of competency

    iii.   Language Literacy and Numeracy learning adjustments for participants are within the boundaries of performance standards required in the workplace

    iv.   key Stakeholder feedback is utilised in the review of Training and Assessment Strategies

    v.   assessment Validation and judgement summaries are considered in the annual review of all Training and Assessment strategies

    vi.   strategies encompass the principles of assessment and rules of evidence

    vii.   the assessment system incorporates provisions for Recognition

    viii.   each of its training products listed on its scope is validated by a party external to the RTO at least once every five years

2.1.2. The National General Manager will implement this procedure when training packages and accredited courses are reviewed, added and/or superseded on Allara's Scope within the required timeframes of their publication release on training.gov.au, updating all relevant course material documentation as necessary.

2.1.3. The Management team will review all stakeholder feedback to ensure that all assessments are conducted with adequate staff, facilities and that resources are provided to meet participant needs within all of the training and assessment services provided by Allara.

2.2. Assessment tool development

2.2.1. In developing Training and Assessment tools for use in the training and assessment process, the CEO shall ensure that each assessment tool;

    i.   meets the requirements of the relevant Training Package or Training Product; and

    ii.   incorporates the principles of assessment and rules of evidence; and

    iii.   provides the opportunity for the participant to provide their feedback on the process or decision

    iv.   meets workplace and, where relevant, regulatory requirements; and

    v.   is reviewed by subject matter experts prior to release; and

      vi.   is systematically validated in accordance with the Assessment Validation Policy and Procedure

2.2.2. The National General Manager will implement this procedure when updating all relevant course material documentation.

3. Training and assessment procedure

3.1. Informing participants about training and assessment

3.1.1. Prior to the commencement of training and assessment in a unit of competency, participants are provided with;

    i.   Participant guide

    ii.   Assessment booklet and/or additional activities

    iii.   Training and assessment record book or equivalent form

    iv.   Information on the Recognition application and assessment process *(see Recognition Policy and Procedure)*

Note: Participants of eLearning courses and/or qualifications will be provided resources electronically

3.1.2. The Assessment tool includes information about the Training and Assessment process which informs the participant of:

    i.   Why have assessment? - The purpose of undertaking assessment

    ii.   How will you be assessed? - What methods of assessment will be used

    iii.   What is involved in the assessment process? - timelines and in depth instructions for completing the assessment

    iv.   Resources required for assessment - What materials will be needed to complete the assessment

    v.   Under what conditions must the assessment take place, and

    vi.   Options for reassessment or appeal (refer to the Complaints and Appeals Policy & Procedure)

3.2. Training commencement and delivery process

3.2.1. At commencement of training in a new unit of competency or subject the appropriate information about the new unit of competency/subject is discussed with the participant and will include information such as;

    i.   The elements of performance, performance criteria, performance evidence and knowledge evidence of the unit of competency

    ii.   Assigned workplace activities, tasks and duties that align with the unit of competency

    iii.   Assigned assessment tasks relevant to the unit of competency and the participants work role that are to be undertaken and completed

    iv.   Role of the supervisor in providing workplace training *(if applicable)*

3.2.2. Records of training must be retained by use of the Training and Assessment Record Form and must include at minimum;

i. The RTO the participant is enrolled in

ii. The participants full name

iii. The supervisors full name *(if applicable)*

iv. The Employer (if applicable)

v. The unit code and name

vi. The date training occurred

vii. Identify if the unit was introduced or continued

viii. Provide record of the participants understanding of the unit of competency after receiving training (A one or two-line description will not be accepted)

ix. Provide a summary from the assessor for how the training maps to the elements of performance, performance criteria, performance evidence and knowledge evidence of the unit of competency (A one or two-line description will not be accepted)

x. Signatures of the participant

xi. The Trainer and Assessors full name and signature

3.2.3. Training and assessment record forms are to be submitted to administration for processing on a weekly basis

Note: The participant's responses within the training and assessment record forms are to be provided in their own hand writing. If the training facilitator is scribing on behalf of the participant, the training facilitator must clearly identify this within the facilitator session summary

3.3. Assessment process

3.3.1. Prior to assessing a participant in a unit of competency the Training facilitator and assessor is to;

i. Review the participants records in the student management system

ii. Ensure a Training and assessment record form has been submitted and processed for the commencement of the unit of competency

iii. Contact the participant and their supervisor/employer *(if applicable)* to determine the readiness of the participant to undertake assessment

iv. Schedule an assessment date

v. In conducting assessment, the Training facilitator and assessor is to;

a. Review the assessment tool inclusive of;

b. Review of individual tools and tasks

c. Review of the instructions for assessor

vi. Conduct the assessment in conditions as described in the instructions contained within the assessment tool

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     vii.   Record details of all assessment undertaken providing comments as required by the assessment tool and/or its instructions

    viii.   Record details of assessment judgements

    ix.   Ensure all stakeholders sign the assessment tool summary cover sheet in agreement of the assessment judgements made inclusive of;

       a.   The participant

       b.   The supervisor/employer *(if applicable)*

       c.   The assessor

    x.   Ensure the supervisor/employer *(if applicable)* signs the participants training plan in support of the participant's competence in the unit of competency

3.3.2. After concluding the assessment, the facilitator is to provide the participant and supervisor/employer *(if applicable)* with feedback on the assessment process by way of;

    i.   Verbal / oral discussion

    ii.   Written; email, letter or feedback form

3.3.3. Assessment evidence is to be submitted to administration for processing on a weekly basis

3.4. Submission of Training and assessment materials

3.4.1. At the conclusion of each week the Training facilitator and assessor is to;

    i.   Complete a facilitator end of week report detailing;

       a.   Dates of training and assessment

       b.   Locations of where training and assessment activities were undertaken

       c.   Number of expected participants

       d.   Number of assessments completed

    ii.   Email the facilitator end of week report to administration by no later than 9am Monday of each calendar week

    iii.   Submit the hard copy of all completed training and assessment materials to administration by no later than close of business Wednesday of each calendar week inclusive of;

       a.   Training and assessment record forms

       b.   Completed assessment tools

       c.   Updated signed training plans; and

       d.   Any additional assessment evidence

3.5. Updating training and assessment records

3.5.1. State based administration departments will conduct quality assurance checks on all Training facilitator and assessor submissions on a weekly basis and will include;

    i. counting and recording on the facilitator end of week report the number of assessments received

    ii. reviewing all training and assessment materials for accuracy and compliance and must include;

        a. the correct full unit code and name and/or subject name *(as applicable)*

        b. date of assessment

        c. fully completed assessment tasks as outlined in the assessment instructions

        d. the participants full name and signature

        e. the supervisors full name and signature *(if applicable)*

        f. the assessors full name and signature

    iii. counting and recording number of assessments accepted as compliant

    iv. record details of non-compliances identified with the training and assessment materials

3.5.2. State based administration departments will record all training and assessment results in the student management system on a weekly basis inclusive of;

    i. units of competency commenced

    ii. units of competency completed

    iii. units of competency withdrawn or discontinued

3.5.3. Non-compliant training and assessment materials are returned to the training facilitator and assessor for rectification and the administrator provides;

    i. email notification to the training facilitator of the identified non-compliances

    ii. the tracking number of the postage article *(if applicable)*

    iii. due date for submission of rectifications (Assessor have 10 working days to rectify)

3.5.4. State based administration departments are to send all hard copy training and assessment materials to Allara head office via express or registered post.

3.5.5. Upon receipt of the training and assessment materials a secondary quality assurance check is conducted by the National Administration Manager prior to the materials being filed in the participant's activity file.

Note: Trainers and Assessors have access to guide materials to ensure accuracy of completed training and assessment materials. Trainers and assessors should make themselves familiar with these guides to assist them in conducting the training and assessment process and providing compliant evidence and records to administration. Guides are inclusive of; Training and assessment record form examples, Facilitator guides, Assessment tool marking guides.

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3.6. Training and assessment monitoring and participant contact

3.6.1. Participants are to be contacted by the training facilitator and assessor on a monthly basis. Contact may constitute;

    i.   Phone call, or

    ii.   Email correspondence, or

    iii.   Web conference such as skype, or

    iv.   Face to face; workshop, classroom or work place

3.6.2. Monitoring record forms are used to document participant contact and will include;

    i.   The name of the participant

    ii.   The name of the employer *(if applicable)*

    iii.   Location of the training and assessment activities and type of contact made

    iv.   Date and time of contact

    v.   Details of training and assessment that occurred during contact

    vi.   Signature of parties involved in the training and assessment session

3.6.3. Monitoring record forms are to be retained in the participants file for audit purpose

3.7. Participant progress monitoring

3.7.1. On a monthly basis, the Training Facilitator in conjunction with the Client Relations Manager is to review the participants progress against the assigned training plan by;

    i.   Generating a student progress report from the student management system (Reports/Report Builder/Report templates/002 Active trainees – Trainer Caseload), and

    ii.   Generating student overview reports from the student management system (Reports/Standard Reports/Student Overview)

3.7.2. Training Facilitator and Client Relations Manager are to review the generated reports, and;

    i.   Identify if participant progress is not consistent with the requirements of the training plan and training contract, and

    ii.   Notify stakeholders of progression issues including notification to;

        a.   Participant

        b.   Employer (if applicable)

        c.   State and/or territory regulatory body, and

    iii.   Submit cancellation and/or withdrawal form if

        a.   progression of participant is unsatisfactory

        b.   participant formally requests withdrawal
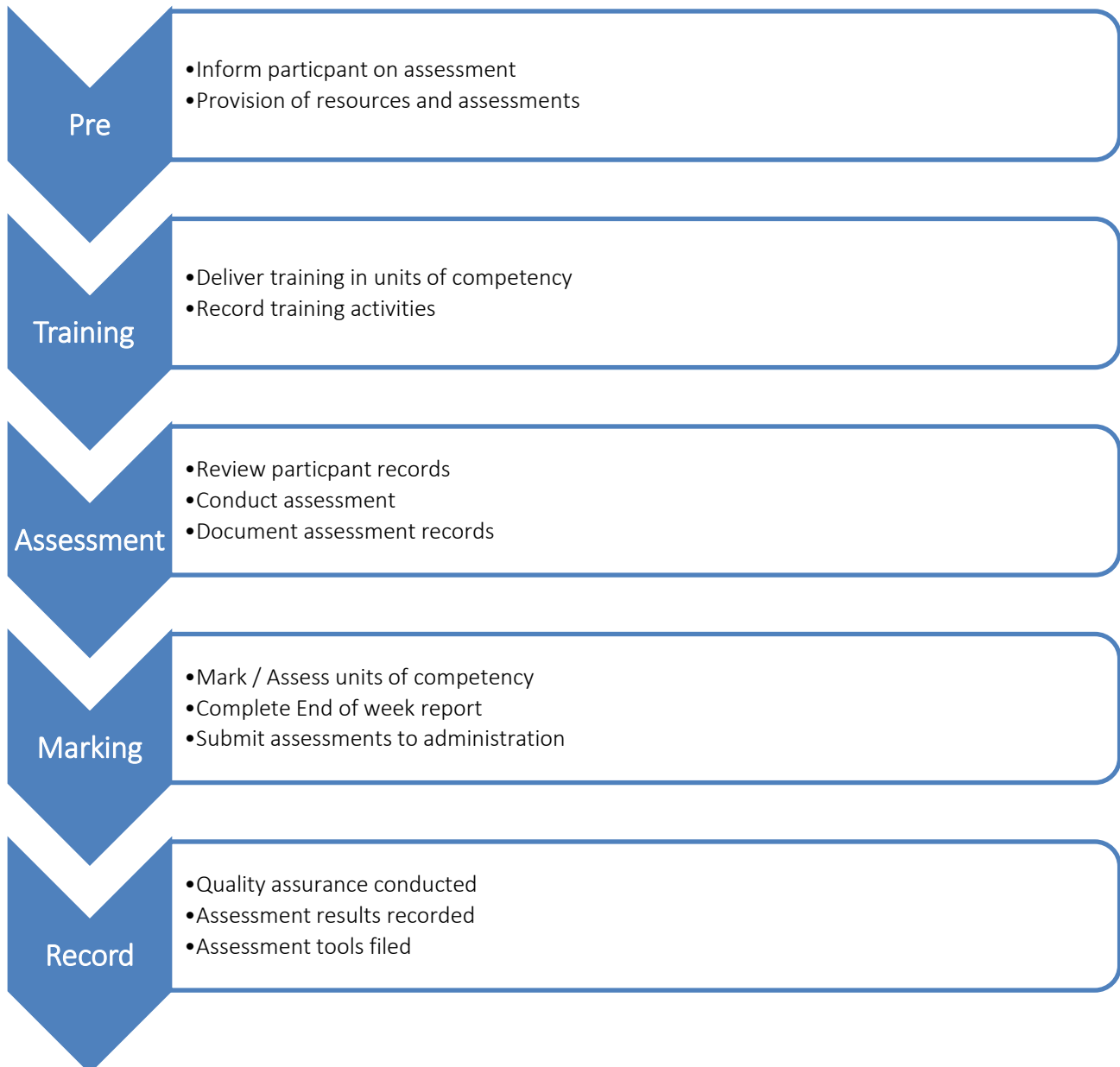
      c.   employer notifies of cessation of employment

3.7.3. The Training Facilitator and/or Client Relations Manager is to provide the Participant and Employer (if applicable) with progress reports on a monthly basis

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4. Training and Assessment process flow chart

Pre
- Inform particpant on assessment
- Provision of resources and assessments

Training
- Deliver training in units of competency
- Record training activities

Assessment
- Review particpant records
- Conduct assessment
- Document assessment records

Marking
- Mark / Assess units of competency
- Complete End of week report
- Submit assessments to administration

Record
- Quality assurance conducted
- Assessment results recorded
- Assessment tools filed

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5. Training plan review and updates

5.1. Continual maintenance

5.1.1. Training plans are continuously monitored on a monthly basis as training and assessment activities occur (see 3.1 -3.4)

5.2. Annual review

5.2.1. Training plans for registered traineeships and apprenticeships will be reviewed by the Training Facilitator, Client relations manager, participant and employer and;

 i. will be reviewed at least once within each 12-month period with each review falling into one (1) of two (2) bi-annual review months; and

 ii. have any changes approved by the National General Manger – Compliance prior to implementation

 iii. be signed by all parties in agreement of the change

5.3. Updates and execution

5.3.1. Upon approval of a change to a training plan;

 i. notification of changes to training plan are provided to administration by the National General Manger – Compliance

 ii. unit of competency selection (Electives) are edited in the participant's enrolment records

 iii. a revised training plan is generated with updated unit selections and version number allocated

 iv. the revised training plan is sent to all stakeholders for final review

 v. the training plan agreement page is signed

 vi. a fully executed copy of the training plan is provided to all stakeholders

 vii. the training facilitator submits to administration the previous training plan for filing in the participant's records

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6. Trainers and assessor qualifications and professional development

6.1. Trainer and assessor requirements

6.1.1. Allara's Trainers and Assessors are required to;

    i.   hold vocational competencies at least to the level being delivered and assessed

    ii.   have current industry skills relevant to the training and assessment being provided

    iii.   hold the training and assessment qualification prescribed in the Standards for Registered Training Organisations 2015

    iv.   undertake, record and report of all their individual Professional and Personal development activities each calendar year

    v.   maintain their staff/trainer file and provide updates on professional development and industry currency activities on a quarterly basis

    vi.   ensure relevant industry skills are maintained and current on an annual basis

    vii.   meet for validation of assessment activities at least annually or as required by management - to review, compare and evaluate their assessment approaches, process and tools and the entire assessment system

6.1.2. The role of the assessor is to;

    i.   prior to each training and/or assessment event, review assessment tools required for the assessment event

    ii.   ensure that delivery of training and assessment is conducted with adequate resources and equipment and that any shortfall is identified and remedied prior to the commencement of training and assessment sessions

    iii.   communicate with participants regarding any reasonable adjustments required to the assessment process

    iv.   determine the participant's competence

    v.   provide constructive feedback to participants

    vi.   record assessment outcomes by signing and completing the assessment record

    vii.   provide on a weekly basis completed assessment tools and records to the administration department

    viii.   advise, provide support and or further training to participants as required and provide

7. Related documents

- Training and assessment record sheets
- Monitoring record forms
- Unit of competency learner guides, assessment tools and markers guides
- State and territory specific training plans

Refer to	Standard 3	**Responsible Manager**	National General Manager
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