TRAINING AND ASSESSMENT POLICY AND PROCEDURE

Version 6 November 2017

Allara LEARNING

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Transition means, where a training product has been superseded, removed or deleted from the National Register, the participant's training, assessment, and AQF certification documentation issuance must be completed or, in the case of a superseded training product, the participant is transitioned into the replacement training product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

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

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

    i. its TAS, practices and resources; and

    ii. the current industry skills of its trainers and assessors

c. 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 in accordance with *Allara's Access, Equity and Enrolment Policy and Procedure*

d. Implement an assessment system that ensures that assessment (including Recognition):

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

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

e. systematically validate the TAS, practices and assessment tools in accordance with *Allara's Validation Policy and Procedure*

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

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

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

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

g. transition participants from superseded training products in accordance with *Allara's Transition Policy and Procedure*

2. Training and Assessment Strategies (TAS) and tools

2.1. Training and Assessment Strategies (TAS) development and review

2.1.1. In developing TAS for applications to change scope, and periodic review of existing strategies, the CEO shall ensure the procedures below (2.1.2 and 2.1.3) are performed by the General Manager of Education and State Managers to ensure that:

a. target groups, clients and industry are consulted to identify training needs and specific competency requirements

b. 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

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

d. key industry stakeholder feedback obtained from annual consultations by State Managers with clients and industry experts is utilised in the annual review of TAS

e. Allara's assessment system incorporates provisions for Recognition and encompasses the principles of assessment and rules of evidence

f. each of Allara's training products listed on Allara's scope and Allara's assessment tool and judgement summaries are validated by a party external to the RTO at least once every five years in accordance with *Allara's Validation Policy and Procedure*

2.1.2. The General Manager of Education will implement the TAS development procedure (Refer 2.3 below) when training packages and accredited courses are reviewed, added to and/or superseded on Allara's Scope or when a new training program and or new cohort of students are introduced. This will be undertaken within the required timeframes and will include the update of all relevant course material documentation as necessary.

2.1.3. The State Managers will consult with all of their clients and record all stakeholder feedback, the consultations will be used to ensure that all training and assessments are conducted with adequate staff, facilities and that resources are provided to meet employer (client) and student needs within all of the training and assessment services provided by Allara. Consultations will be coordinated with the annual review of TASs (2.3 below) by the General Manager of Education the outcomes will then be adopted by the trainers and assessors.

2.2. Assessment tool development

2.2.1. The General Manager of Education works with the Learning and Development Team to develop Training and Assessment tools for use in the training and assessment process which:

a. meets the requirements of the relevant Training Package or Training Product;

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

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

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

e. are reviewed by subject matter experts prior to release; and

f. are systematically validated in accordance with *Allara's Validation Policy and Procedure*

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

2.3. **Training and Assessment Strategies (TAS) and tools procedures**

2.3.1. Development of a new TAS or update of an existing TAS must be undertaken when:

a. New training products are added to Allara's scope of registration;

b. A new training program and/or new target cohort of learners is added;

c. changes to the training package have occurred; and

d. changes are required as a result of the consultation and TAS review process

2.3.2. The General Manager of Education in conjunction with the State Managers, is responsible for creation, review and update of TASs. The General Manager of Education then liaises with Learning and Development team to ensure the corresponding training programs and assessment tools are developed or updated.

2.3.3. A new TAS must be prepared using the TAS template which has been specifically designed to satisfy the ASQA standards and VET accreditation requirements and is located in the shared drive. It includes:

a. information about the learner group and their characteristics and needs

b. the selection of units of competency, or a qualification with electives identified, as defined by the packaging rules

c. pathways for learners

d. delivery approaches (on the job, off the job, blended, distance learning and on-line)

e. arrangements for the provision of support and support services to meet individual learners needs

f. assessment information

g. operational requirements required to provide the training and assessment services;

  i. facilities and equipment,

  ii. training and assessment materials

  iii. staffing

h. Comply with the VET Quality Framework requirements, associated legislative instruments and Training Package requirements – including information identifying core and elective components

2.3.4. In reviewing the TAS the General Manager of Education will:

a. establish a schedule of all TASs and their review dates;

b. Provide a progress update for the review of TASs at each Leadership Team Meeting;

c. ensure completion of the review of all TASs in accordance with *Allara's Validation policy and procedure*

2.3.5. After a new TAS is produced or an existing TAS has been changed the General Manager of Education must:

a. Notify relevant stakeholders

b. Ensure Trainers/Assessors undertake professional development activities (where relevant)

c. ensure marketing materials are updated to reflect any changes and inform all staff of the relevant change

2.4. Consultation with Industry/Clients

2.4.1. When Allara introduces a new TAS or reviews an existing TAS, takes on a new client or changes a training package it must consult with industry or the client to ensure that the TAS meets the needs and requirements of industry and the client.

2.4.2. The State Managers are responsible for consulting with the industry experts and clients on at least an annual basis and in conjunction with the review of each TAS.

2.4.3. Consultation with industry and/or the client may be conducted by:

a. face to face meeting

b. email exchange; or

c. telephone conversation

2.4.4. The consultation procedure with employers and industry (stakeholders) will be aimed at:

a. understanding the needs of these groups and trends and changes in technology for further development and continuous improvement

b. Ensuring our resources accurately reflect the needs of industry and the expectation of employers

a. Enabling the TAS to be tailored to suit specific client or workplace needs, for example, this may include:

i. the mode of delivery;

ii. provision of individual support needs;

iii. timing of assessment; and

iv. duration of course

2.4.5. The State Managers must:

a. Record and document the outcomes of all consultations including phone consultation and face-to-face meetings using the Consultation/Validation form and/or Employer training needs analysis form which may be located in the shared drive

b. Populate the outcomes of the consultation into the Client TAS template which can be located in the shared drive

c. Keep all evidence eg records of conversation copies of emails as appropriate on the shared drive

d. Reporting on the outcomes of consultation will be an agenda point in each Leadership Team Meeting

e. Consult with the client and/or industry expert on the draft changes made to the Client TAS as a result of the consultation

f. Ensure any further feedback is considered and where changes are approved ensure the client/industry representative provides formal acknowledgement. The modification/improvement to the TAS is then completed and documented.

g. Provide trainers and assessors with a copy of TAS for the programs they will be training and assessing and a formal presentation regarding the contents of the TAS and its application.

2.4.6. Once the TAS is endorsed by industry stakeholders and approved by CEO/General Manager of Education, it is deployed and made operational.

2.4.7. Following deployment undertake performance reviews of trainers and assessors to ensure they have the current industry skills identified from consultation and what is detailed in the TAS is what is occurring in practice.

2.5. Record Keeping

2.5.1. All documentation from development and review of TAS and resources are to be retained in the shared drive and version control applied to the TAS and corresponding documentation. This includes evidence of the consultation process eg records of conversations, copies of emails etc.

2.6. Role of Learning and Development

2.6.1. Allara's Learning and Development Manager under direction from the General Manager of Education creates, writes, validates and maps resources as required for:

a. Training packages or products on Scope

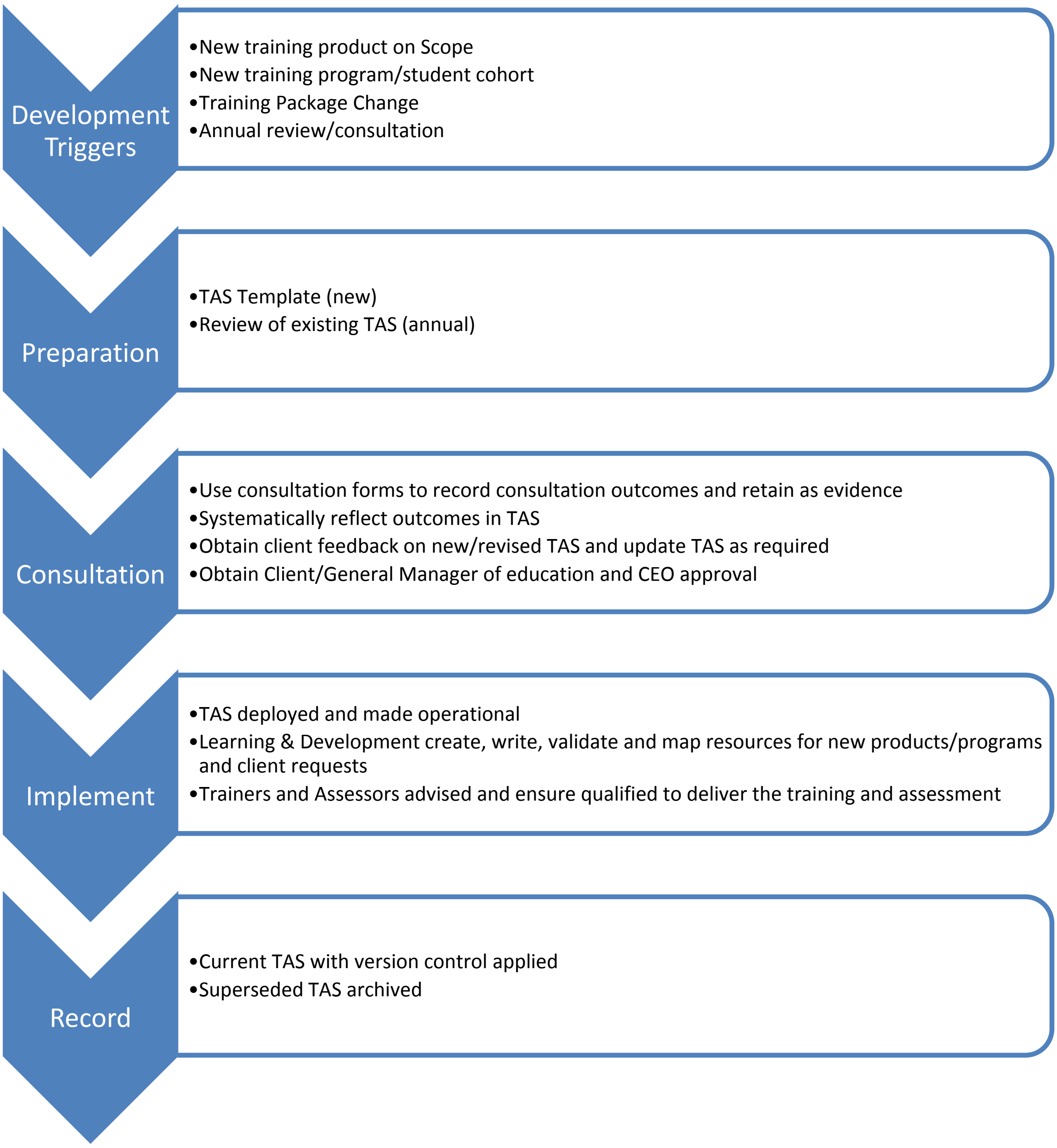
b. Client specific development requests

c. Individual accredited units of competency

d. Non-accredited subjects

Refer to *Allara's Learning and development policy and procedure*

3. Training and Assessment Strategies (TAS) flow chart



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4. Training and assessment procedure

4.1. Informing participants about training and assessment

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

a. Participant guide

b. Assessment booklet and/or additional activities

c. Training and assessment record book or equivalent form

d. 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

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

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

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

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

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

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

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

4.2. Training commencement and delivery process

4.2.1. 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;

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

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

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

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

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

a. The RTO the participant is enrolled in

b. The participants full name

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

d. The Employer (if applicable)

e. The unit code and name

f. The date training occurred

g. Identify if the unit was introduced or continued

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

i. 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)

j. Signatures of the participant

k. The Trainer and Assessors full name and signature

4.2.3. 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

4.3. Assessment process

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

a. Review the participants records in the student management system

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

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

d. Schedule an assessment date

e. In conducting assessment, the Training facilitator and assessor is to review the assessment tool inclusive of;

  i. Review of individual tools and tasks

  ii. Review of the instructions for assessor

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

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

h. Record details of assessment judgements

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

   i. The participant
   ii. The supervisor/employer *(if applicable)*
   iii. The assessor

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

4.3.2. 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;

a. Verbal / oral discussion

b. Written; email, letter or feedback form

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

4.4. Submission of Training and assessment materials

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

a. Complete a facilitator end of week report detailing;

   i. Dates of training and assessment
   ii. Locations of where training and assessment activities were undertaken
   iii. Number of expected participants
   iv. Number of assessments completed

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

c. 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;

   i. Training and assessment record forms
   ii. Completed assessment tools
   iii. Updated signed training plans; and
   iv. Any additional assessment evidence

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4.5. Updating training and assessment records

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

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

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

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

ii. date of assessment

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

iv. the participants full name and signature

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

vi. the assessors full name and signature

vii. counting and recording number of assessments accepted as compliant

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

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

a. units of competency commenced

b. units of competency completed

c. units of competency withdrawn or discontinued

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

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

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

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

4.5.4. State based administration departments maintain all hard copy training and assessment materials.

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.

4.6. Training and assessment monitoring and participant contact

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

a. Phone call, or

b. Email correspondence, or

c. Web conference such as skype, or

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

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

a. The name of the participant

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

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

d. Date and time of contact

e. Details of training and assessment that occurred during contact

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

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

4.7. Participant progress monitoring

4.7.1. 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;

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

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

c. Where special support needs were identified on enrolment;

i. reviewing notes on the delivery of the training support plan

ii. reviewing notes on progress and any adjustments needed to further assist the student to best support their learning needs

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

a. Identify if participant progress is inconsistent with the requirements of the training plan, training contract and/or training and support plan, and

b. Note if further needs or other counselling requirements are identified to support the Participant

c. Notify stakeholders of progression issues including notification to;

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i. Participant
ii. Employer (if applicable)
iii. State and/or territory regulatory body, and

d. Submit cancellation and/or withdrawal form if;

i. progression of participant is unsatisfactory
ii. participant formally requests withdrawal
iii. employer notifies of cessation of employment

4.7.3. 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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5. 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
- Participant progress monitoring
- Submit assessments to administration

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

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6. Training contract review and updates

6.1. Continual maintenance

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

6.2. Annual review

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

a. 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

b. have any changes approved by the State Training Manager prior to implementation

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

6.3. Updates and execution

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

a. notification of changes to training plan are provided to administration by the State Training Manager

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

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

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

e. the training plan agreement page is signed

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

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

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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

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