

# Training and Assessment Policy

<b>POLICY NUMBER:</b>	RC-DSNR-PO-0001	<b>VERSION:</b>	1
<b>DATE ADOPTED/APPROVED:</b>	11/08/2015	<b>DATE LAST REVIEWED:</b>	11/08/2015
<b>DATE OF NEXT REVIEW:</b>	11/08/2016	<b>REVIEW FREQUENCY:</b>	Yearly
<b>AUTHORISED BY:</b>	David Donovan	<b>REVIEWED BY:</b>	Robyn Dupuis
<b>POLICY OWNER:</b>	Training Manager		
<b>REVIEW PROCESS:</b>	Training Manager, Compliance Coordinator		
<b>DOCUMENT MANAGEMENT:</b>	K:\RTO\Compliance\ASQA\SNR Policies 2015\SNR 1		
<b>COMMUNICATION:</b>	Relevant staff will be notified by email when the policy has been authorised.		
<b>POLICY CONTEXT:</b> This policy relates to:			
<b>NVR STANDARDS:</b>	SNR 1		
<b>LEGISLATION OR OTHER REQUIREMENTS</b>	<ul style="list-style-type: none"> <li>• National Vocational Education and Training Regulator Act 2011</li> <li>• VET Quality Framework</li> </ul>		
<b>OTHER POLICIES</b>	All DTEC overarching and supplementary policies		
<b>FORMS AND OTHER DOCUMENTS</b>	<ul style="list-style-type: none"> <li>• Validation of assessments template</li> <li>• Moderation checklist template</li> <li>• Training and Assessment Strategy Validation template</li> <li>• RPL Process &amp; Procedure</li> <li>• Qualification and SoA Issuance Process &amp; Procedure</li> <li>• AVETMISS &amp; QI Procedure</li> <li>• Third Party Procedure</li> <li>• Transition &amp; Teach Out Procedure</li> <li>• Learner Agreement</li> <li>• Trainer Competency Management Process</li> <li>• Product Development Process</li> </ul>		
<b>DEFINITIONS</b>	<ul style="list-style-type: none"> <li>• Independent validation</li> <li>• Validation</li> <li>• Transition</li> <li>• Teach-out</li> <li>• Qualification</li> <li>• Unit of Competency</li> <li>• Training and Assessment Strategy</li> </ul>		
<b>POLICY INFORMATION:</b>			

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<p><b>POLICY</b></p>	<ul style="list-style-type: none"> <li>i) DTEC’s training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.</li>   <li>ii) For the purposes of Clause I, DTEC determines the amount of training they provide to each learner with regard to: <ul style="list-style-type: none"> <li>a) The existing skills, knowledge and the experience of the learner;</li> <li>b) The mode of delivery; and</li> <li>c) Where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.</li> </ul> </li>   <li>iii) DTEC has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient: <ul style="list-style-type: none"> <li>a) Trainers and assessors to deliver the training and assessment;</li> <li>b) Educational and support services to meet the needs of the learner cohort’s undertaking the training and assessment;</li> <li>c) 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</li> <li>d) Facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.</li> </ul> </li>   <li>iv) DTEC meets all requirements specified in the relevant training package or accredited course.</li>   <li>v) DTEC’s training and assessment practices are relevant to the needs of industry and informed by industry engagement.</li>   <li>vi) DTEC implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of: <ul style="list-style-type: none"> <li>a) Its training and assessment strategies, practices and resources; and</li> <li>b) The current industry skills of its trainers and assessors.</li> </ul> </li>   <li>vii) DTEC determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages of VET accredited courses.</li>   <li>viii) DTEC implements an assessment system that ensures that</li> </ul>
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	<p>assessment (including recognition of prior learning):</p> <ol style="list-style-type: none"> <li>Complies with the assessment requirements of the relevant training package or VET accredited course; and</li> <li>Is conducted in accordance with the Principles of Assessment contained in table 1 below and Rules of Evidence contained in Table 2 below.</li> </ol> <table border="1" data-bbox="612 510 1406 2004"> <tr> <td data-bbox="612 510 826 869">Fairness</td> <td data-bbox="826 510 1406 869"> <p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.</p> <p>The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</p> </td> </tr> <tr> <td data-bbox="612 869 826 1196">Flexibility</td> <td data-bbox="826 869 1406 1196"> <p>Assessment is flexible to the learner by:</p> <ul style="list-style-type: none"> <li>- Reflecting the learner's needs;</li> <li>- Assessing the competencies held by the learner no matter how or where they have been acquired; and</li> <li>- Drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.</li> </ul> </td> </tr> <tr> <td data-bbox="612 1196 826 1877">Validity</td> <td data-bbox="826 1196 1406 1877"> <p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"> <li>- Assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;</li> <li>- Assessment of knowledge and skills is integrated with their practical application;</li> <li>- Assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and</li> <li>- Judgment of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.</li> </ul> </td> </tr> <tr> <td data-bbox="612 1877 826 2004">Reliability</td> <td data-bbox="826 1877 1406 2004"> <p>Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.</p> </td> </tr> </table>	Fairness	<p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.</p> <p>The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</p>	Flexibility	<p>Assessment is flexible to the learner by:</p> <ul style="list-style-type: none"> <li>- Reflecting the learner's needs;</li> <li>- Assessing the competencies held by the learner no matter how or where they have been acquired; and</li> <li>- Drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.</li> </ul>	Validity	<p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"> <li>- Assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;</li> <li>- Assessment of knowledge and skills is integrated with their practical application;</li> <li>- Assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and</li> <li>- Judgment of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.</li> </ul>	Reliability	<p>Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.</p>
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	<p>ix) DTEC implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the RTO's scope of registration:</p> <ol style="list-style-type: none"> <li>a) When assessment validation will occur;</li> <li>b) Which training products will be the focus of the validation;</li> <li>c) Who will lead and participate in validation activities; and</li> <li>d) How the outcomes of these activities will be documented and acted upon.</li> </ol> <p>x) For the purposes of Clause ix, 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 DTEC's scope of registration, including those risks identified by the VET regulator.</p> <p>xi) For the purposes of Clause ix, systematic validation of DTEC's assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of deliver and assessment of the training product being validated , and who collectively have:</p> <ol style="list-style-type: none"> <li>a) Vocational competencies and current industry skills relevant to the assessment being validated;</li> <li>b) Current knowledge and skills in vocational teaching and learning; and</li> <li>c) The training and assessment qualification or assessor skill set referred to in Item 1 or 3 of Schedule 1 in Standards for Registered Training Organisations RTOs) 2015.</li> </ol> <p style="padding-left: 40px;">Industry experts may be involved in validation to ensure there is the combination of expertise set out in (a) to (c) above.</p> <p>xii) DTEC offers recognition of prior learning to individual learners.</p> <p>xiii) In addition to the requirements specified in Clause xiv and xv below, DTEC's training and assessment is delivered only by persons who have:</p> <ol style="list-style-type: none"> <li>a) Vocational competencies at least to the level being delivered and assessed;</li> <li>b) Current industry skills directly relevant to the training and assessment being provided; and</li> <li>c) Current knowledge and skills in vocational training and learning that informs their training and assessment.</li> </ol> <p style="padding-left: 40px;">Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p> <p>xiv) DTEC's training and assessment is delivered only by persons who</p>
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	<p>have:</p> <ul style="list-style-type: none"> <li>a) Prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of schedule 1, or demonstrated equivalence of competencies; and</li> <li>b) From 1 January 2016, the training and assessment qualification specified in Item 1 or item 2 of schedule 1.</li> </ul> <p>xv) Where a person conducts assessment only, DTEC ensures that the person has:</p> <ul style="list-style-type: none"> <li>a) Prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1, or demonstrated equivalence of competencies; and</li> <li>b) From 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.</li> </ul> <p>xvi) DTEC 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.</p> <p>xvii) Where DTEC, in delivering nationally recognised 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.</p> <p>xviii) DTEC ensures that any individual working under the supervision of a trainer under Clause xvii:</p> <ul style="list-style-type: none"> <li>a) Holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;</li> <li>b) Has vocational competencies at least to the level being delivered and assessed; and</li> <li>c) Has current industry skills directly relevant to the training and assessment being provided.</li> </ul> <p>xix) Where DTEC engages an individual under Clause xvii, it ensures that the training and assessment complies with SNR 1.</p> <p>xx) Without limiting Clauses xvii – xix, DTEC:</p> <ul style="list-style-type: none"> <li>a) Determines and puts in place: <ul style="list-style-type: none"> <li>- the levels of the supervision required; and</li> <li>- any requirements, conditions or restriction considered necessary on the individual’s involvement in the provision of training and collection of assessment evidence; and</li> </ul> </li> <li>b) Ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.</li> </ul>
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	<p>xxi) Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) DTEC must ensure all trainers and assessors delivering the training and assessment:</p> <p>a) Determines and puts in place:</p> <ul style="list-style-type: none"> <li>- the level of the supervision required; and</li> <li>- any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and</li> </ul> <p>b) Have demonstrated equivalencies of competencies.</p> <p>xxii) From 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 trainer and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.</p> <p>xxiii) From 1 January 2017, 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), DTEC must ensure all trainers and assessors delivering the training and assessment:</p> <p>a) Hold the qualification specified in Item 5 or Schedule 1; or</p> <p>b) Work under the supervision of a trainer that meets the requirement set out in (a) above.</p> <p>xxiv) DTEC must ensure that any individual working under supervision under Clause xxiii b hold the qualification specified in Item 1 of Schedule 1 and does not determine assessment outcomes.</p> <p>xxv) From 1 January 2016, to deliver an AQF qualification or assessor skill set from the Training and Educations Training Package (or its successor), DTEC 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 independence validation and validation).</p> <p>xxvi) Subject to Clause xxvii and unless otherwise approved by the VET Regulator, DTEC ensures that:</p> <p>a) 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 form the date the replacement training product was released on the National Register;</p> <p>b) Where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is</p>
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	<p>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;</p> <p>c) 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</p> <p>d) A new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.</p> <p>xxvii) The requirements specified in Clause xxvi a do not apply where a training package requires the delivery of a superseded unit of competency.</p>
<b>SCOPE</b>	This policy is applicable to all DTEC staff.
<b>PROCEDURES</b>	<p>DTEC will achieve this policy by:</p> <ul style="list-style-type: none"> <li>• Prior to putting a unit of competency on scope, the Training and Assessment Strategy will be complete and include training hours, mode of delivery and assessment strategies.</li> <li>• Validation sessions are scheduled periodically throughout the year to ensure all of the courses are validated at least once in a five year period. Industry experts are included in validation exercises where necessary.</li> <li>• All trainers are expected to be fully qualified TAE40110 upon hire and present their certificate to be sighted and hold at least equal vocational competencies to the courses they are to be training in.</li> <li>• Transition to any new training packages will be completed before the teach-out period and no new participants will be enrolled in a superseded qualification.</li> <li>• DTEC regularly meets with various industry bodies including groups, organisations, companies and clients to ensure courses are meeting industry expectations.</li> <li>• DTEC has a Transition &amp; Teach Out policy to ensure participants complete superseded courses in the required time frames.</li> </ul>