**ESA Training Registered Training Organisation Operating Policy**

**ESA P010**

**Version number 2.1**

**Note:** This is a CONTROLLED document. Any documents appearing in paper form are not controlled and should be checked against the intranet version prior to use.

## Approval

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| | *Emergencies Act 2004 (ACT)* |
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Dominic Lane AFSM
Commissioner
ACT Emergency Services Agency
1 September 2015

**Contents**

1.  **Purpose**

    The purpose of this document is to provide policy guidance to ACT Emergency Services Agency (ESA) staff and stakeholders on how the ESA meets its obligations as a Registered Training Organisation (RTO) in accordance with the Vocational Education and Training Quality Framework (VQF).

2.  **Scope**

    These procedures apply to anyone, including volunteers and contracted providers that are involved in training and/or assessment activities within ESA where it leads to nationally recognised training under the Australian Qualifications Framework issued by the ESA RTO.

3.  **Definition of Terms**

| Term | Definition |
|---|---|
| ACTAS | ACT Ambulance Service |
| ACTF&R | ACT Fire & Rescue |
| ACTRFS | ACT Rural Fire Service |
| ACTSES | ACT State Emergency Service |
| AEMI | Australian Emergency Management Institute |
| AFAC | Australasian Fire Authorities Council |
| ASQA | Australian Skills Quality Authority |
| AQF | Australian Qualifications Framework |
| CBA | Competency Based Assessment |
| CBT | Competency Based Training |
| ESA | Emergency Services Agency |
| ESAT | Emergency Services Agency Training |
| HLT | Health Training Package |
| HSR | Health and Safety Representatives |
| ISC | Industry Skills Council |
| JACS | Justice and Community Safety Directorate |
| NRT | Nationally Recognised Training |
| NVR | National Vocation Education and Training Regulator |
| PSTP | Public Safety Training Package |
| QA | Quality Assurance |
| RTO | Registered Training Organisation |
| TGA | Training.gov.au |
| TNA | Training Needs Analysis |
| TPWG | Training Practices Working Group |
| USI | Unique Student Identifier |
| VET | Vocational Education and Training |
| VQF | VET Quality Framework |
| WHS | Workplace health and safety |

4. **Background**

The Emergency Services Agency maintains a Registered Training Organisation (RTO) under the VET Quality Framework.  Maintaining RTO registration allows the ESA to offer nationally recognised training to staff, volunteers and other external clients.

The ESA RTO operates as an enterprise RTO, meaning that training is developed and delivered primarily for employees and volunteers of the ESA.  In some circumstances the ESA delivers training to external clients; however, the key focus is on internal clients. Wherever possible, education and training within the ESA is aligned to national units of competency and qualifications.

5. **Policy Statements**

This policy contains information relating to training and assessment policies. It has been developed to be an easy to use reference document for anyone involved in training and/or assessment activities within ESA.

This policy will assist the ESA to meet the requirements of RTOs outlined within the *Standards for Registered Training Organisations*.

6. **Roles and Responsibilities**

The ESA Commissioner, as the CEO of the ESA RTO, is responsible for this policy. The ESA Training, Manager Training is responsible for the maintenance of this policy.

Chief Officers are responsible for matters relating to the technical and professional expertise of their service under Part 3.1 of the *Emergencies Act 2004*.

## Vocational Education and Training—Governance

**7.     National VET Regulation**

The *National Vocational Education and Training Regulator Act 2011*, was enacted in July 2011 with a new approach to the national regulation of the vocational education and training (VET) sector in Australia.

The ESA must ensure it complies with the *National Vocational Education and Training Regulator Act 2011* (Cth) to maintain its RTO status.  This includes ensuring compliance with the Standards for Registered Training Organisations under subsection 185(1) and subsection 186(1) of the *National Vocational Education and Training Regulator Act 2011.*

**8.     Australian Skills Quality Authority (ASQA)**

ASQA is the national regulator for Australia's VET sector. ASQA's role is to ensure that RTOs comply at all times with the requirements detailed in the Act. This will result in nationally consistent, high-quality training and assessment services for the clients of Australia's vocational education and training system.

**9.     VET Quality Framework**

The VET Quality Framework is a set of standards that ASQA uses to assess whether an RTO meets the requirements for registration. RTOs must comply with the VET Quality Framework which comprises of the:

- o   [Standards for Registered Training Organisations](#);

- o   [Australian Qualifications Framework](#);

- o   [Fit and Proper Person Requirements](#);

- o   [Financial Viability Risk Assessment Requirements](#); and

- o   [Data Provision Requirements.](#)

The standards should be read together with:

- o   [Standards for VET Accredited Courses](#);

- o   [Standards for Training Packages](#); and

- o   [Standard for VET Regulators.](#)

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**10.    Australian Qualifications Framework (AQF)**

The AQF provides a comprehensive nationally consistent framework for all qualifications in post-compulsory education and training. The AQF now forms part of the VET Quality Framework.

Qualification levels are based upon what individuals are able to demonstrate on completion. In other words, each qualification level (such as Certificate II or III) has defined outcomes required. Training within ESA focuses upon job requirements and skill sets, mapped to the relevant qualification/competency for accreditation.

For more information about the AQF visit http://www.aqf.edu.au/or contact the ESA RTO.

**11.    Quality Indicators**

The Quality Indicators form part of the VET Quality Framework Data Provision Requirements. The quality indicators are endorsed by the Ministerial Council, or its delegate, against which the RTO is required to collect and use data. Quality Indicators have been designed to help RTOs conduct evidence-based and outcomes-focused continuous quality improvement, and assist the registering body to assess the risk of an RTO's operations. Under the VET Quality Framework, RTOs are required to collect and use data on three Quality Indicators.

Quality indicators provide the ESA RTO with valuable data to identify and improve training and assessment procedures; and assist the ESA to identify how training needs are being met.

The quality indicators are:

- **Employer  Satisfaction**
  **(Competency Development and Training and Assessment Quality)**
  This indicator focuses on employer evaluation of learner competency development and the relevance of learner competency to work and further training, as well as employer evaluation of the overall quality of the training and assessment.

- **Learner Satisfaction (Learner Engagement and Competency Development)**
  This indicator focuses on the extent to which learners are engaging in activities likely to promote high-quality skill outcomes, and will include learner perceptions of the quality of their competency development and the support they receive or have received from RTOs.

- **Competency Completion Rate**
  This indicator is derived from information about the number of enrolments and qualifications completed and/or units of competency/modules awarded in the previous calendar year by each RTO. RTOs are to use the Competency Completion Online System (CCOS) to report competency completion data.

The ESA RTO is required to report against the Quality Indicators annually (30 June).

**12.** **Total VET Activity reporting and Unique Student Identifier (USI) - Exemption for emergency services RTOs**

From 1 January 2015, all students studying nationally recognised training in Australia are required to have a Unique Student Identifier (USI). The USI enables students to find and collate their VET achievements into a single authenticated transcript.

The purpose of Total VET Activity reporting is to provide comprehensive and timely information about the training being undertaken across all RTOs. All RTOs must collect and report 'Total VET Activity' data. This includes full Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) data. RTOs must collect AVETMISS compliant records for all students, and for all competency enrolments and outcomes achieved, throughout the calendar year.

On the grounds of 'provision of emergency, fire, rescue or first-aid services to the Australian community' the ESA RTO has been granted an exemption from USI requirements and Total VET Activity Reporting by the National VET Regulator, the Australian Skills Quality Authority (ASQA). This exemption means that the ESA RTO will be able to issue VET qualifications or statements of attainment to students without obtaining their USI and will not be required to gather data for the National VET Provider Collection for Total VET Activity Reporting.

Note that AVETMISS reporting for Australian Apprenticeships is a condition of the funding agreement and this reporting is still required.

**13.** **Training packages**

A Training Package is a set of nationally endorsed standards and qualifications used to recognise and assess the skills and knowledge people need to perform effectively in the workplace. Training Packages are a key resource for RTOs in the delivery of structured, accredited training. Training packages are developed by industry through national industry skills councils (ISCs) or by enterprises to meet the identified training needs of specific industries or industry sectors.

**14.** **Health Training Package**

The ACT Ambulance Service delivers vocational training under the Health Training Package **(HLT)**. Training for these nationally recognised qualifications is provided by appropriately qualified trainers and assessors employed by the ACT Ambulance Service, and qualifications are issued under the ESA RTO.

First aid training is also covered under the Health Training package.

For more information on the Health Training Package, contact the ESA RTO section. To see the qualifications available within the Health Training Package visit the National Register for Vocational Training http://training.gov.au/

15. **Public Safety Training Package**

The ESA aligns training material for fire fighting, SES operations and broader emergency management training to units of competency and qualifications from the Public Safety Training Package (PSTP).

For more information on the PSTP contact ESAT. To see the qualifications available within the Public Safety Training Package, visit the National Register for Vocational Training at http://training.gov.au

16. **Transition of Superseded Training Packages**

From time to time, changes to training packages occur.  This means that RTOs must either ensure their students finalise their current programs of study within the existing qualification, or are transitioned to the replacement unit or qualification.

To best meet the needs of students and of industry, students should be transferred from superseded qualifications into the replacement qualification as soon as practicable, and no later than 12 months from the replacement qualification being published.

Where a qualification is superseded, students who will complete their study and be issued with a qualification within the one-year transition period do not need to be transferred to a replacement qualification. All other students are to be transferred into the new qualification within 12 months.

The ESA RTO must provide timely and adequate advice to current students if the qualification in which they are enrolled is superseded or discontinued and ensure students are given the opportunity to transfer to replacement training package qualifications.

One year from the date a qualification or skill set has been superseded, students must not be enrolled, and no qualifications or statements of attainment are to be issued, except as a replacement for a previously issued qualification or statement of attainment.

Where a qualification has been discontinued and not replaced and there is no clear replacement qualification for students to transfer into, the ESA RTO must ensure that all training, assessment and issuance of certification is completed within two years of the date the qualification was removed.

17. **National Register**

www.training.gov.au (TGA) is the official national register of vocational information on training packages, qualifications, courses, units of competency and RTOs.

18. **ESA Scope of Registration**

The Scope of Registration specifies the AQF qualifications and/or units of competency, accredited courses and the national training and assessment that an RTO is registered to issue and provide. To view the ESA scope of registration, please visit the TGA website http://training.gov.au/. The ESA RTO provider number is 88091.

**19.    Australian Apprenticeships**

Wherever possible, qualifications for employees will be attained under Australian Apprenticeships arrangements.  The ESA RTO applies for, and manages on behalf of the services, applicable apprenticeships incentives and ensures that incentives received are reinvested in training related initiatives.

Funds obtained through Australian Apprenticeships can be used by the relevant service for such things as training related activity, or training support materials/equipment.  Expenditure of these funds is authorised by the ESA RTO, following consultation with the relevant service.

Australian Apprenticeships encompass all apprenticeships and traineeships. They combine time at work with training, and can be full-time, part-time or school-based. The benefits of training under Australian Apprenticeship arrangements are that they ensure the delivery of structured on and off the job training, as well as contributing financially to the costs of providing such training. For further information please see www.australianapprenticeships.gov.au

**20.    Certification of Nationally Recognised Training**

Under the arrangements of the VET Quality Framework, only RTOs can issue national qualifications in accordance with their scope of practice. Qualifications issued are nationally recognised and fully transferable. Certification is the formal recognition that a person has demonstrated competency. An RTO issues a Statement of Attainment, or Qualification, on the recommendation of the trainer/assessor, where they have assessed the learner as competent, meeting the requirements of the training products and on receipt of appropriate documentation such as assessments and an assessment summary sheet.

All achievements are recorded; Statements of Attainment are then awarded to candidates as they successfully complete each Unit of Competency. Qualifications are issued to candidates who have completed a series of Units of Competency, which make up a qualification within a training package.

All hard copy certification provided will include fraud prevention controls in accordance with Schedule 5 of the *Standards for RTOs*.

The ESA RTO issues both Qualifications and Statements of Attainment. Statements of Attainment are formal certification in the VET sector by an RTO that a person has achieved a part of an AQF qualification; one or more units of competency including a skill set from a nationally endorsed training package; or all the units of competency or modules comprising an accredited short course (meaning an accredited course that does not meet the requirements for a full AQF qualification).

AQF certification is to be issued to the learner within 30 calendar days of the learner being assessed as meeting the requirements of the training products. This is the date from which the Service Training Officer has validated all required assessments.

Only under exceptional circumstances will certificates be posted to candidates.  If a certificate is required to be posted, it must be sent by registered post.

## 21. Statements of Attainment

A Statement of Attainment is issued upon receipt of the completed assessments and associated paperwork that indicate the student demonstrated competence in their learning program.  A qualification will be issued by the ESA RTO when all the required competencies are completed. The certificate will detail the units of competence achieved as part of the qualification. Where recognition of prior learning (RPL) or credit transfer (CT) applies, these competencies will also be listed, with an indication where RPL or CT has been given.

## 22. Qualifications

Once a candidate has achieved all necessary competencies contained within a full qualification, the ESA RTO will provide AQF certification documentation in the form of certificates. These certificates are valuable documents, and will only be delivered by hand to the Service Training Officer (STO). At their discretion, the STO will then ensure the certificates are distributed to the successful candidates without delay.

## 23. Certificate replacement

If a student loses or misplaces the original certificate issued by the ESA RTO, a replacement certificate may be issued upon request. The original date of issue will be provided on the replacement certificate. All requests must be provided in writing to the Manager, ESA Training outlining the reason. To protect privacy, a replacement certificate will only be provided to the named person.

## 24. Replacement Certificates on behalf of previous ESA RTOs

For replacement certificates issued under RTOs that have been incorporated into the ESA RTO (such as the ACT Fire Brigade RTO); applications will be assessed by the ESA RTO on a case by case basis.   The ESA RTO will consider training records and evidence available to be able to replace the original certificate. This may include but not limited to:

- Completed assessment documentation;
- Files; and
- Records of training delivered;

If the ESA RTO decides to reissue, the certificate will have a new number and be issued under the ESA RTO with the appropriate information obtained from the records.

## 25. Certification of non-accredited Training

A Certificate of Attendance will be issued for non-accredited courses. Required non-accredited training will be recorded on the RTO database.

## Quality assurance

**26.   Self Assessment audit**

The Commissioner is required to make an annual declaration of compliance with the *Standards for RTOs* to the National Regulator (ASQA). To ensure that the ESA RTO continues to meet the *Standards for RTOs*, the ESA RTO will conduct an internal audit against the standards on an annual basis. This is to identify continuous improvement opportunities and performance gaps that require action through routine reporting, planning and management processes.

In order to monitor any identified non compliances or areas for improvement, an Improvement Request will be issued to the applicable area/service. The improvement request will detail:

- a description of the non compliance or area for improvement

- the relevant standard

- the person responsible for managing the non compliance and/or area for improvement

- suggestions on how to achieve compliance

- agreed dates for completion

Improvement requests will also be entered in the Continuous Improvement Register in order to monitor and close off when completed.

**27.   ASQA Audit**

ASQA may conduct audits from time to time as a result of an application for registration renewal or an application to change the scope of practice of the RTO.  Other audits may be conducted at any time to assess an RTO's compliance with the VET Quality Framework. ASQA's regulatory approach is based on risk assessment. The scope and complexity of an audit will vary according to its purpose and the risk rating of the organisation or industry being audited. An audit may be either a site visit or a desk-top audit.
These are conducted by an independent auditor provided by ASQA.

The audits will assess a number of areas including, but not limited to; policies, procedures, activities and outcomes. There is a focus on assessment which relates to nationally-endorsed qualifications, accredited courses and nationally endorsed units of competency as per the RTO scope of registration. During an audit, information may be sourced from the RTO itself, its students, industry organisations, ASQA's compliance systems (such as the complaints register), and other risk analysis systems. For further information on the audit process please see the ASQA website.

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**28. Partnership Agreements or Memorandums of Understanding (MOU)**

An RTO is directly accountable for the quality of training and assessment they provide. If another organisation or RTO is delivering training or assessment services on behalf of the RTO, it is essential that such arrangements be underpinned by a clearly articulated written agreement that fully expresses the roles and responsibilities of each party, including monitoring arrangements.

The written agreement must require that any third party delivering services cooperate with ASQA in the provision of information and in the conduct of audits and other monitoring activities.

The ESA RTO must notify AQSA whenever it starts or ends a third party agreement using the [Notification of Material Change or Event](#) form. This must occur within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first. Where a partnership arrangement is being used to deliver training and assessment for funded programs (apprenticeships) the ESA RTO must also notify the ACT Education and Training Directorate.

Whenever ESA enters into an agreement, which is not required to be legally binding, a partnership agreement (or MOU) will be used. ESA will not enter into other types of non-legal agreements (for example, 'Letters of Agreement', 'Head of Agreements' and 'Inter-Agency Agreements') unless the ESA Commissioner specifically gives permission to do so.

Where a partnership arrangement has been entered into, the ESA will inform students of the arrangements and provide them with relevant details.

**29. Monitoring of Partnership Agreements**

Once Partnership Agreements have been established, they are systematically monitored to ensure that both parties are meeting their obligations and that services being provided comply with the Standards for RTOs.

Monitoring activities can include:

- regular management data reports, including client feedback;

- site visits to the organisations;

- assessment validation processes;

- quality assurance audit;

- sharing of professional development activities

### 30. Quality and Continuous Improvement

The ESA RTO is committed to continuously improving our services and building on our strengths.  To live and apply this value, the ESA RTO will:

- look for and implement ways to improve our services

- be flexible and prepared to respond to change

- admit and learn from our mistakes

- measure, monitor and review our services

- initiate and undertake research and development

- recognise and build on our strengths

The ESA RTO uses several methods to continuously improve, including:

- collecting feedback from course participants via course evaluations

- analysing data obtained from the Quality Indicators

- ongoing evaluation and endorsement of the skills of trainers and assessors

- TRKs and assessment materials reviews

- implementation of improved record keeping systems

- surveys and newsletters

- consultation when creating TRKs

- feedback from forums

- formal and informal feedback via  phone and e-mails from all stakeholders

- RTO internal audit regime

- Regular meetings of the Training Practice Working Group, to share information and ideas across the agency

**31.  ESA Training Practice Working  Group**

The role of the Training Practice Working Group (TPWG) is to provide opportunities to discuss enhancements to single service training, and to identify, promote and support multi agency training activities.  Information relating to vocational education and training governance issues are also discussed at this forum.

**32.  ACTSES Training Support Team and ACTRFS Training Officer Meetings**

Meetings of the ACTSES Training Support Team (TST) are managed by the ACTSES Learning and Development Coordinator. Meetings of the RFS Training Officers are coordinated through the ACTRFS Training Coordinator. These forums provide opportunities for training officers to increase their understanding of training issues. It also provides a forum for professional development while assisting in coordinating service level training and assessment activities. Wherever possible, a representative from the ESA RTO will attend these meetings.

## Trainer and Assessor Qualifications

**33.  Introduction**

In accordance with the VET Quality Framework, all trainers and assessors delivering training or assessment services on behalf of the ESA RTO must meet the requirements outlined in the Standards for RTOs. ESA supports staff and volunteers to attain relevant trainer and assessor competencies from the Certificate IV in Training and Assessment (TAE10, as varied).
Training and assessment activities are conducted by trainers and assessors who have:

- Vocational competence 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 training and/or assessor.

**34. ESA Trainer and Assessor Requirements**

To ensure that the ESA maintains sufficient numbers of trainers and assessors across all subject matter areas, and in accordance with the *Standards*, the qualification requirements of the ESA RTO are as follows:

    a.    **TAE40110 Certificate IV Training and Assessment; or**
    **TAE50111 Diploma of Vocational Education; or**
    **TAE50211 Diploma of Training Design and Development; or**
    **A higher level qualification in adult education-** This applies for training coordinators and/or developers who have primary responsibility for the coordination of training and/or responsibility for the development or significant revision of training and/or assessment materials and delegation within their service or within the ESA RTO to participate in validation and sign off of these materials. These people may also deliver and assess nationally endorsed units or qualifications and are likely to have responsibility for supervising training delivery by instructors not holding the TAE40110 Certificate IV Training and Assessment.

    b.    **TAESS00003 Enterprise Trainer and Assessor skill set** - This appliesfor all other trainers and assessors This is defined in TAE10 training package as being appropriate for *enterprise trainers and assessors working in an enterprise RTO or in an enterprise that works together with an RTO in an auspicing arrangement*

    c.    **TAESS00007 Enterprise Trainer – Presenting skill set OR TAESS00008 Enterprise Trainer – Mentoring skill set**

**35. Supervision arrangements**

Where Enterprise Trainer and assessors are used, the Services **must implement supervisory arrangements and keep evidence of the arrangements.** The individual trainer holding the TAE40110 Certificate IV Training and Assessment or above, is responsible for providing supervision for each training activity undertaken by an Enterprise Trainer and assessor. The supervising trainer/ assessor is responsible for the quality of training delivered.

### 36. Maintenance of training and assessment and vocational competency

| Title | Role | Requirements | Minimum competencies/ Qualifications |
|---|---|---|---|
| **Training Co-ordinators & Service Training Officers** | Training Co-ordinators and/or Developers have primary responsibility for the coordination of training and/or primary responsibility for the development or significant revision of training and/or assessment materials and delegation within their service or within ESAT to participate in validation and sign off of these materials. These people may also deliver and assess nationally endorsed units or qualifications. | Vocational competence at least to the level being delivered and assessed; Current industry sills 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. | TAE40110 Certificate IV Training & Assessment or its successor; **or** TAE50111 Diploma of Vocational Education and Training or its successor; or TAEDES50211 Diploma of Training Design and Development or its successor; or A higher level qualification in adult education. |
| **Enterprise Trainers & Assessors** | Trainers and assessors working in an enterprise RTO. These people deliver and assess nationally endorsed units or qualifications and non accredited training. | Vocational competence at least to the level being delivered and assessed; Current industry skills directly relevant to the training and assessment being provided; Work under the supervision of a trainer with the *TAE40110 Certificate IV in Training and Assessment* or higher qualification as detailed above; and Be recommended by the Service Training Officer to be a trainer | **TAESS00003 Enterprise Trainer & Assessor Skill Set which encompasses:** TAEDEL301A -Provide work skill instruction TAEASS401B -Plan assessment activities and processes TAEASS402B - Assess competence TAEASS403B- Participate in assessment validation |
| **Enterprise Trainers (Working under supervision)** | Enterprise Trainers who work mainly in classroom situations | | **TAESS00007 Enterprise Trainer – Presenting Skill Set which encompasses** TAEDEL301A -Provide work skill instruction BSBCMM401A – Make a presentation Or **TAESS00008 Enterprise Trainer – Mentoring Skill Set** TAEDEL301A -Provide work skill instruction TAEDEL404A – Mentor in the workplace |

All trainers and assessors must be able to demonstrate current vocational competencies at least to the level being delivered, assessed or developed and provide evidence of professional development in training, assessment and development.

Vocational competency is defined as broad industry knowledge and experience, usually combined with a relevant industry qualification. A person who has vocational competency will be familiar with the content of the vocation and will have relevant current experience in the industry. Vocational competency must be considered on an industry-by-industry basis and with reference to any guidance provided in the relevant Training Package or Accredited Course. Training Packages or Accredited Courses include advice specific to the industry related to the vocational competencies of trainers and assessors. This may include advice on relevant industry qualifications and experience required for training and assessing against the Training Package or Accredited Course. The Training Package or Accredited Course may also provide specific industry advice outlining what it sees as acceptable forms of evidence to demonstrate the maintenance of currency of vocational competency.

In order to meet the RTO standards, trainers and assessors will be required to participate in professional development activities to maintain their industry skills and vocational skills. These may include but is not limited to:

- professional development opportunity

- VET conferences/professional development

- Industry conferences

- peer assessment (of self and of others)

- participation in a moderation activity

- training and/or assessing

- other appropriate activities

Whilst the standards do not prescribe how often professional development must occur, it must be sufficient to ensure trainers and assessors have current knowledge and skills in vocational training, learning and assessment. Simply delivering training and assessment does not constitute professional development.

It is recommended that all individual trainers and assessors maintain records of their involvement in training, assessment and VET professional development activity.

## Codes of conduct for training and assessment

**37.    Student code of conduct**

The Student Code of Conduct is intended to provide the general principles that govern acceptable behaviour in learning environments. It presents the norms that ESA, its students, trainers, as well as the individuals, companies or organisations executing functions on behalf of ESA will respect and sets the standard for what is considered appropriate behaviour.
The full student code of conduct can be found on the intranet at
http://injacs/portfolio/esa/training/default.aspx

**38.    Trainer and Assessor Code of Conduct**

The Trainer and Assessor Code of Conduct assists trainers and assessors to demonstrate commitment to the maintenance of high standards in the provision of vocational education and training to all students.

Trainers and assessors will adopt and maintain practices which ensure high professional standards in the representation of the ESA and in the delivery of education and training services and they will safeguard the interests and welfare of staff, students and the community.

The full trainer and assessor code of conduct can be found on the intranet at
http://injacs/portfolio/esa/training/default.aspx

These documents do not replace existing public sector values and obligations or the ACTPS Code of Conduct. Processes for managing code of conduct issues, for ACT Government employees are contained in the Public Sector Management Act 1994 and its subordinate instruments and relevant enterprise agreements.

For ACT Government employees, the ESA student, trainer and assessor codes of conduct are intended as a guide for good practice only.

The Trainer and Assessor Code of Conduct is applicable for all others conducting training and assessment activities on behalf of the ESA RTO.  This includes volunteers and contracted providers.

**The Training Cycle**

**39.  Basic Principles**

Effective training must be planned and systematic to be successful. The five key components of training are:

1.  identification of training needs

2.  training design and development

3.  training delivery

4.  training assessment

5.  evaluation

These five components will be explained in further detail within this document.

## Identification of training needs

**40.  Identifying Training Needs**

A training need exists where there is a gap between the skills and knowledge (competencies) required to do a task or function competently, and the proficiency a worker actually has. A TNA is the method of determining what gaps exist, and deciding if training is required, or in fact, if training is suitable to overcoming a particular shortfall. There are a number of ways that a TNA can be accomplished, depending on the nature of the issue concerned. An example of a TNA process is detailed below.

**41.  The TNA Process**

**Step 1:**
- Establish the desired level of skills/competencies within a business unit to complete the task/job.

- Identify the desired optimum competency skills levels required to meet the operational role and the development needs of personnel.

- Analyse recent operations conducted by the unit/ brigade/individual in the past three years.

**Step 2:**
- Identify the current level of competencies/skills within the area concerned.

- Establish the levels of competency skills that individuals within the business unit currently possess.

**Step 3:**

- Identify the gap between Step 1 and Step 2, and determine the training required to meet this gap.

- Identify who needs training and in what. i.e. Find out deficiencies in particular competencies or skills for every person in the business unit. Determine the training that is required within the business unit to meet the unit or brigade's operational role.

## Training design and development

42. **Training Design**

Training design is when the assessment and learning strategies for training are selected, together with the strategies for evaluating the whole process of preparing for and conducting training. The object of these strategies is to ensure that the learning is achieved as efficiently and effectively as possible, and that it meets the original requirement.

The Project Manager/Course Developer in conjunction with a suitable number of appropriately experienced and qualified staff members and if appropriate, identified key volunteers (review team), to review the relevant Unit/s of competency, any relevant training documentation (e.g. Australian Emergency Manuals, superseded curriculum, kits from Industry Skills Councils) and operating processes or procedures (e.g. Standing Operating Procedures) to identify what will and will not be included. Engagement of other industry stakeholders is essential – including but not limited to representatives from other jurisdictions, review and inclusion of materials developed by other agencies, AFAC training resource kits and so on.

The competencies required for the job are analysed for their skills, knowledge and attitudes, and the characteristics of both the likely learners and the circumstances in which assessment and learning could occur are identified.

It is then essential to develop a training and assessment strategy (TAS). The course developer must keep all documentation of industry engagement that may include, but is not limited to:

- Liaison and emails with other jurisdictions;
- AFAC Learning and development meetings;
- Other AFAC working groups;
- Implementation of new equipment within the Service.

See Appendix B for an example of a completed TAS. These strategies are then combined to create a curriculum.

**43.   Development of the curriculum**

The relevant training section will design, develop and create a draft curriculum, based on the information from the relevant Service Officers (and personnel involved in the training design) and the relevant Subject Matter Experts (if appropriate).

A course will consist of the following:

- training and assessment strategy (Appendix B)

- version control page

- introduction

- trainer resources

- participant resources

- assessment tools

- evaluation resources

- assessment matrix or similar mapping document

The relevant ESA RTO staff member will negotiate with Services to conduct and evaluate a pilot and recommend changes if required.

**44.   Consultation & Validation**

The relevant Service Officers and Subject Matter Experts (if appropriate) will be contacted to review the draft resources and methods of assessment, add their comments and return the documents by an agreed date.

A validation panel will then review the proposed materials to ensure they meet the requirements of the related training package and/or unit of competency.

**45.   Pilot the curriculum**

The developed training is tested as a pilot course and, where necessary, revised. The course is then ready to be fully endorsed.

## Conduct of Training

**46.    Delivery Methods**

For each course the methods of delivery will be outlined in the Trainer's Guide of the relevant training resources. ESAT ensures the resources for delivery, assessment and the issue of qualifications meet the requirements of the relevant endorsed Training Package.

ESA delivers customised training to groups and individuals. Information-based sessions are normally conducted indoors using a variety of aids and styles. Skills-based sessions are delivered in a safe, realistic environment, often outdoors, using equipment and procedures identical to those encountered on-the-job.

Delivery strategies used by ESA are selected to effectively achieve the required competence outcome, whilst giving consideration to adult learning principles. The provision of training may include a combination of off-the-job (i.e. during a classroom based course) and on-the-job (i.e. during an exercise or operation) delivery and assessment.

Some training may include pre-course work and some training may include post-course work. This work is often a mandatory requirement before a statement of attainment or a qualification is issued.

Delivery modes may include, but are not limited to:

- training presentations and activities

- audio/visual presentations

- demonstrations

- group work

- individual projects

- activities

- simulations

- on-the-job training

- computer managed learning

- self-paced learning guides

- site visits

In accordance with the principles of adult learning, participants are encouraged to learn at their own pace and reasonable assistance is provided where necessary to accommodate special needs.

## Workplace health and safety and risk management

**47.    Safety in Training and Assessment**

The ESA is responsible to the volunteers, staff and the general public, to ensure the highest standards of safety are implemented, maintained and practised in all aspects of training.

All competency standards in the training documentation have been enhanced to include workplace health and safety (WHS) provisions wherever they apply. The priority is to provide training and development opportunities to all ESA volunteers and staff, so they can safely do their job and not pose a risk to the safety and health of others.

It is only by the maintenance of safety standards in training that consideration of safety becomes inherent at every level of ESA (both in training and during operations). Significant changes have occurred with the introduction of the *Work Health and Safety Act 2011*. The WHS Act outlines responsibilities of all parties in maintaining safe workplaces.  In the training environment, it is particularly important to note that the primary means of providing a safe working environment is through eliminating, or if elimination is not possible, minimising risk.

A dedicated Safety Advisor should be considered for high risk training activity or where the numbers involved in a course exceed the ability of the Trainer/Assessor to adequately manage safety issues. The responsibility of the Safety Advisor is to ensure that all training is safely conducted in accordance with Service specific safety guidelines.

For further information regarding WHS, please go to
http://www.worksafe.act.gov.au/health_safety

**48.    Risk Identification**

Risk management is an integral part of strategic policy, management responsibilities and operational functions. Therefore, all ESA personnel have a role in, and are accountable for, managing risk. This applies from the identification stage right through to treatment of the risk.

The Lead Trainer or Safety Officer must complete a Risk Assessment Worksheet before the assessment or training course/exercise is conducted.

This will be included with the application to conduct training and will be evaluated by the relevant Service Training Officer or delegate when they consider the application.

**Assessment System**

**49.    Introduction**

The assessment system is a coordinated set of documented policies and procedures (including assessment materials and tools) that ensure assessments are consistent and are based on the Principles of Assessment and the Rules of Evidence.

**50.    Assessment**

Assessment is the process of collecting evidence and making judgements on whether competency has been achieved. Once competent, the individual can perform to the standard expected in the workplace, as expressed by the relevant endorsed industry/enterprise competency standards of a Training Package, or by the learning outcomes of an accredited course. The emphasis is upon whether an individual is competent or not yet competent. All assessment offered by ESA is compliant with the *Standards for RTOs*.

The *Standards for RTOs* specify course assessment strategies, which:

- are valid, reliable, flexible and fair

- support the collection of evidence that is sufficient, valid, authentic and current

- are consistent with the assessment guidelines in the relevant Training Package(s) where nationally endorsed units of competency are used

- ensure that workplace and regulatory requirements, where relevant, are met

- identify and justify any requirements for workplace and/or simulated assessment

**51.    Principles of assessment and rules of evidence**

Adherence to the principles of assessment and rules of evidence are required to ensure quality assessment outcomes. All assessment including RPL is to be in accordance with the training package or accredited course, principles of assessment and rules of evidence.

**Principles of Assessment[1]**

| Fairness | The individual learner's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. 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 |
|---|---|
| Flexibility | Assessment is flexible to the individual learner by: <br><br> • reflecting the learner's needs; <br> • assessing competencies held by the learner no matter how or where they have been acquired; and <br> • 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. |
| Validity | Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. <br><br> Validity requires: <br> • 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; <br> • assessment of knowledge and skills is integrated with their practical application; <br> • assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and <br> • judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements. |
| Reliability | Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment. |

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[1] <u>Standards for Registered Training Organisations</u>

**Rules of Evidence**

| | |
|---|---|
| Validity | The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements. |
| Sufficiency | The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency. |
| Authenticity | The assessor is assured that the evidence presented for assessment is the learner's own work. |
| Currency | The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past. |

A variety of assessment tools can be used in combination to collect evidence of competency, including:

- written assessment

- practical demonstration

- supervisor checklists and reports

- group assessment

- workplace assessment

- simulation exercises and/or role play

- oral questioning

- portfolio

- logbook

- self assessment

Assessment tools are included in the Training Resources for all courses.

## 52. Access and Equity

When training and/or assessing, trainers and assessors need to ensure that candidates are not disadvantaged in the training or assessment process due to cultural or language background, age, gender, religion or disability. Assessors also need to be aware of the ways in which candidates can be disadvantaged in the assessment process and what steps can be taken to ensure that assessment policies and practices take account of individual needs.

This may involve adjusting the assessment process by varying the procedures for conducting assessments or for gathering evidence. Reasonable adjustment involves varying the assessment process to take into account the special characteristics of the candidate while ensuring the validity and reliability of assessment decisions.

**53.  Reasonable Adjustment**

Reasonable adjustment means adjustments that can be made to the way in which evidence of candidate performance is collected. Whilst reasonable adjustments can be made in terms of the way in which evidence of performance is gathered, the evidence criteria for making competent/not yet competent decisions (and/or awarding grades) should not be altered in any way. That is, the standards expected, should be the same irrespective of the group and/or individual being assessed; otherwise comparability of standards will be compromised.

**54.  ESA Assessment Process**

ESA offers three major assessment options. These are:

1.  attending a training course which incorporates training and assessing of Units of Competence from National Training Packages

2.  assessment against the relevant Units of Competency in National Training Packages

3.  recognition of Prior Learning (RPL) through a skills recognition process, examining their experience and/or prior qualifications

**55.  Determining Competency**

A competency standard is a nationally agreed statement of the skills and knowledge required for effective performance of a particular work activity or function. Competency requires the application of specified skills and knowledge relevant to effective participation in an industry, industry sector or enterprise. A person is deemed to be competent when able to demonstrate they have the required skills and knowledge and can apply them in a range of situations in the workplace. This view of competency:

- emphasises outcomes

- focuses on what is expected of an employee in the workplace

- highlights the application of skills and knowledge to workplace tasks

- incorporates the ability to apply and transfer knowledge and skills to new situations and environments

It is important to remember that an assessment outcome of not yet competent is not failure. It simply means that the candidate needs more training or support in some identified areas.

**56.    Feedback to the Candidate**

Useful and clear feedback to the candidate is of primary importance to the assessment process. Feedback should include advice and explanation of the elements of competency achieved and elements of competency not yet achieved. Effective feedback is:

- Constructive

- Balanced

- Actionable

- Relevant

- Timely

As part of the counselling process for candidates who are deemed 'Not Yet Competent', the assessor and where applicable the candidate's supervisor, will provide guidance and assistance in developing proposed remedial action and expected performance outcomes. This will further prepare the candidates for future reassessment.

**57.    Reassessment**

All candidates assessed as Not Yet Competent are entitled to retraining and reassessment. The assessor and/or Service are to ensure that candidates are given adequate retraining time and resources. All candidates are to be counselled about the Not Yet Competent assessment decision and advised of the retraining and reassessment times and dates.

The reassessment must replicate the standards and conditions of the original assessment but may be a different assessment task from that originally attempted. The reassessment may address that part where the candidate was deemed Not Yet Competent or require a full reassessment as determined by the assessor.

**58.    Assessment Steps**

The assessment process is the series of steps that candidates and assessors move through while undertaking the assessment. It includes preparing, conducting, reviewing, and recording the assessment.

The assessment process is part of a broader assessment system that ESA has established to ensure that assessment decisions are fair, valid, reliable and consistent. Wherever possible, assessments will be conducted in the workplace of the person being assessed, using tools/equipment that are usually available. Assessment tools are provided in each course curriculum.

The assessment steps on the following page.

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**Assessment Process Flowchart**

```
                    ┌──────────────────────────────────────┐
                    │   Candidate undergoes assessment      │
                    └──────────────────────────────────────┘
                                     │
                                     ▼
                    ┌──────────────────────────────────────┐
                    │      Candidate receives feedback      │
                    └──────────────────────────────────────┘
                        │                            │
                        ▼                            ▼
              ┌──────────────────┐        ┌──────────────────────┐
              │    Competent     │◄─────  │   Not yet Competent   │
              └──────────────────┘        └──────────────────────┘
                        │                            │
                        ▼                            ▼
    ┌───────────────────────────────────────────┐     ┌────────────────────┐
    │          Candidate receives feedback       │───►│ Candidate appeals  │
    └───────────────────────────────────────────┘     └────────────────────┘
                        │                            │
                        ▼                            ▼
    ┌──────────────────────────┐        ┌──────────────────────────┐
    │ Assessment outcomes form │        │  Candidate may undergo    │
    │ completed and sent to ESA│        │      further training     │
    │        Training          │        └──────────────────────────┘
    └──────────────────────────┘                    │
                        │                            ▼
                        ▼                ┌──────────────────────────┐
    ┌──────────────────────────┐        │    Candidate reassessed   │
    │ Competency recorded on   │        └──────────────────────────┘
    │ student records database │                    │
    └──────────────────────────┘                    ▼
                        │                ┌──────────────────────┐     ┌────────────────────┐
                        ▼                │   Not yet Competent   │───►│ Candidate appeals  │
    ┌──────────────────────────┐        └──────────────────────┘     └────────────────────┘
    │   Unit of Competency     │                    │
    │        awarded           │                    ▼
    └──────────────────────────┘        ┌──────────────────────────┐
                                        │ Candidate receives        │
                                        │ counselling by            │
                                        │ Trainer/Assessor          │
                                        └──────────────────────────┘
                                                     │
                                                     ▼
                                        ┌──────────────────────────┐
                                        │  Candidate may undergo    │
                                        │      further training     │
                                        └──────────────────────────┘
                                                     │
                                                     ▼
                                        ┌──────────────────────────┐
                                        │    Candidate reassessed   │
                                        └──────────────────────────┘
                                                     │
                                                     ▼
                                        ┌──────────────────────┐     ┌────────────────────┐
                                        │   Not yet Competent   │───►│ Candidate appeals  │
                                        └──────────────────────┘     └────────────────────┘
```

**Assessment Process**

| Step | Procedure |
|---|---|
| Step 1 | • Candidate is identified as ready for assessment by trainer/assessor<br><br>• Candidate nominates as ready for assessment |
| Step 2 | • An assessment time and place is negotiated with the candidate<br><br>• Candidate is advised of:<br>   – the purpose of the assessment<br>   – performance standards<br>   – resources available and resources need<br>   – expected duration of assessment<br>   – competencies being assessed<br><br>• This may be in written form or verbal as part of the training format. |
| Step 3 | • The assessor administers the assessment tool(s), gathering sufficient and appropriate evidence to make the assessment judgment. |
| Step 4 | • Assessor evaluates the evidence gathered or provided by the candidate, and makes the assessment judgment.<br><br>• Assessor completes the Assessment Outcomes Form |
| Step 5 | If Not Yet Competent (if deemed Competent skip to Step 10)<br><br>• Assessor advises of assessment outcome and explains the judgment decision using the Assessment Outcomes and Post Assessment Feedback Form<br><br>• The assessor and Service Training Officer (for ACTAS, the ACTAS Manager, Education Services) counsel the candidate, providing guidance and feedback in developing remedial actions and expected performance outcomes. Additional training opportunities may include:<br>   – repeated scheduled training course<br>   – one-on-one coaching<br>   – practice in a particular skill<br>   – mentoring<br>• Trainer/Assessor advises candidate of appeal/complaints mechanisms and provides a copy of the ESA Appeals (Assessment Policy)<br>• Complete reassessment may not be required if a candidate has only been deemed not yet competent in a discrete area(s). |

| Step | Procedure |
|------|-----------|
| Step 6 | • Candidates deemed not yet competent after a third assessment are interviewed by a review panel convened by the ESA RTO that includes appropriate representation from the Service area concerned.<br>• The panel will investigate circumstances of the candidate's inability to achieve competence.  The panel will limit its investigation to matters relating to the training and assessment process.  For any other matters arising, these will be referred to the relevant Chief Officer. |
| Step 7 | • The review panel will produce and submit a recommendation/report regarding an appropriate course of action to the relevant Service Head for endorsement. |
| Step 8 | • The Chair of the review panel will produce documentation outlining the review panel process and outcomes. This document will be given to candidates, and will include the candidate's right to appeal under this policy. |
| Step 9 | • The endorsed course of action is implemented. |
| Step 10 | If deemed Competent:<br><br>• Assessor advises the candidate of assessment outcome |
| Step 11 | • Assessor completes the Assessment Outcomes Form.<br><br>• Candidate and assessor sign the Assessor Checklist & Assessment Outcomes Form.<br><br>• The assessor will return a copy of Assessment Outcomes Form to the candidate.<br><br>• An electronic copy and original of the Assessment Outcomes Form is kept by the ESA RTO, linked to the Statement of Attainment on the ESA training database, and retained for a period of 30 years. |
| Step 12 | • Where training is delivered off-the-job (e.g. centrally, by the ESA RTO), the Trainer will complete a Course Evaluation. This feedback will be used by ESAT to evaluate the course delivered.<br><br>• Where training is delivered on-the-job (e.g. at Brigade level, by a Training Officer, the Trainer will provide feedback to ESAT regarding course evaluation). Informal feedback may also be used for this purpose. |

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**59.** **Misplaced completed assessments**

In accordance with the General Direction: *Retention requirements for completed student assessments items*, issued by ASQA, the ESA are required to maintain all completed student assessment items where the judgement of competency has been made.

In the event that a student's completed assessment items are misplaced the assessor should:

1. Inform the Service Training Officer;
2. Provide a copy of the Training Record Proforma with the student's signature;
3. Provide a copy of the assessment tools used at the time; and
4. Complete a statutory declaration detailing the assessment details, performance of the candidate and judgement of competency.

These are to be forwarded to the Service Training Officer and then to the ESA RTO for processing.

## Recognition

**60.** **What is Recognition?**

Recognition (or Recognition of Prior Learning) is an assessment process that assesses the competency/s of an individual that may have been acquired through formal, non-formal and informal learning to determine the extent to which that individual meets the requirements specified in the training package or VET accredited courses.  Recognition can include:

a. formal learning refers to learning that takes place through a structured program of instruction and is linked to the attainment of an AQF qualification or statement of attainment (for example, a certificate, diploma or university degree);

b. non-formal learning refers to learning that takes place through a structured program of instruction, but does not lead to the attainment of an AQF qualification or statement of attainment (for example, in-house professional development programs conducted by a business); and

c. informal learning refers to learning that results through experience of work-related, social, family, hobby or leisure activities (for example the acquisition of interpersonal skills developed through several years as a sales representative).[2]

ESA volunteers and staff may apply for recognition towards a course that ESA is accredited to deliver, regardless of the method used to obtain the competencies so long as it is in line with the applicant's scope of learning.

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[2] Standards for Registered Training Organisations

**61.    Credit for Prior Studies**

The VET Quality Framework requires an RTO to recognise qualifications that are issued under the AQF (i.e. endorsed competency standards or accredited courses) by another RTO or AQF authorised issuing organisation.  For credit to be granted, the individual must supply:

- AQF certification documentation (original or certified copy); or

- Authenticated VET transcripts issued by the Registrar (USI transcript).

Whilst a candidate may have previously achieved a competency, there may be differences in organisational policies and procedures, other contexts (e.g. industry application) and variables (e.g. currency) that may require a person to further demonstrate their skills and knowledge before being granted an operational role.  Candidates may be asked to participate in local induction programs or to undergo a challenge test to assess competency against ACT operational policy and familiarisation with equipment.

**62.    Eligibility and Application for Recognition**

As an enterprise RTO, the ESA RTO offers recognition services only where:

- the candidate is enrolled with the ESA RTO in the unit of competence/qualification for which RPL is requested

- the unit of competence/qualification is linked to job role or progression requirements of the applicant

The ESA RTO will only issue a full qualification where the ESA has provided some (at least 25%) of the training and/or assessment required to achieve the qualification. The level required is at the discretion of the Manager ESAT.

ESA volunteers and staff, who believe they possess, and can substantiate relevant competencies, may apply for recognition. Applications will be processed on the basis that it is the applicants' responsibility to provide all the evidence required to support their claim for recognition. The recognition awarded through the recognition process is equivalent to the recognition awarded when an individual successfully completes a course qualification/unit of competence.

**63.    Recognition process**

Recognition is a process involving an assessment of an individual's current knowledge and skills even though the evidence produced in support of the claim for recognition may be drawn from the past. Please note that recognition is still a form of assessment and may require detailed evidence and/or a skills challenge test.

**Recognition Process**

```
┌─────────────────────────────────────────────────────────────────┐
│ Applicant contacts the relevant section to obtain applicable      │
│ competency standards                                              │
└─────────────────────────────────────────────────────────────────┘
                              │
                              ▼
┌─────────────────────────────────────────────────────────────────┐
│                    Applicant's Responsibilities                   │
│              Review competencies and collate evidence             │
│      Determine ability to meet the competencies or learning       │
│                           outcomes                                │
│       Collate the relevant evidence aligned to the competencies   │
│                    Complete an application form                   │
│  Send the completed form and collated evidence to the Officer     │
│              noted on the application forms                        │
└─────────────────────────────────────────────────────────────────┘
                              │
                              ▼
┌─────────────────────────────────────────────────────────────────┐
│                    Assessor's Responsibilities                    │
│                        Review application                         │
│  Determine if applicant possesses current competencies and has    │
│                      sufficient evidence                          │
│                   Interview applicant (if required)               │
│          Recognise any nationally recognised qualifications       │
└─────────────────────────────────────────────────────────────────┘
```

**Option 1**
Application successful

**Option 2**
Applicant required to undergo a challenge test or provide further evidence

**Option 3**
Application unsuccessful

Challenge assessment completed
More evidence provided

Applicant successful

Applicant unsuccessful

Applicant informed of outcome

Applicant informed of outcome

Outcome recorded on the database

Plan a training and Assessment strategy

Statement of Attainment or Qualification issued

### 64. Application

The first step in having skills and knowledge recognised is to apply in writing to the ESA RTO. The application must include details of the training package or unit of competency applied for (national code and name of competency). Evidence levels vary between Certificate Levels due to characteristics and distinguishing features (e.g. a Certificate IV requires a greater depth and level of evidence than a Certificate II). The AQF Implementation Handbook provides a comprehensive guideline for each AQF qualification. A summary of the learning outcome characteristics and their distinguishing features for each VET related AQF qualification can be found at AQF.

### 65. Evidence

Guidance will be provided to applicants regarding the type of evidence required.
Evidence required for a relevant Statement of Attainment or qualification must be:

- **Valid**—it must cover all requirements of the unit/s of competency. Your RPL assessor will review the evidence provided in relation to the overall intent of the unit (unit descriptor); assessment requirements (critical aspects of assessment); elements and performance criteria; essential knowledge and skills and the range statement (with particular reference to any must or will statements contained in the range statement).

- **Sufficient**—you need to have sufficient evidence to demonstrate your competency (may require consistent application in a variety of contexts over time with sufficient depth for the qualification level).

- **Current**—your evidence must be reasonably recent. As a guide, contributing qualifications should be no more than five years old and evidence of application of skills and knowledge within the last two years should be provided.

- **Authentic**—you will need to verify that the evidence provided is yours or your own work. (Certificate requirements are outlined below.)

- **Relevant**—evidence provided must be applicable to the qualification/unit of competence.

Evidence may include, but is not limited to:

- practical demonstration

- alignment of objectives and learning outcomes (of non-nationally recognised courses) to a Unit(s) or Element(s) of Competency

- verbal evidence (response to pre-determined questions)

- assessment by a trainer/assessor

- operational logbooks or operational records

- video or photographic evidence

- completed forms

- feedback from clients

- evidence of workplace projects (e.g. action plans, copy of project report, etc)

- interview of referee/s (e.g. Local Manager, Unit/Brigade Training/District Manager)

- personal logbook or diary

- letters of endorsement from a third party

- supervisors reports

- job descriptions

- curriculum vitae

- assignments

- completed self-assessment section of assessment tools

All evidence provided is to be in the form of an Evidence Portfolio where evidence is linked to the relevant Elements of Competency or Learning Outcomes, Performance Criteria, Critical Aspects for Assessment and must/will requirements in the range statement by the applicant.

## 66. Certificate Requirements

Evidence relating to Certificates and/or Statements of Attainment and other training qualifications must be presented as certified copies of the original.

Certified copies need to be appropriately signed by a Justice of the Peace, a Commissioner for Declarations, a trainer/assessor or a staff member of the ESA RTO. Original training qualifications are not to be sent to the ESA RTO. If original documentation is presented in person to the ESA RTO, it will be returned to the applicant once the assessment has been finalised.

If a full qualification was issued and is being supplied as evidence, transcript showing the units and result codes must also be attached.

## 67. Assessment Decision

An application for recognition could result in one of three available options:

1. Assess the applicant as "competent" and the applicant is granted recognition

2. Assess the application as 'not yet competent'

3. recommend the applicant provide more evidence/undertake further training that may include a challenge assessment

Claims will be declined if the applicant refuses to provide further evidence, attend an interview and/or refuses to practically demonstrate their abilities through a challenge assessment. This decision will not be subject to any further appeal. The challenge assessment will be based on the Performance Criteria of the relevant Unit, or Element of Competency.

## Evaluation

**68.  General**

Evaluation is the process of checking how well training has prepared learners for the workplace and whether the original capability requirement has been met. Evaluation may be undertaken by a variety of means including course reports, post-course assessment, on-course assessment and workplace assessment 'on the job'. It should be possible to evaluate each and every course held in ESA, and over time it should be possible to identify each skill used 'on the job' and review its contribution to training and learning outcomes when training resources are being reviewed and created. Responsible personnel should endeavour to review a representative sample.

Responsibilities are:

- Trainers/assessors are responsible for the evaluation of brigade/unit courses. Recommendations and results should be forwarded to the ESA RTO for recording of continuous improvement.

- Each service training area is responsible for the evaluation of their courses respectively. They are responsible for the validation of the training outcomes 'on the job'. Recommendations and results should be forwarded to the ESA RTO for action on an agreed basis.

The ESA RTO will conduct evaluation of all VET courses and may evaluate unit level training (as required).

All training activities developed and delivered by ESA will be reviewed on a periodic basis and improved whenever and wherever necessary.

**69.  Participant Reactions**

Each formal training course must use a Participant Training Evaluation form. Participant Training Evaluation forms are included with training resources, see Appendix C. Trainers/assessors are required to collect evaluation data after every course or activity. All activities conducted at Agency/ Territory level are evaluated. Evaluation data is reviewed by the trainer and/or assessor after every activity. Evaluation must be undertaken, and any issues of note (positive or negative) should be discussed with the ESA RTO.  If a course is to be amended based on feedback, this will be entered in the continuous improvement database.

## Validation and Moderation

**70.    Validation of assessment tools**

Validation is the quality review of the assessment process. Validation involves checking that the assessment tool/s produce/s valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the training package or VET accredited courses are met.  Validation of assessment tools, including RPL tools, is conducted to ensure that the assessment meets the unit of competency(s) and principles of assessment.

The ESA RTO will develop a validation schedule where all training products will be validated at least once every five years, with 50% of the products on scope being validated within the first three years of the five year cycle. The plan will take into account any Training Package updates and any training that is deemed to be high risk. The validation scheduled should be reviewed annually to ensure currency and reflect training package updates.

Training resources are required to be validated before use. They may also be reviewed, in addition to the schedule, if substantial changes have been made to the training resources.

**71.    Validation of Assessment Judgements**

Validation of evidence includes reviewing a statistically valid sample of the completed assessments and making recommendations for future improvements to the assessment tool, process and/or outcomes and acting upon such recommendations. The purpose of conducting systematic validation on assessment judgements is to confirm that judgements are being made correctly, in accordance with the rules of evidence and allows a reasonable inference to be made that assessment judgements have been valid overall.

Statistically valid means for the purposes of the Standards for RTOs, a random sample of appropriate size is selected to enable confidence that the result is sufficiently accurate to be accepted as representative of the total population of assessments being validated.

**72.    People undertaking validation**

Validation of assessment tools, practices and judgements is undertaken by a panel of at least one assessor; one ESA RTO nominated representative and one service representative with subject matter expertise/knowledge who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:

- vocational competencies and current industry skills relevant to the assessment being validated;
- current knowledge and skills in vocational teaching and learning; and
- training and assessment qualification or assessor skill set.

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## 73.    Moderation

Moderation is the process of aligning assessment judgements and standards. It is a process that ensures the same standards are applied to all assessment results within the same Unit(s) of Competency. It is an active process in the sense that adjustments to assessor judgements are made to overcome differences in the difficulty of the tool and/or the severity of judgements. [3]

Moderation involves assessors collectively discussing, comparing, practising and agreeing on assessment methods, assessment tools and assessment outcomes. The process ensures the interpretation of performance standards, benchmarking and assessment judgements, are applied reliably and to the same standard.

**Frequency of moderation:** All assessors should review, compare and evaluate all aspects of their assessment at least once annually. Records of the processes involved in assessment moderation must be kept in order to satisfy the requirements of the Standards for RTOs.

## Training Review Process

## 74.    Training Review

The Training Review Process (TRP) is designed to ensure continuous improvement and quality assurance of the training conducted within the ESA under the scope of the RTO. The training review process uses a validation panel as the authority to recommend to the relevant Chief Officer changes to training for alignment against the VET Quality Framework. The TRP is designed to determine the appropriateness of proposed modifications to curriculum and ensure curriculum changes do not result in the duplication of training, elimination of required training, introduction of unnecessary training, or altered programs without consideration of consequences.

For best practice the TRP is conducted no less than once every two years per course but can be conducted more often, as required. The TRP will provide the subject matter experts (SMEs) with the ability to keep the content of training as current as practicable, while not replacing the need to conduct an evaluation.

## 75.    Responsibilities

**Chief Officer**

In accordance with the *Emergencies Act 2004*, the Chief Officer of the respective service is responsible for matters relating to the professional and technical expertise of the relevant service i.e. training and professional standards. The Chief Officer is responsible for 'what' curriculum is implemented from the capability requirement; including but not limited to, the following:

- new capability is introduced into service

- existing in-service equipment is modified

- operations lessons learnt

- recommendations from an incident/incident report

- increase/decrease in resource allocation, facilities and equipment

- professional standards

- modifications to learning outcomes

- increase or decrease in training duration

- amendments resulting from an analysis or evaluation

## 76. Amendment of Curriculum

Where linked to nationally accredited training, all amendments to curriculum require approval from the Service training officer and the ESA RTO.

Minor alterations not affecting the assessment/unit of competency relationship, may be undertaken in consultation with the ESA RTO without going through the validation process. However, these changes are to be endorsed by the Service L&D. If proposed changes alter the way in which the program meets a unit of competency, this should be discussed and endorsed by the ESA RTO prior to any changes being made.

All endorsed curriculum amendments are to be recorded within the course materials as amendments, and the Service is to inform ESAT in order to complete the ESA Training Continuous Improvement Register to demonstrate compliance against the RTO standards.

## 77. Amendment of assessment tool(s)

To maintain RTO compliance within the VET Quality Framework, the assessment package must holistically meet the evidence requirements of all the units of competency (UOC) in that curriculum and/or multiple curricula which form a course. Where changes to existing assessment tools are proposed, the potential impact these changes may have on the ability to gather sufficient evidence for the associated UOC must be determined.

Where it is determined that the proposed assessment amendment may adversely affect the assessment/UOC relationship, the training officer/instructor/assessor is to consult with the ESA RTO to identify other options that may be workable/presentable for the validation panel.

If the amendment is endorsed, the relevant Service is to implement the amendments in the curriculum. A new electronic version is to be created and saved as e.g. General Rescue_DRAFT V0.1_date, to ensure the integrity, and access to the extant version. The continuous improvement register is updated accordingly by the ESA RTO.

## Appeals and Complaints

**78.** **Appeals**

An appeal against an assessment outcome or process may be lodged at any time if the person undergoing assessment feels they have been disadvantaged or discriminated against. An appeal is a process whereby a client of an RTO, or other interested party, may dispute a decision made by the RTO. The decision made by the RTO may be an assessment decision or may be about any other aspect of the RTO's operations. The Appeals Procedures apply to:

- assessments conducted within a course

- assessments or decision within a recognition (RPL) process

For full details on the appeals process please see the attached Appeals policy.

**79.** **Complaints**

A complaint is a real or perceived grievance that is expressed either verbally or in writing by a complainant. Information produced during the complaints resolution process is kept in trust and divulged only to those with a need to know, with due regard to the requirements of the *Freedom of Information Act 1989 (ACT)* and the *Information Privacy Act 2014.*

Where there is a complaint in relation to training, ESA is committed to observing the following principles**:**

a.	Employees are informed of their rights and responsibilities in the complaints resolution process.

b.	The process is based on a proper consideration of the facts and circumstances prevailing at the time of the complaint.

c.	Decisions are impartial, transparent and capable of review.

Documentation about complaint resolution decisions describes clearly and concisely the grounds upon which decisions were made.

**80.** **Complaints Principles**

For employees in cases involving, for example, the recruitment, selection and appointment process, the breach of standard review procedures as detailed in the Public Sector Management Act 1994 and/or relevant enterprise agreement may apply.

ESA observes the following principles and standards in relation to a complaint:

- recognise the difference between and apply either the complaint resolution procedure or other relevant process

- wherever possible the parties directly affected will resolve disputes

- at any stage of the complaint resolution procedure, the complainant may elect to be accompanied by another representative for support

- where in any case a dispute cannot be resolved by the affected parties, it is to be processed according to the following procedures

**Note:** There are some slight variances across different awards and agreements, for employees. For further information please contact JACS.

## 81.    Complaints Procedure

**Step 1:** The complainant should, if he or she feels comfortable in doing so, attempt to resolve the complaint by approaching the person(s) who is (are) the cause of the complaint.

**Step 2:** If not settled at Step 1, the matter is to be discussed between the complainant, respondent and the relevant operational supervisors or Manager, ESAT.

**Step 3:** If not settled at Step 2, the matter is to be discussed further involving a representative from the relevant Chief Officer and Manager, ESAT.

**Step 4:** If not settled at Step 3, for volunteers, the matter is to be referred formally to the ESA Commissioner who will seek an investigation via a delegated complaints officer and a reply is to be provided in seven working days. For employees, the matter is to be referred through the relevant Collective Agreement grievance procedures.

If after taking up a complaint with the RTO about training, a student is dissatisfied with the outcome of the complaints process, she/he may care to contact the registering body in the ACT.

**The Registering body is:**
The Australian Skills Quality Authority
Ground floor
64 Northbourne Avenue
Canberra ACT 2600
Infoline: 1300 701 801
Web: www.asqa.gov.au

## Document/Version Control

## 82.    Documentation/Version Control of training materials

Version control allows for the identification of the required version of a document. It is critical that all documentation involved in the management of training and assessment is controlled to ensure compliance. Features of the document control system are to:

- control the preparation, distribution, implementation, maintenance and review of documentation

- maintain a list of locations where documentation is held and notify such locations of changes to the documentation

- identify, control and maintain the integrity and currency of coursework materials

- ensure relevant personnel have current versions of ESA documentation and other relevant training publications

Each Service is responsible for ensuring all training and assessment documentation is updated and includes a document version control in the footer. Version control is to be applied to all electronic or hard copy documents, including, but not limited to:

- learner guides and materials

- instructor guides and materials

- lesson plans

- assessor guides

- assessment tools

- on-the-job packages

- recognition packages

- assessment cover sheets

- joining instructions

- mapping of units of competency (UOC)

- evaluation material

- all other training and assessment documents (assessment material which support assessment tools, and exercise and activity instructions)

Each Service is to inform the ESA RTO of any version changes in order to update the document control register.

The ESA RTO is responsible for ensuring the currency of, but not limited to:

- policies and procedures

- the document control register

The ESA RTO will provide quality assurance on all assessment materials and assessment cover sheets submitted for processing against the document control register to ensure the accuracy and integrity of our training and assessment.

**83.** **Document Control—Footer Process**

All documents are to contain a document control footer. The document footer process is to include the following information:

- title of document

- page number

- version number

- review date (annually from the approved date)

- controlled document statement (title page only)

The document footer is to be applied as detailed in the example below:

| | |
|---|---|
| Document Control Register | Page 1 of 1 |
| Version 1.0 of 24 Aug 12 | Review annually by 24 Aug |

This is a controlled document. Any documents appearing in paper form are not controlled and should be checked against the document control register on SharePoint prior to use.

**84.** **Document Control Register**

The ESA RTO will develop, maintain and publish the Document Control Register. The document control register is a table listing all documents that need to be published, maintained and controlled. The register provides details of the current version of the document. It provides users the opportunity to ensure the currency and accuracy of the information available. Each Service is to inform the ESA RTO of any version changes in order to update the document control register. The document control register will be accessible on SharePoint.
http://injacs/portfolio/esa/training/default.aspx

## Training Records

**85.** **Records Management**

Under the VET Quality Framework, keeping accurate training and administration records is a vital component of the training system. The ESA RTO must ensure that it has effective administrative and records management procedures in place. The ESA RTO must ensure the integrity, accuracy and currency of records that include, but are not limited to:

- secure storage, including backup of electronic records

- retention, archiving and retrieval of student results for a period of 30 years and transfer consistent with State or Territory registering body requirements

- retention, archiving, retrieval and transfer of all other records consistent with contractual and legal requirements and the requirements of the State or Territory registering body that has registered the organisation

- compliance with external reporting requirements e.g. the Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS)

- safeguarding any confidential information obtained by the RTO and committees, individuals or organisations acting on its behalf

- ensuring that, except as required under the Standards for Registered Training Organisations or by law, information about a client is not disclosed to a third party without the written consent of the client

- clients are able to access their personal records

The ESA RTO will maintain an accurate recording system for all assessment records and qualifications, consistent with the quality standards required of a RTO. The ESA must maintain up-to-date records of:

- verified qualifications and experience of all staff and persons working on behalf of the RTO as trainers and assessors

- enrolments and participation

- assessment results

- appeals and complaints

Assessment results will be archived and stored electronically by the ESA RTO for the required 30 years.

## 86. Maintenance of training records

The ESA RTO will maintain the training database (currently VETtrak) with records for each member of ACTRFS, ACTSES, ACTAS, ACTF&R and corporate personnel. Records are also maintained for specific skill sets e.g. first aid instructor. Personnel have the ability to review their records at any time. For more information contact the ESA RTO.

## 87. VETtrak governance and access principles

Preservation of the integrity of the database is essential for RTO registration requirements; therefore, different levels of security access will be applied according to demonstrated business need.

All users must abide by:

- all governance (including level of security access) and policy arrangements set by the ESA RTO for use of the system

- all requests for access to VETtrak and any changes to security levels/proposed modifications to the system must be approved by Manager, ESAT

- individual access to VETtrak will be restricted to the relevant Division/Department/Section according to identified business requirement (need to know basis)

- access to the Certificate Reports (for issuing of qualifications/statements of attainment) will be restricted to ESAT staff

- all disputes, if unable to be resolved by the Manager, ESAT will be referred to the Commissioner

**VETtrak Access Levels**

| Access Level | Description | Category | Business Requirement |
|---|---|---|---|
| Security | "Administrator" access | 1, 2 | Management of all security aspects and upgrades of system |
| Advantage Pro | "Write" access | 1, 2, 3, 4, 5, | Creation of new clients with in system and update personal information (within Department/Section); Management of service programs and occurrences; reporting requirements |
| Viewer | "Read only" access | 1, 2, 3, 4, 5, 6, 7, 8, 9, | View client information; produce reports* |

**Key to Access Categories**

| Category | Description |
|---|---|
| 1 | Manager, ESAT |
| 2 | ESAT Support Staff |
| 3 | ACTSES Learning and Development Coordinator / ACTRFS Training Coordinator |
| 4 | ACTSES Volunteer and Community Relations Coordinator<br>ACTRFS Volunteer Support Officer<br>Parks Fire Training Officer/Admin support staff nominated by Parks Fire Training Officer |
| 5 | ACTAS General Manager, Education; Clinical Educators; Communications Educator; Administration Support Officer – Education Unit |
| 6 | ACTSES Deputy Chief Officer; Operations and Capability Coordinator; Logistics and Resource Coordinator; Manager Capability & Business Improvement<br>ACTRFS Operations Manager |
| 7 | ACTF&R Commanders (limited to their platoon only)<br>ACTF&R Firefighter Development staff |
| 8 | ACTSES Volunteers – Commander, Admin Officer and Training Officer of each unit (limited to their unit only) |
| 9 | ACTRFS Volunteers – Brigade Training Officer and one other nominated by the Brigade |

* Access to the report functionality is restricted and will be provided on a demonstrated needs basis and limited on a 'need to know' basis.

**Financial Management**

**88.** **Finance**

For all issues relating to financial management refer to the Chief Executive Officers Financial Instructions and Delegations.

**Using External Training Providers**

**89.** **Basic principles**

The ESA may use external providers to provide training where ESA resources are not available or the training is not within ESA scope to deliver or assess specific courses. External providers are only to be used when they can offer timely and economical training.

**90.** **Selection of external providers**

External providers are selected on the following criteria:

- Chief Executive's Financial Instructions will be adhered to throughout the process of selection.

- ESAT can advise if there is a preferred provider or a provider is on contract. If a contracted training organisation is not available locally, then the preferred requirement is that the external training provider is an RTO where available.

- If external providers are delivering Nationally Recognised Training, the Units of Competency must be registered on their RTO scope. If ESA will be the issuing RTO, a Partnership Agreement must be in place for all such providers (refer to partnership arrangements).

- When an RTO is not available, another reputable training organisation may be engaged with regard to agency needs and value for money.

- The training provider must be prepared to offer training at a time and venue to suit ESA or service needs, and any special needs of staff and volunteers.

- ESA has a training arrangement with some providers, whereby external training is provided to ESA staff/volunteers at low or no cost in exchange for reciprocal training provided to staff of the external provider at low or no cost.

**91.  Value for money**

In all circumstances external providers will be selected by using the following process. Value for Money (VFM) is a qualitative decision based on the model below.
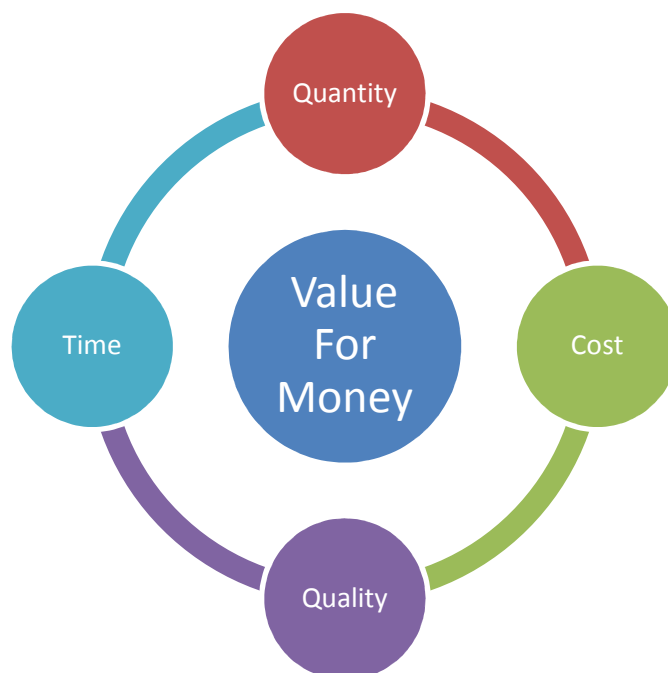


Each of the four components form part of the procurement selection criteria issued to the market.

This can be simply described as:

**Value for Money (VFM) = Submitted Price ($)**
**Weighted score**

This ensures that the lowest price is not automatically accepted, but the selection decision takes into account all relevant considerations and ensures the highest quantity of the best quality product, in the quickest possible time at the lowest possible price. This ensures value for money for the Territory, an open and transparent procurement process and the best possible product for staff, volunteers and the community.

## Confidentiality and Privacy

**92.  Confidentiality and Privacy**

Privacy and access to the information kept about ESA volunteers and staff is an important issue. ESA is committed to maintaining volunteer and staff privacy and restricting access to information (including training information) on a "need to know" basis.

The ESA RTO maintains the privacy and confidentiality of all participants and as such, the personal records of individuals will not be disclosed to a third party without prior written consent. Records will be kept in secure location safe from theft, fire or flood.

For more information the *Information Privacy Act 2014* can be accessed at http://www.legislation.act.gov.au/a/2014-24/default.asp

**93.  Supporting Documentation**

All forms referred to will be located on the ESA Sharepoint site, along with this Policy in order to allow staff to access the extant version.
http://injacs/portfolio/esa/training/default.aspx

**94.  Related Material**

| Name | Location (document path) | Document Type |
|------|--------------------------|---------------|
| ESA P008 Training Centre Governance | http://injacs/portfolio/esa/training/default.aspx | Policy |
| ESA Student Code of Conduct | http://injacs/portfolio/esa/training/default.aspx | Guideline |
| ESA Trainer and Assessor Code of Conduct | http://injacs/portfolio/esa/training/default.aspx | Guideline |
| Australian Qualifications Framework | http://www.aqf.edu.au/ | Framework |
| Australian Skills Quality Authority (ASQA) | http://www.asqa.gov.au/ | Regulatory body |
| Data Provision Requirements | http://www.comlaw.gov.au/Details/F2013C00497 | Instrument |

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| Fit and Proper Person Requirements | http://www.comlaw.gov.au/Series/F2011L01341 | Instrument |
|---|---|---|
| Standards for VET Accredited Courses | http://www.comlaw.gov.au/Details/F2013L00177 | Instrument |
| Information Privacy Act 2014 | http://www.legislation.act.gov.au/a/2014-24/default.asp | Legislation |
| Standards for Registered Training Organisations | http://www.comlaw.gov.au/Details/F2014L01377 | Legislation |
| training.gov.au | http://training.gov.au/ | Framework |
| Users Guide to the Standards for RTOs 2015 | http://www.asqa.gov.au/users-guide-to-the-standards-for-registered-training-organisations-2015/users-guide-to-the-standards-for-registered-training-organisations-2015.html | Guide |

## 95. Policy Development

This policy has been developed, based on the ESA Training Procedure Manual. The draft policy was sent out to stakeholders during the policy development for comment.

## 96. Acknowledgments
ESA Training Practice Working group members
ESA Executive

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## Assessment Validation Checklist

1.  Book validation panel

    - It is optimal to have three assessors. One RTO representative, one service representative with subject matter expertise/knowledge and one external service representative. The aim is to have a mix of skills and knowledge to give breadth and depth to the validation process.
    - Where this is not possible the minimum requirement is a panel of two assessors. One RTO representative and one service representative with subject matter expertise/knowledge.
    - Consider the amount of materials you will be reviewing and allocate time accordingly.

2.  Gather required materials

    Ensure this is done well in advance of the validation session so you can make best use of the panel and avoid any delays or rescheduling.

    You will need the following:

    - AQF packaging rules for the relevant training package and/or qualification level.
    - Relevant AQF certificate level requirements.
    - A copy of the unit or units being validated or contributing to the validation. Where multiple training resource kits (TRK's) have been mapped back to one unit you will require the mapping document as well.
    - ALL training and assessment materials for candidates and assessors.
    - Overview of delivery and assessment strategy.
    - Evidence of trainer and assessor qualifications
    - Evidence of research, resources and subject matter expert consultation/input.
    - Any additional candidate information relating to training and assessment procedures that are not included in the above materials.
    - ESA Training 'Record of Assessment Validation' tool.
    - A quiet venue free from interruptions.

3.  Complete assessment validation exercise using the 'Record of Assessment Validation' tool.

4.  Ensure recommendations are clearly communicated to the relevant organisation and responsible staff member for follow-up/implementation if required.

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**Record of Validation**

Date: _____

| Confidentiality agreement | | | |
|---|---|---|---|
| **In order for all participants in assessment validation meetings to feel comfortable and confident regarding the confidentiality of the meeting,** all participants are informed that in signing below they are also expressing their agreement with the confidentiality clause.<br><br>There also needs to be an understanding of confidentiality with respect to the performance of<br><br>other assessors in the validation group, for example non-disclosure of personal information and<br><br>respect for professional integrity.<br><br>The principles of confidentiality include:<br>• **No copying or use of material made available for validation, except by express permission of the owner**<br>• **Respect ethical considerations and copyright**<br><br>I agree to observe the principles of confidentiality with regard to assessment plans, process<br><br>documentation, assessment tools and candidates' work shared in the validation group.<br><br>**I will not use this information for commercial advantage for any other reason which is not acceptable to the moderation group or under the code of ethics for assessors.** | | | |
| Date: | | Time: | |
| Venue: | | | |
| Signed (participants): | | | |

## Training and Assessment Appeals Procedures

**Objectives and Application**

Under this section, procedures are established for students to seek a review of training and assessment outcomes. These procedures must be applied in accordance with the principles of natural justice and procedural fairness and in a manner that promotes the values and general principles of the ACTPS. These procedures apply to all students of the ACT Emergency Services Registered Training Organisation.

**Lodging an Appeal**

Unless it would not be appropriate, a student should first discuss their concerns about an action or decision with the relevant assessor or Service Training Officer with a view to resolving the matter within the workplace or training environment before initiating review under these procedures. A student may initiate the review under this procedure by making an application to the Manager, ESAT that:

a.   Is in writing; and

b.   Identifies the action in which the employee seeks review of, and the effect on the student of that action; and

c.   Describes the outcome sought

Applications for a review must be submitted within fourteen (14) days of assessment outcome. This time period can be extended at the discretion of the Manager, ESAT.

**Manager, ESAT Responsibilities**

On receipt of the application the Manager, ESAT, will acknowledge the request in writing within seven (7) days. The Manager, ESAT, must arrange for an application to be reviewed by an independent person (the Reviewing Officer), within 14 days, who is:

a.   An individual who was not involved in the original action/decision; and

b.   Holds relevant Trainer and/or Assessor qualifications. Reviewing officer to be appointed in consultation with the relevant service's chief officer (where applicable)

The Manager, ESAT, must provide the Reviewing Officer with the Terms of Reference that outline the scope of the review. The terms of reference will include provision for the reviewing officer to contact the assessment team. The terms of reference must clearly articulate the parameters of the review (i.e. the assessment process, task).

The Manager, ESAT, will write to the appellant and relevant Chief Officer where applicable:

fully informing appellant of the appeals process, providing a copy of the terms of reference and providing access to all the relevant documents.

**Responsibilities of the Reviewing Officer**

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The Reviewing Officer must complete their review and respond to the Manager, ESA Training within 30 days of appointment.

The Reviewing Officer must have due regard to the principles of natural justice and procedural fairness and act with as little formality and as quickly as practicable consistent with a fair and proper consideration of the issues. This includes ensuring that the Reviewing Officer contacts both the Appellant and relevant trainers/assessors involved in the training/assessment decision under appeal.

The Reviewing Officer may recommend to the Manager, ESAT, that an application should not be considered based on any of the following grounds:

a.    The Reviewing Officer believes on reasonable grounds that the application:

   i.    Is frivolous or vexatious;

   ii.    Is misconceived or lacks substance;

   iii.    Should not be heard for some other compelling reason.

If the Reviewing Officer does make a recommendation that an application should not be considered, the Manager, ESAT, must either:

a.    confirm the recommendation that an application should not be considered; or

b.    arrange for another reviewing officer to consider, review and investigate the application.

The Manager, ESAT, will inform the appellant in writing, within fourteen (14) days of any decision, including, the reasons for any decision not to consider an application.

If the Reviewing Officer agrees that an application should be considered, then the Reviewing Officer must investigate the application. The purpose of the investigation is to:

a.    determine the facts and circumstances surrounding the decision;

b.    provide the Manager, ESAT, with sufficient information to enable the Manager, ESAT to make an informed decision on the substance of the appeal within 30 days of appointment: and

Subsequent to the investigation, the Reviewing Officer will present a written report to the Manager, ESAT, detailing the recommendation(s) on whether the action that led to the application should be confirmed, varied or that other action be taken. A copy of this report will be provided at the same time to the applicant and any other relevant parties.

The appellant and other listed parties may respond to any aspects of the report. Such a response must be in writing and be provided to the Manager, ESAT, within seven (7) days of the applicant receiving the report.

The Manager, ESAT, after considering the report from the Reviewing Officer and any response by the appellant/other parties to the report of the Reviewing Officer, may:

a.    Confirm the original action;

b.    Vary the original action; or

c.    Take the other action the Manager, ESAT, believes reasonable.

The Manager, ESAT, will inform the applicant in writing, within fourteen (14) days, outlining the reasons for the decision.

### Right for External Review

If the appellant or other parties are still unhappy with the outcome, they may seek a review of a decision of the Manager, ESAT through:

a.    The Commissioner (Head of the RTO); or

b.    Australian Skills Quality Authority (ASQA)

### Actions of the Manager, ESAT

If applicable, a reassessment will be recommended to the Manager, ESAT. If the Manager, ESAT, accepts the recommended reassessment, the Manager, ESAT will:

a.    Arrange with the applicant a reassessment;

b.    Where possible will organise an independent assessor; and

c.    Offer the applicant to nominate an independent observer.

The applicant may refuse to be reassessed. The Manager, ESAT will refer the applicant to the relevant Chief Officer.

### Award and Record Management

If appropriate, ESAT issues a Statement of Attainment/Certificate of Qualification and forwards to the applicant.

ESAT records the appeal outcome and places a copy of the written notification on the applicants training file.

### Feedback and Debriefing

The Manager, ESAT, must invite all involved in the appeal process to an appeals process debrief within a reasonable time frame.

The Manager, ESAT must provide opportunity to all involved to provide feedback on the appeals procedures and process.

**Procedures where the Subject of the Application is an Action of the Manager, ESAT.**

Where the subject of the application is an action of the Manager, ESAT, the appeal application should be submitted to the relevant Chief Officer.

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The Chief Officer will follow the appeal process as outlined in this section.

Upon receiving the report from the Reviewing Officer, the Chief Officer recommend to the Commissioner of ACT Emergency Services Agency that:

a.      The original action be confirmed; or

b.      The original action be varied; or

c.      Other action be taken.

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## Appeals Procedure

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