Australian Skills Quality Authority

Provider Information Sessions

- Audits, evidence and SNR 15.5
- Transition and teach-out

Jane Holt

Regional Compliance Manager, Darwin

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Australian Government

Australian Skills Quality Authority

Standards less prescriptive

Regulation moved away from prescriptive standards to:

- outcomes oriented
- room for innovation

Function of regulator moved from providing advice and opportunities for rectification to being an impartial regulator – providers demonstrate how they comply

Training packages provide detailed direction of how to deliver training and assessment

Standards enable flexibility and innovation to meet the needs of industry and students

Evidence

ASQA does not prescribe the type/s of evidence required to demonstrate compliance

- every business operates differently and should develop individual strategies for compliance

NSSC standards review

- prescriptive guidance material becomes de facto standards
- type and depth of evidence required for compliance varies depending on provider
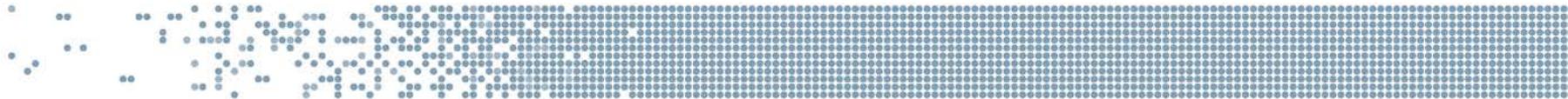
Evidence

Evidence includes but is not limited to:

- internal policies and procedures

- internal manuals/handbooks/templates/forms

- strategy documents

- staff recruitment/induction/professional development information

- staff information/profiles

- records of engagement with industry/Industry Skills Councils

- records of agreements with any partner organisations

- any relevant licences
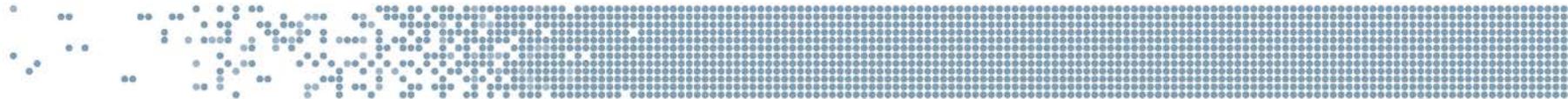
Evidence

- sample of marketing/advertising/website material

- mapping information

- sample course material

- moderation and validation information

- record of student enrolments

- record of issued certificate/statements of attainment

- survey results/student feedback

- complaints information
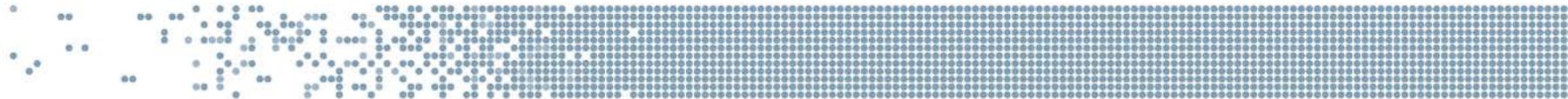
ASQA audit processes

- audits are conducted either in response to an application (initial, renewal, change, post-initial audits) or in response to identified risks

- strategic industry reviews are also conducted in response to identified high-level risks across an industry or training product

- audits are conducted against the *Standards for NVR Registered Training Organisations 2012* (SNR)

ASQA audits

- auditors audit against the relevant standards (SNR, training package, accredited course, AQF)

- not all standards and not all training products on scope are audited at all audits

- during the audit, seek clarification if you are unsure of or disagree with the auditor's findings (eg 'can you please show me where in the standard that requirement is stated?')

- if non-compliances are identified, a rectification period is applied where additional evidence can be provided

- when submitting rectification evidence, submit only what is relevant and ensure that it is clear what it is intended to address

ASQA audit processes

Post-audit process

- if compliant

- if not compliant

- rectification

- post rectification – if non-compliant
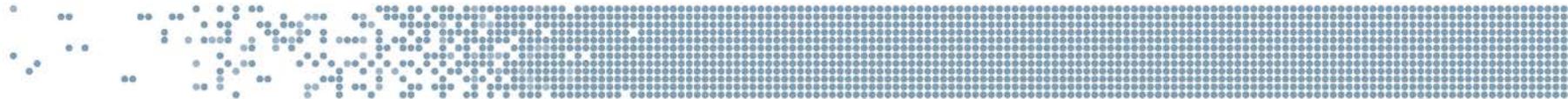
Compliance with Standard 15 – Quality training & assessment

Audits of existing RTOs 1 July 2012 – 30 June 2013

Legend:
- Compliance at initial audit
- Compliance following rectification
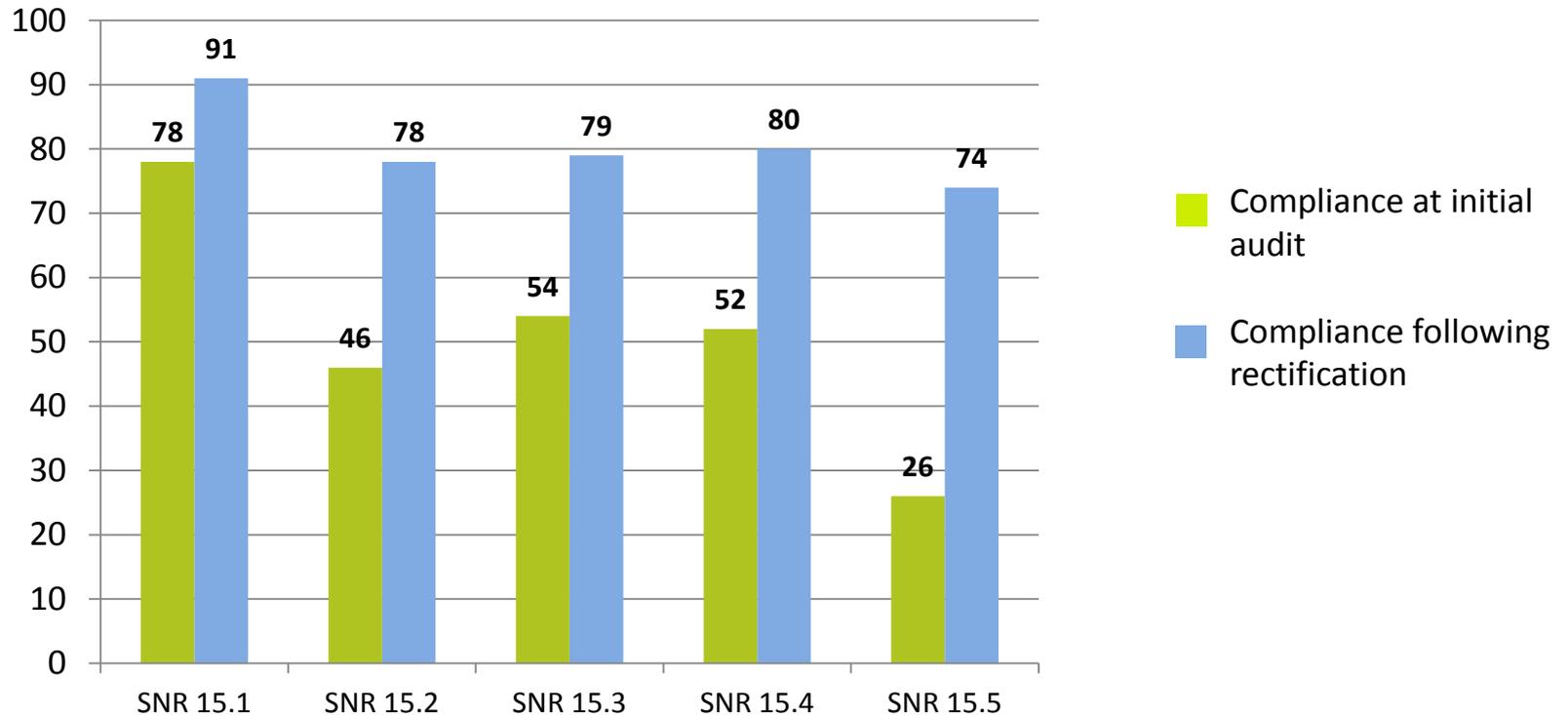
SNR 15.1 Continuous improvement of training and assessment
SNR 15.2 Training meets requirements of training package
SNR 15.3 Required staff, facilities, equipment and materials

SNR 15.4 Qualified and competent trainers and assessors
SNR 15.5 Assessment done properly

15.5 – focus on assessment

Assessment including Recognition of Prior Learning (RPL):

a) meets the requirements of the training package or VET accredited course

b) is conducted in accordance with the principles of assessment and the rules of evidence

c) meets workplace and, where relevant, regulatory requirements

d) is systematically validated.

- is the assessment conducted in accordance with the principles of evidence and the rules evidence?

- is competency based assessment fully understood and implemented properly?

- can you provide evidence to demonstrate the systematic validation of assessment materials?

Standard 15.5 – focus on assessment

Using third-party evidence to assess competence

- only people who hold competencies as determined by the NSSC may judge competence

- an assessor may use information about what a third party has observed a learner to do when making a judgement about competence

Records of assessment must substantiate competency judgements and the basis for those judgements
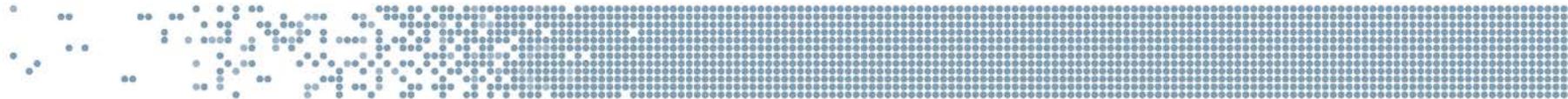
Quality assessment

Among other things assessment must:

- meet the requirements of the relevant training package or accredited course

- meet workplace and where relevant, regulatory requirements

- validation - systematic

Definition of assessment

Assessment as defined in the Standards

- the process of collecting evidence and making judgements on whether competency has been achieved

- to confirm that an individual can preform 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 a VET accredited course
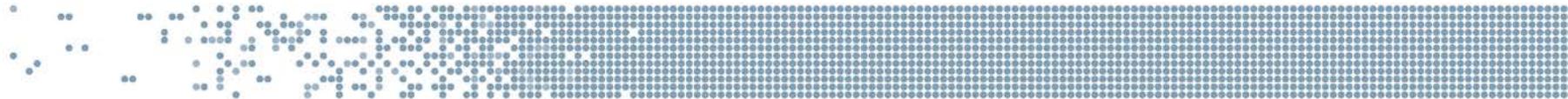
Requirements of assessment tools

Definition of 'assessment tool' from ASQA's general direction: *Retention requirements for completed student assessment items*

Assessment tools include the following components:

- the **context** and **conditions** of assessment

- the **tasks** to be administered to the student

- an **outline of the evidence to be gathered** from the candidate and **evidence criteria** used to judge the quality of performance (ie the assessment decision-making rules)

This term also takes in the **administration, recording and reporting requirements**, and may address a cluster of competencies as applicable for holistic assessment

Principles of assessment

Four principles of assessment: (Standard 15.5)

Validity – the evidence must prove that the individual has the required skills and knowledge as specified in the relevant unit of competency

Reliability – reliability is an estimate of how accurate or precise the task is a measurement instrument

Fairness – consider the individual candidate's needs and characteristics. Fully inform the candidate about the assessment process. It requires clear communication

Flexibility – assessments draw on a range of methods appropriate to the context, the competency and the candidate's situation
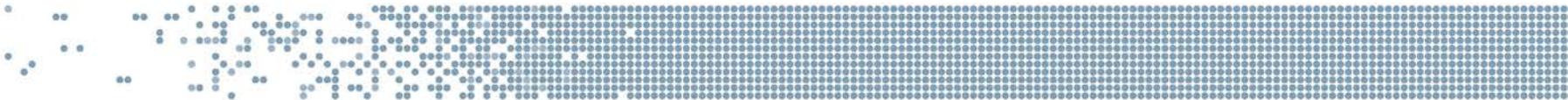
Rules of evidence

Four rules of evidence: (Standard 15.5)

Validity – assessment evidence gathered has direct relevance to the unit's learning outcomes

Sufficiency – relates to the quantity and quality of the evidence assessed

Authenticity – systems are in place to ensure the evidence is the candidate's own work

Currency – the age of the evidence is relevant here. Is it from the recent past?
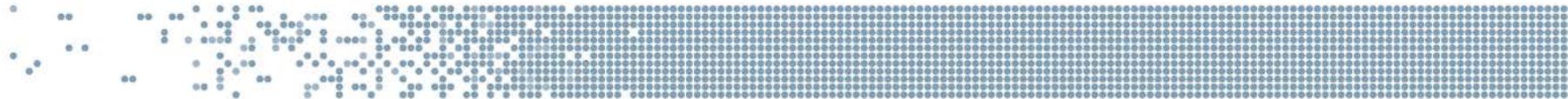
Transition and teach-out

What is transition?

All actions required to change the delivery operations of an RTO from an existing training product to a replacement endorsed or accredited training product; including resourcing, registration and transfer of students

What is teach-out?

Allowance to complete all training, assessment and qualification issuance of current students in an inactive training product, following expiry of any applicable transition period of the training product's replacement
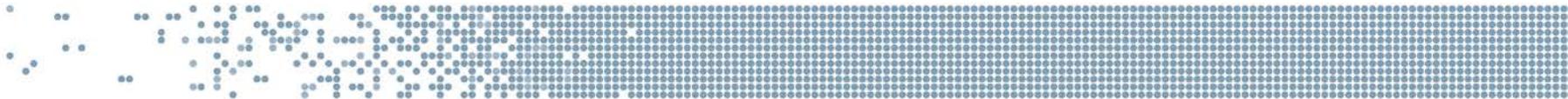
Transition and teach-out

General direction: transition and teach-out

- made under section 28(1) of the *National Vocational Education and Training Regulator Act 2011* (Cwlth) (the Act).

- it is a condition of registration that an ASQA RTO must comply with any such general directions

- the purpose of this general direction is to guide ASQA RTOs in implementing the requirement (refer *Standards for NVR Registered Training Organisations 2012* **SNR 25**) that they manage the transition from superseded Training Packages and accredited courses. It also guides RTOs in managing the transition from superseded units of competency, and from deleted Training Package qualifications and expired accredited courses, as well as describing arrangements to teach-out students enrolled in superseded or deleted qualifications or superseded or expired accredited courses

- when assessing compliance, ASQA will consider an overarching principle that an RTO must deliver the current (endorsed or accredited) training product to a student, unless the student would be genuinely disadvantaged in undertaking that product

Transition and teach-out

What this means for superseded training package qualifications

- 'Application to change registration' form (via ASQAnet) if RTO intends to offer the replacement

- transfer of students no later than 12 months from the date of publication of replacement

- provide timely advice and guidance to students

- teach-out period for current students only up to six months after the 12 month transition period – total 18 months

    o students who have not completed the superseded qualification must be transferred (or finished)

- exceptions – where exceptional circumstances apply

- applications for teach-out beyond 12/18 month timeframes not required

Transition and teach-out

What this means for superseded training package qualifications (continued)

- new students can be enrolled in a superseded training component up until the end of the expiry period (12 month transition period) or until replacement qualification is on RTO scope

- no new students in teach-out period, i.e. the six month period following the 12 month transition period

- a superseded product remains on RTO's scope during transition period (for 12 months)

- products with 'teach-out' status no longer appear on RTO's current scope on training.gov.au – moved to RTO's historical scope and can be viewed by selecting the 'Display history' checkbox on training.gov.au

- issuing of testamurs - until the end of the teach-out period (18 months). Only a replacement of a previously issued version allowed beyond this period

Transition and teach-out

What this means for expired accredited courses

- 'Application to change registration' form required if RTO intends to offer the new accredited course

- applications not required for teach-out beyond 12/18 month timeframes

- teach-out period up to 18 months after the publication of the expiry on training.gov.au for current students only.

- exceptions – where exceptional circumstances apply

- no new students can be enrolled for any expired or cancelled accredited courses

- products with 'teach-out' status no longer appear on RTO's current scope on training.gov.au – moved to RTO's historical scope and can be viewed by selecting the 'Display history' checkbox on training.gov.au

- issuing of testamurs – up to 18 months after the publication of its expiry on training.gov.au

Transition and teach-out

What this means for (explicitly listed) units of competency

- 'Application to change registration' form (via ASQAnet) if RTO intends to offer the replacement no later than 12 months from the date of publication of replacement, however not for those units that are a new version of the same unit

- transfer of students no later than 12 months from the date of publication of replacement

- provide timely advice and guidance to students

- applications for teach-out beyond 12 month timeframes not required

- teach-out period for current students only up to 12 months after the publication of the replacement unit on training.gov.au

  o a student who has not completed a superseded unit by the 12 months following the publication of its replacement may be transferred to the replacement units

  o the student must not be required to transition to the replacement unit

Transition and teach-out

What this means for (explicitly listed) units of competency (continued)

- exceptions – when exceptional circumstances apply

- new students can be enrolled up to 12 months once the unit has been superseded provided that the RTO is able to train, assess and issue a statement of attainment prior to the 12 month transition period expiring

- superseded products remain on RTO's scope during transition period (for 12 months)
  - products with a status of 'teach-out' no longer appear on scope on training.gov.au these products have been moved to RTO's historical scope

- issuing testamurs – up until end of 12 month transition period

Transition and teach-out

What this means for deleted training package qualifications

- timely advice and guidance must be provided to students on alternative training package qualification or accredited course

- teach-out period for current students only up to 18 months after the publication of expiry on training.gov.au

- applications for teach-out 18 months timeframes not required

- exceptions – where exceptional circumstances apply

- no new students can be enrolled for any deleted qualifications

- qualifications and units of competency deleted from a training package without being replaced no longer appear on RTO's scope on training.gov.au but can be viewed through 'Display history'

- issuing testamurs – up to 18 months after the publication of its expiry on training.gov.au

Transition and teach-out

What this means for cancelled accredited courses

- no transition arrangements apply
- each RTO with the course on its scope at the time of cancellation will be advised regarding specific teach-out arrangements

General direction: transition and teach-out

- it is a condition of registration that RTOs comply with the general directions issued by ASQA

More information

- ASQA website – asqa.gov.au

- Call the ASQA Info line – **1300 701 801**

- Email to – **enquiries@asqa.gov.au**

- Subscribe to the **ASQA Update**

- Online applications and payment of fees – **ASQAnet**