

Section 2

Assessment Guidelines

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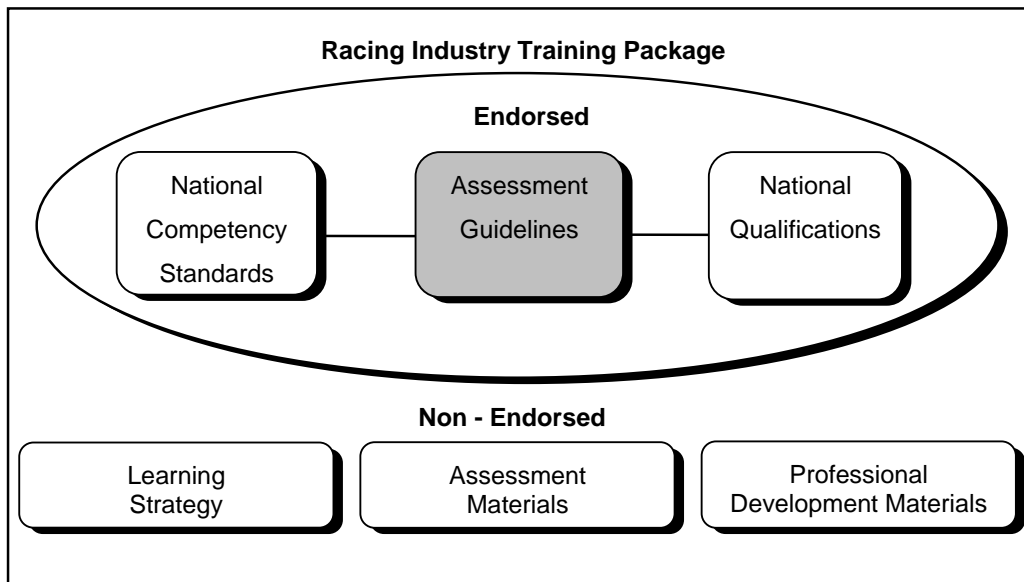
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Assessment Guidelines

Description

The Racing Industry Assessment Guidelines form one of the three endorsed components of the Racing Industry Training Package. They describe the industry assessment system



Assessment

Assessment is the process of collecting evidence and making judgements on whether competency has been achieved. As such, the purpose of assessments is to confirm that an individual can perform to the standard expected in the workplace as expressed in the relevant industry or enterprise specific competency standards.

National Training Packages incorporate industry assessment arrangements for a national assessment system. The arrangements are described in these Assessment Guidelines.

Structure of Assessment Guidelines

The Racing Industry Assessment Guidelines describe the assessment system to be used in the Racing Industry. The components of the Assessment Guidelines are:

- Assessment System Overview;
- Assessor Qualifications and Training;
- Guidelines for Designing Assessment Materials;
- Guidelines for Conducting Assessments;
- Sources of Information on Assessment.

These guidelines are designed to be read in conjunction with the industry guidelines as published by Racing Training Australia.

Assessment System Overview

Key Features of Racing Industry Assessment System

Key features of the Racing Industry Assessment System are:

- one national assessment system developed on behalf of the racing codes' industry peak bodies by Racing Training Australia;
- a system designed to ensure the validity, reliability and fairness of assessments conducted on and off the job;
- assessment and outcomes recorded against a set of endorsed national industry competency standards;
- assessment undertaken by qualified assessors;
- an assessment appeals process.

Benchmarks for Assessment

Assessment is to be conducted against a set of endorsed national industry competency standards identified by the Racing Industry. The Racing Industry competency standards are the benchmark for assessment in this industry.

A full list of the National Racing Industry Competency Standards can be found on pages 7 and 8 of Section 3.

Additional competency standards identified as applicable to the racing industry are:

- Competency Standards for Assessment;
- Workplace Trainer Competency Standards;
- National Small Business Competency Standards (when endorsed);
- Generic Management Competency Standards for Frontline Management;
- Road Transport and distribution;
- Other standards as reviewed from time to time.

Registered Training Organisations

Training organisations registered nationally by State or Territory Training Authorities will deliver a range of training and assessment services and products associated with the training package. Registered Training Organisations will issue qualifications obtained through this training package. Registered Training Organisations will work with the racing industry in partnership to develop the arrangements that meet industries requirements for quality training outcomes.

A Training Organisation registered with the relevant State or Territory Training Authority to deliver training and/or conduct assessments defined within the Racing Industry Training Package will need to meet the resource requirements listed in the Evidence Guides of each of the Racing Industry Competency Standards.

A Training Organisation must have access to assessors who are competent against the Assessment Competency Standard.

Responsibilities of Registered Training Organisations

The responsibilities of Registered Training Organisations (RTO) are detailed in the Australian Recognition Framework. In particular RTO's undertaking delivery of training and assessment through the Racing Industry Training Package are to:

- record and maintain records of all competency standard assessment, including on and off job assessment, where required;
- issue all relevant qualifications, including Certificates, Diplomas and Statements of Attainment;
- undertake and auspice on and off job assessment of competency standards, using qualified assessors as described in these guidelines;
- work in cooperation with the State or Territory Training Authorities and the racing industry in each state through Racing Training Australia to maintain relevant information pertaining to industry developments, legislative requirements and other industry issues.

Assessment

Assessment by Registered Training Organisations for national recognition purposes must be consistent with the Australian Recognition Framework, and:

- be undertaken by, and / or auspiced through, a qualified assessor;
- be conducted under quality assurance arrangements specified by State or Territory Training Recognition Authorities
- ensure that assessment is within the range of variables defined in the Racing Industry Competency Standards.

Partnerships

The national industry training body for the Racing Industry (Racing Training Australia) will promote and assist in the establishment of relationships between itself, the State / Territory Training Authorities and Registered Training Organisations.

Racing Training Australia in each state will participate in partnership arrangements with the State/Territory Training and Recognition Authorities to ensure that quality assurance mechanisms operate successfully with regards to the Racing Training Package.

Assessment Pathways

National Qualifications

The National Qualifications component of the Racing Industry Training Package describes the range of qualifications available on successful completion of a set or cluster of competency standards. The qualifications are outlined in detail in Section 3 - National Qualifications.

Assessment outcomes are recorded by the Registered Training Organisation. When an individual has successful assessment outcomes recorded against all the competency standards required for a qualification, he/she will be issued the relevant Certificate or Diploma by the Registered Training Organisation. Individuals who have not completed all necessary competencies to receive a qualification will be issued with a Statement of Attainment for competencies achieved.

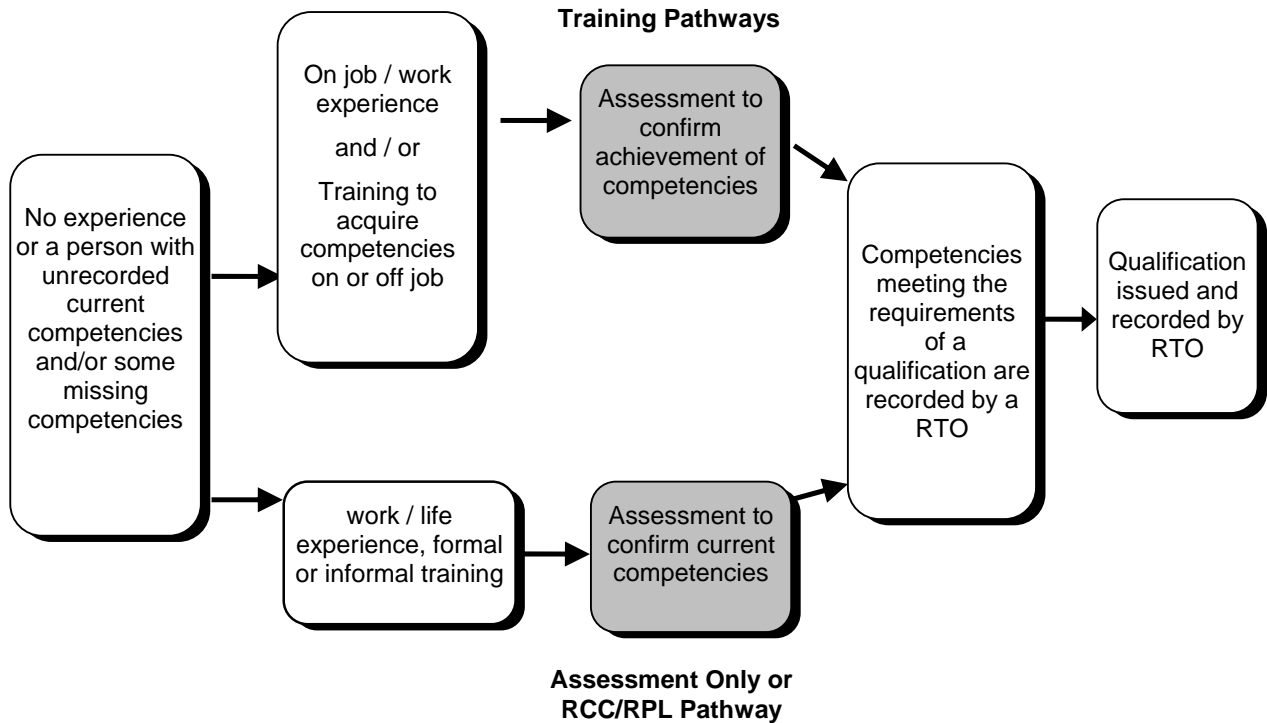
Pathways to a Qualification

The Racing Industry Training Package describes the industry's required skills, knowledge and attitudes in the Racing Industry Competency Standards. The industry is not concerned with how the required competence has been achieved only that it is achieved. Consequently assessment may occur:

- either on or off the job or in combination;
- to confirm achievement of competency at the end of a segment of training;
- during the completion of an employment based training program, such as an apprenticeship or traineeship under the new apprenticeship arrangements;
- to confirm achievement of competency attained through previous formal or informal learning and/or work experience.

The following diagram shows the different assessment pathways leading to a qualification in the racing industry.

Pathways to a Qualification Cont:



Training Pathway Options

- 1) The training pathway caters for those that undergo training either on or off the job or in combination to complement their workplace experience. Training can be in short segments, training towards single or multiple units of competency or can be undertaken in an employment-based program, such as an Apprenticeship or a Traineeship as described in the new apprenticeship arrangements.
- 2) Training pathways are suitable for new entrants to the industry, such as trainees and apprentices. Students involved in secondary studies could also be participating in off job training and part time employment to develop competencies required for a vocational qualification.
- 3) Training pathways are also available for inexperienced or experienced workers who are missing all or some competencies and require segments of training either on or off the job to achieve the relevant competencies or qualification.

Assessment Only Pathways

Workers are able to undergo assessment to have their current competencies recognised. It is feasible that experienced workers may be recognised as competent in many units of competency and are able to be issued with a qualification without the need for additional training.

Recording Assessment Outcomes

Statements of Attainment

Statements of attainment and qualifications are issued by Registered Training Organisations. Persons being assessed must register/enrol with a Registered Training Organisation to access a qualification.

The racing industry regulates the number of licensed persons and issues licences in certain occupational categories such as jockeys. The issuing of a qualification does not automatically result in the issuing of a licence. A statement of attainment lists an individual's successful assessment outcomes, both on and off job, recorded against competencies.

Licensing

It should be noted that the Rules of Racing, various State and Territory legislation pertaining to racing and gaming, and other agreements operating in the industry stipulate the requirements for the granting of licenses, permits, registration and discipline for various occupations in the Racing Industry such as trainers, stewards, jockeys, track riders/drivers, and in some States and Territories stable/kennel hands. These rules have implications for the conduct of assessment of Racing Industry competency standards and for the issuing of qualifications.

Qualifications

Qualifications are issued to individuals who are recorded as competent against a set of competencies as defined in the Training Package. Consequently

- records of assessment outcomes must be recorded and stored by Registered Training Organisations;
- outcomes must be assessed by a qualified assessor against the competency standards.

Appeal and Reassessment Process

An appeals process is a requirement of the Australian Recognition Framework (ARF) Registration standards for a Registered Training Organisation. All people seeking assessment of their skills will be notified of the appeals process that has been established by the Registered Training Organisation. This process would meet any requirements stipulated by the relevant State Training Authority / Racing Training Australia.

If the panel determines that the assessment problem is caused by a component of the Training Package the matter is to be forwarded to the national Racing Training Australia body for their consideration, for example Racing Training Australia would consider a reference to a possible problem with a competency standard.

Review and Maintenance of Assessment System

The review and maintenance of the assessment process in the Racing Industry will be subject to external audit. This is a key feature of the National Training Framework to maintain the quality assurance of assessment, and to improve and further develop the assessment processes and outcomes. The audit processes will be initiated and managed by State and Territory Training Authorities in conjunction with the industry through Racing Training Australia.

Racing Training Australia will provide advice to State and Territory Training Authorities on occupations within the industry that are licensed by the industry or are empowered by the industry to issue licences under

the Rules of Racing

Assessor Qualifications and Training

Assessment against the competencies in the Training Package will be carried out in accordance with these endorsed guidelines. The guidelines include the necessary qualifications for those conducting assessments and provide for those situations where more than one person may contribute to the assessment and where the required technical and assessment competencies may not all be held by any one person.

Assessment in the Racing Industry must be undertaken by people who meet the qualification requirements as set out in this training package.

It is a requirement that assessors must have the assessor competency standards described below to undertake assessment for each unit of competence in the Racing Industry Training Package.

Qualified assessors in the Racing Industry will:

- have the assessment competency standard 'Conduct Assessment in Accordance with an Established Assessment Procedure' and Extension Unit: Plan and Review Assessment (or its replacement) and can demonstrate the application of these competencies in the context of the Racing Industry;
- be competent in the Racing Industry competency standards being assessed or know how to work in partnership with a person who has the relevant standards;
- know current industry practices for the job or the role against which the performance is being assessed;
- display the necessary interpersonal skills required in the assessment process;
- know the assessment appeal process.

Using Qualified Assessors

A qualified assessor is required for all units of competency. The following list identifies components of units of competencies requiring workplace/on job assessment.

Racing Industry assessment outcomes must be recorded by a Registered Training Organisation. The assessment outcome may be determined through the use of:

- a qualified assessor who is competent against the relevant vocational competencies and where applicable registered with Racing Training Australia. Persons registered with Racing Training Australia refers to those people who by virtue of their occupation are required to be licensed to operate in the Racing Industry or are empowered to issue licences, and are conducting or assisting in the assessment of on-the-job and off-the-job training as qualified assessors.
- a qualified assessor who has ready access to another person who is registered by RTA, and who by virtue of their occupation is required to be licensed to operate in the industry or is empowered to issue licences, and is competent in, and can advise the assessor on the relevant vocational competencies at least to the level being assessed
- an assessment panel which must include
 1. one person who is a qualified assessor
 2. one person who is competent in the relevant vocational competencies at least to the level being assessed, and may include an employer or supervisor.

Units of Competency with Workplace / On-job Components

Code	Title	Workplace On-Job Components ✓
RGR006 A	Apply Occupational Health and Safety Procedures	✓
RGR007 A	Handle Horses or Greyhounds Safely 1	✓
RGR008 A	Work Effectively in the Racing Industry 1	✓ (elements 1 & 5)
RGR009 A	Care for Horses or Greyhounds	✓
RGR010 A	Handle Horses or Greyhounds Safely 2	✓
RGR011 A	Work Effectively in the Racing Industry 2	
RGR012 A	Ride or Drive Horses at Track Work	✓
RGR013 A	Ride or Drive Horses in Races	✓
RGR014 A	Manage Personal and Business Affairs	
RGR015 A	Maintain Race Riding Weight (Thoroughbreds Specific)	
RGR016 A	Maintain Greyhounds, Standardbreds or Thoroughbreds in a Healthy State and Safe Environment	✓
RGR017 A	Determine Nutritional Requirements for Greyhounds, Standardbreds or Thoroughbreds	✓
RGR018 A	Assess Health and First Aid for Greyhounds, Standardbreds or Thoroughbreds	
RGR019 A	Plan a Training and Racing Program for Greyhounds, Standardbreds or Thoroughbreds	✓
RGR020 A	Manage the Education of Greyhounds, Standardbreds or Thoroughbreds	✓
RGR021 A	Train and Race Greyhounds, Standardbreds or Thoroughbreds	✓
RGR022 A	Assess Training and Racing Programs of Greyhounds, Standardbreds or Thoroughbreds	✓
RGR023 A	Manage a Training Racing Program 1	✓ (elements 1,2,5 & 6)
RGR024 A	Manage the Maintenance of Plant, Equipment and Property 1	
RGR025 A	Manage Finances 1	
RGR026 A	Manage Self and Others 1	
RGR027 A	Manage a Training and Racing Program 2	✓ (elements 1, 2 & 4)
RGR028 A	Manage the Maintenance of Plant, Equipment and Property 2	
RGR029 A	Manage Finances 2	
RGR030 A	Manage Self and Others 2	

Guidelines for Designing Assessment Materials

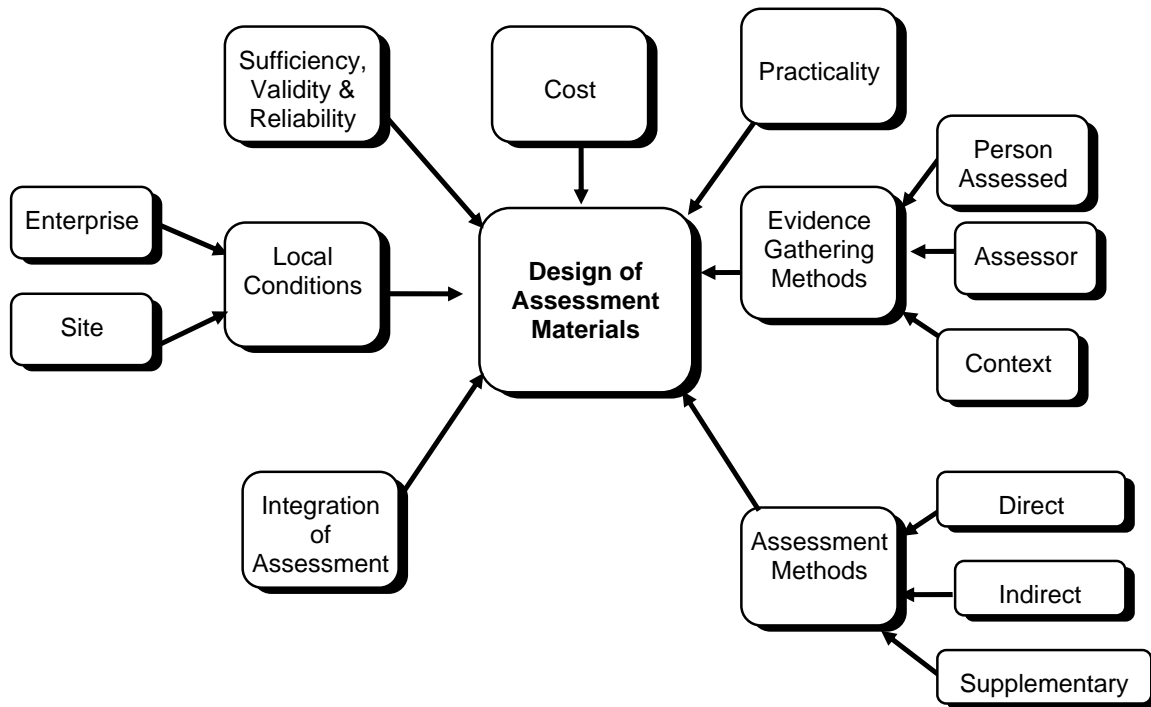
This section describes guidelines to be used for the design of assessment materials based on Racing Industry Competency Standards.

List of Design Considerations

Assessment materials should be designed as a cooperative process involving people with assessment and technical expertise, with consideration to:

- enabling assessors to gather sufficient, valid and reliable evidence for making assessment decisions
- interpreting competency standards to meet the requirements of a particular enterprise
- integrating assessment
- the use of evidence gathering methods appropriate to the context, the persons assessed and the assessor
- the use of evidence gathering methods should be gender and culture inclusive and take into account the language, literacy and numeracy skills of both the persons assessed and the assessor
- a range of assessment methods including
 - direct, that is workplace performance, demonstration, simulation and role-play
 - indirect, that is products, services, presentations, third party reports
 - supplementary, that is questioning, tests, portfolios, presentations
- reducing the cost of assessment activities
- the implications of using situations that are not easy to produce or simulate
- adaptation to suit local conditions, site requirements and enterprise specific practices
- the use of self-assessment to assess underpinning knowledge and understanding.

Influence on Design of Assessment Materials



Guidelines for Conducting Assessments

In preparing for assessment an assessor must ensure that:

- the assessment is consistent with the principles of validity, equity, authenticity and sufficiency
- the person to be assessed understands:
 - what is to be assessed
 - how it is to be assessed
 - where and when the assessment is to occur.

Assessors must ensure that persons being assessed are aware of:

- options for reassessment
- the assessment appeals process for the racing industry.

Assessors must provide feedback on assessments to the person being assessed by identifying the missing evidence of competence.

Assessment outcomes are to be recorded

- on a document for the person being assessed
- on a document to be forwarded to an Registered Training Organisation with which the person assessed is registered/enrolled.

Sources of Information on Assessment

The following are some suggested sources of information for the Racing Industry assessment system. This is not an exhaustive list and it is meant to be a guide to sources of current information.

Print Resources

- Assessment record book
- RTA - Handbook
- Assessment - Practical Guide: DEETYA
- Assessment - Technical Manual: DEETYA
- Assessment - Design: DEETYA
- Workplace Assessor Thoroughbred Racing

Audio Visual Resources

- Gender Inclusive Training Kit: The National Staff Development Committee for VET
- Mentoring: Video Communicators

Training Programs

- Assessor Training Program: Australian Training Products Ltd

Assessment Research Centres

- National Centre for Vocational Education Research Ltd
- Australian Competency Research Centre

Professional Associations and Networks

- National Business Services Industry Training Advisory Body

Professional Journals and Magazines

- Australian Training Review: National Centre for Vocational Education Research Ltd
- Australian Training: Australian National Training Authority

Glossary

Assessment Appeal Process	The process whereby the person assessed or other interested party, such as the employer, may dispute the outcome of an assessment and seek reassessment.
Assessment	Assessment is the process of collecting evidence and making judgements on whether competency has been achieved.
Assessment system	An assessment system is a controlled and ordered process designed to ensure that assessment decisions made in relation to many individuals, by many assessors, in many situations are consistent, fair and valid.
Assessor in the Racing Industry	Racing Industry Assessors must be recorded as competent against <i>The Assessment Competency Standard: Conduct Assessment in Accordance with an Established Assessment Procedure and Extension Unit: Plan and Review Assessment</i> from the <i>Competency Standards for Assessment</i> or an equivalent replacement.
Evidence	The set of information which, when matched against the relevant criteria, provides proof of the competence of the person assessed. Evidence can take many forms and be gathered from a number of sources.
Integrated assessment	An approach to assessment that covers multiple elements and / or units from relevant competency standards. The integrated approach attempts to combine knowledge, understanding, problem solving, technical skills, attitudes and ethics into assessment tasks.
Mediation	A process that attempts to reach an outcome satisfactory to all participants.
Persons registered with Racing Training Australia	Persons registered with Racing Training Australia refers specifically to those people who by virtue of their occupation are required to be licensed to operate in the Racing Industry or are empowered to issue licences, and are conducting or assisting in the assessment of on-the-job and off-the-job training as qualified assessors.
Qualification	A document issued by a Registered Training Organisation to an individual who is recorded as competent against a set of competencies at an AQF level as defined in a Training Package.
Racing Training Australia	The national industry training body for the three codes of the Racing Industry.
Reassessment	An assessment activity initiated as a result of an appeal (formal or informal) against the outcome of a previous assessment.
Records of assessment	The information that is retained by the Registered Training Organisation that is responsible for issuing the nationally recognised statement of attainment or qualification of the assessment outcomes.
Registered Training Organisation	A training provider registered with a state or territory training authority.
Reporting of assessment outcomes	The different ways in which the outcomes of assessment processes are reported to the person assessed, employers and other relevant groups. Assessment outcomes may be reported in a variety of ways including graded, non graded and descriptive reporting systems
Review of assessment process	Planned and systematic analysis of the assessment system.
State racing training bodies	State and territory industry training bodies for the three codes of the Racing Industry. These will operate as branches of Racing Training Australia.

Statement of Attainment

A document issued by a Registered Training Organisation listing an individual's successful assessment outcomes recorded against competencies, which do not satisfy an AQF qualification outcome.