



**Australian Government**

**Department of Education, Employment and Workplace Relations**

# **TAACMQ501B Develop training and/or assessment organisational policies and procedures**

Release: 1

## **TAACMQ501B Develop training and/or assessment organisational policies and procedures**

### **Modification History**

Not applicable.

### **Unit Descriptor**

**This unit specifies the competency required to develop or revise organisational policies and procedures relating to the provision of training and/or assessment services.**

### **Application of the Unit**

Training and/or assessment policies and procedures provide guidance and direction to trainers/facilitators, assessors and other personnel on the quality and organisational arrangements for the provision of training and/or assessment services. The development of effective policies and procedures governing training and/or assessment responsibilities is essential for the effective implementation of training and assessment systems.

This unit addresses the processes, skills and knowledge involved in developing the policies and procedures which underpin the operations of training and assessment systems. These policies and procedures can cover a variety of areas including grievances and appeals, risk identification and management, access and equity, and participant enrolment and progress details.

This unit has a specific focus on policies and procedures relating to training and/or assessment, but could equally apply to any organisational context where policies and procedures are developed.

In the **TAA04 Training and Assessment Training Package**, all organisations involved in the provision of vocational education and training are referred to generically as a **training and/or assessment organisation** (refer to the definition provided in the Range Statement). The competency specified in this unit is typically required by trainers/facilitators, management, human resource personnel and program coordinators.

### **Licensing/Regulatory Information**

Not applicable.

### **Pre-Requisites**

Not applicable.

## Employability Skills Information

This unit contains employability skills.

### Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.

Performance criteria describe the performance needed to demonstrate achievement of the element. Where **bold italicised** text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.

### Elements and Performance Criteria

#### Elements and Performance Criteria

Element	Performance Criteria
1 <b>Gather and analyse information for policy and procedure development</b>	1.1 Specific policies and procedures to be developed are confirmed with <b>relevant personnel</b> , including <b>purpose</b>
	1.2 Current and relevant <b>organisational/legal requirements</b> are researched to determine focus of policies/procedures
	1.3 Existing policies and procedures are analysed to identify any gaps/changes required, where relevant
	1.4 <b>Organisational and external expertise</b> is identified and advice/information is collected and documented through appropriate <b>consultation and communication processes</b>
	1.5 <b>Reports and other documentation</b> are accessed, read and evaluated for information and guidance
2 <b>Develop the policies and procedures</b>	2.1 Collected data is analysed and synthesised for inclusion into draft policies and procedures
	2.2 Draft policies and procedures are prepared in accordance with <b>organisational and industry standards</b>
	2.3 Consultation and communication processes are undertaken to ensure organisational/employee input into the policies and procedures development process

- 2.4 Feedback on draft policies and procedures is collated and analysed, and changes are made as appropriate
- 2.5 Changes to policies and procedures/ introduction to new policies and procedures are communicated to personnel and key stakeholders, and further time is given for final feedback
- 2.6 Final policies and procedures are approved and documented
- 3 **Identify implementation requirements**
  - 3.1 An **implementation plan** is developed to ensure maximum impact of new/modified policies and procedures is achieved
  - 3.2 Personnel involved in implementation of policies and procedures are identified and briefed to ensure consistency in implementation
  - 3.3 **Physical resources and equipment requirements** to support the implementation of new/modified policies and procedures are organised
  - 3.4 **Organisational change processes** are identified to integrate new/modified policies and procedures into the organisation
- 4 **Monitor and review policies and procedures**
  - 4.1 Policies and procedures are reviewed for continuing relevance, operational effectiveness and identification of any gaps
  - 4.2 Personnel and stakeholders are regularly consulted to ensure content of existing policies and procedures is relevant and appropriate
  - 4.3 Outcomes of systemic evaluations are used to update policies and procedures, as required

## Required Skills and Knowledge

Not applicable.

## Evidence Guide

### Evidence Guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

### Overview of Assessment

To demonstrate competency against this unit candidates must be able to provide evidence that they have the acquired knowledge of the organisational standards and scope of operations in order to develop new and modify existing policies and procedures that support and guide training and assessment services.

Performance must address research, organisational, consultation and communication skills which maximise input, ownership and acceptance of policies and procedures. Evidence of draft and final policies and procedures is essential.

### Evidence Requirements

#### Required knowledge includes:

- organisational evaluation strategies
- organisational policies and procedures
- continuous improvement processes
- relevant authority compliance requirements and standards for registration of the training and/or assessment organisation (if applicable)
- quality management compliance requirements

- where to access relevant organisational documentation
- all authoritative responsibilities and parameters within the training and/or assessment organisation
- sound knowledge of consultation and communication processes to support and encourage the organisational input into policies and procedures development processes
- implementation processes and their impact on an organisation
- relevant policy, legislation, codes of practice and national standards including Commonwealth and state/territory legislation, for example:
  - licensing requirements
  - security of information
  - industry/workplace requirements

vocational education and training requirements  
duty of care under common law  
anti-discrimination including equal opportunity, racial vilification and disability discrimination  
industrial awards/enterprise agreements

OHS relating to the development of organisational policies and procedures, including:  
sources of information on OHS as it applies to the training and/or assessment organisation  
risks that should be addressed by a training and/or assessment organisation  
legislative requirements for OHS record keeping and reporting requirements  
OHS obligations of the training and/or assessment organisation, the trainer/facilitator, assessor, learner and candidate  
requirements for consultation under OHS legislation

**Required skills and attributes include:**

literacy skills to:  
interpret legal requirements  
develop organisational policies and procedures  
analyse compliance information  
analyse information for policy development  
interpret information from a range of documents and make judgements about the relevance and applicability of information

language skills to:  
communicate ideas and policies and procedures of an organisation  
encourage participation across all levels of personnel and clients  
seek opinions and elicit feedback from a range of stakeholders

research skills to:  
obtain relevant and up-to-date information in order to develop policies and procedures  
collect and provide accurate and up-to-date information on RTO registration and compliance, if applicable

skills in evaluating operational effectiveness  
interpersonal skills, including:  
maintaining appropriate relationships with colleagues and stakeholders  
establishing trust  
valuing and being open to the opinions of others  
working as part of a team  
active listening  
negotiation skills

capacity to encourage and accept feedback

**Products that could be used as evidence include:**

developed and finalised policies and procedures  
developed implementation plan  
developed and implemented consultation and communication processes used to support and encourage personnel input  
records of consultation and communication activities  
records of review processes

**Processes that could be used as evidence include:**

how and what information was researched and analysed for inclusion in policies and procedures

how and when discussions were held with personnel and clients in relation to obtaining feedback on new/ modified policies and procedures

how existing policies and procedures were analysed to identify any gaps (if relevant)  
how review processes were developed and managed to enable regular monitoring of policies and procedures



**Resource implications for assessment include:**

access to organisational and legal documentation  
time  
access to human and physical resources

**The collection of quality evidence requires that:**

assessment must address the scope of this unit and reflect all components of the unit, i.e. the Elements, Performance Criteria, Range Statement, Evidence Guide, Employability Skills  
a range of appropriate assessment methods/evidence gathering techniques is used to determine competency  
evidence must be gathered in the workplace wherever possible. Where no workplace is available, a simulated workplace must be provided  
the evidence collected must relate to a number of performances assessed at different points in time and in a learning and assessment pathway these must be separated by further learning and practice  
assessment meets the rules of evidence  
a judgement of competency should only be made when the assessor is confident that the required outcomes of the unit have been achieved and that consistent performance has been demonstrated

**Specific evidence requirements must include:**

the development/modification of a minimum of two different policies and procedures, and must include:  
research to underpin content  
internal consultation and communication processes used to encourage input and obtain timely feedback  
an implementation plan  
procedures developed to regularly review and improve quality of policies/procedures

**Integrated assessment means that:**

this unit can be assessed alone or as part of an integrated assessment activity involving relevant units in the **TAA04 Training and Assessment Training Package**. Suggested units include but are not limited to:  
**TAADEL504B Lead and coordinate training services**  
**TAACMQ503B Lead and conduct**

**training and/or assessment evaluations  
TAACMQ502B Coordinate training  
and/or assessment arrangements for  
apprenticeships/ traineeships  
TAAASS501B Lead and coordinate  
assessment systems and services.**

## Range Statement

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. **Bold italicised** wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

**Training and/or assessment organisation**  
refers to:

a Registered Training Organisation (RTO),  
i.e. an organisation registered to provide  
recognised training and assessment services;  
includes TAFE institutes, private commercial  
colleges/ companies, enterprises, community  
organisations, group training companies and  
schools  
an organisation working in a partnership  
arrangement with an RTO to provide  
recognised training and assessment services  
an organisation that provides non-recognised  
training and assessment services

**Relevant personnel** refers to:

the person/s responsible for determining  
which policies and procedures are to be  
developed

**Purpose of policies and procedures** may  
**include:**

a framework under which the provision of  
training and/or assessment services is  
conducted

a mechanism to facilitate continuous  
improvement within the training and/or  
assessment organisation

transparency of the training and/or  
assessment organisation's approach to  
training and/or assessment services  
the identification of roles and responsibilities  
of key personnel in an organisation

a framework for consultation processes with industry for development of training and/or assessment services  
consistency in training and/or assessment services provided

**Organisational/legal requirements may include:**

customer complaints, grievances and appeals  
risk identification and management, including occupational health and safety (OHS)  
quality and continuous improvement processes and standards, including validation systems  
financial management, including refund policies and systems to protect fees paid in advance (if appropriate)  
mutual recognition of qualifications and Statements of Attainment issued by other training and/or assessment organisations  
access and equity  
client selection, enrolment and induction/orientation  
staff recruitment, induction and ongoing development and monitoring  
availability of policies and procedures to all personnel and learners/clients/candidates  
collaborative/partnership arrangements  
confidentiality and privacy requirements  
ethical standards  
administrative and records management system, for example:  
reporting/recording requirements and arrangements  
maintenance, retention, archiving, retrieval, storage and security of assessment information  
  
document version control

**Organisational and external expertise may include:**

auditors  
staff of regulatory authorities  
training consultants  
quality consultants  
OHS consultants  
managers/supervisors  
training coordinators  
trainers/facilitators, assessors, lead assessors  
information technology personnel  
human resources and other advisors on policy and procedural requirements  
organisational OHS representatives

**Consultation and communication processes may include:**

structured interviews  
team meetings

focus groups  
questionnaires  
informal interactions  
liaison with stakeholders  
inclusion of every level of the organisation

**Reports and other documentation may include:**

reports of training and/or assessment evaluations  
external auditors reports  
relevant organisational/industry national standards  
business and annual reports

**Organisational and industry standards may include:**

industry standards/benchmarks  
training and/or assessment organisation standards  
Australian Quality Training Framework (AQTF) Standards for Registered Training Organisations (RTOs)  
OHS requirements

**An implementation plan may include:**

mechanisms for the introduction and promotion of new/modified policies and procedures within the organisation, for example:  
emails  
bulletins  
hard copy manuals  
briefing and training  
OHS committee meetings  
staff meetings

mechanisms for the introduction of new/modified policies and procedures to clients/stakeholders  
mechanism for involving personnel in the decision making and implementation  
mechanisms to facilitate continuous improvement processes  
personnel responsible for the implementation process

timelines for and allocation of responsibilities for the introduction of new/modified policies and procedures into the organisation  
promotional materials  
action plan, timelines and responsibilities for implementation stages

revised policy timelines and further feedback induction processes that include the discussion of policies and procedures and their use, and orientation kits for personnel involved in training, assessment or client service

**Physical resources and equipment requirements may include:**

business technology, for example:  
computers  
hardware  
software

other office equipment

**Organisational change processes may include:**

paper-based or electronic information, for example, Intranet  
coaching and mentoring arrangements  
identification of 'organisational experts' to assist employees with implementation issues

**Unit Sector(s)**

Not applicable.

**Competency Field**

**Coordination, Management and Quality**