# ACKNOWLEDGEMENTS

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Originally developed by the Compliance Matters Project Team and the Discipline Leader Community of Practice, TAFE NSW Riverina Institute.

Customised by TAFE NSW West Smart and Skilled Project Group.

- The information in this handbook is current and accurate at the time of publication and will be reviewed and amended if requirements change.
- Printed copies of this Handbook are considered uncontrolled - always refer to the latest version for accurate information.
- If you find an error in this handbook please contact Jo-Ann Braithwaite (jo-ann.braithwaite1@tafensw.edu.au) to have it reviewed and/or amended.

## REVIEW LOG

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<th>DATE UPDATED</th>
<th>DETAILS OF UPDATES</th>
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<td>Released February, 2017</td>
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This handbook is designed to assist TAFE NSW West employees who work in the delivery of training and assessment.

The information in this handbook is a quick and easy guide that can be used to support us in meeting our compliance requirements.

It covers the ESSENTIAL elements of compliance when working in the delivery of Training and Assessment in Vocational Education and Training (VET) in Australia.

There is also a particular focus on the compliance requirements for delivery of subsidised training in NSW under the NSW Smart and Skilled Contract and associated Operating Guidelines.

Whenever this symbol appears, it means there are critical tasks required to meet compliance.

Whenever this symbol appears, it indicates specific record keeping requirements you must meet.

Whenever this symbol appears, it identifies the support points and who to go to for assistance.

1. Speak to your Team
2. Check SIH Procedures
3. Standards for RTOs 2015 (ASQA)
4. Refer to the NSW Smart and Skilled Operating Guidelines
5. Refer to the Australian Qualifications Framework (AQF)
There are many contributing factors that determine compliance requirements in VET. It is important that we are aware of the requirements that apply to each of the training programs we deliver and/or manage, and that we know where to go to get assistance and advice in understanding and meeting those requirements. The three main categories of VET compliance that apply to us as an RTO are:

1. VET quality drivers
   - Australian Skills Quality Authority (ASQA)
   - Standards for Registered Training Organisations (RTOs) 2015 - users guide
   - The Board of Studies, Teaching and Educational Standards NSW (BOSTES)
   - Australian Qualifications Framework
   - Standards for Training Packages

2. NSW Smart and Skilled
   - Smart and Skilled Contract and Policy Documents
   - NSW Quality Framework
   - Statement of Expectations for Smart and Skilled Providers
   - NSW Skills List

3. Other regulatory contracts
   - Other State and Territory user choice funding contracts
   - Commercially negotiated training contracts
   - Licensing and governing authorities (e.g. SafeWork NSW)

**WHAT DO WE NEED TO KNOW?**

- remain informed and up to date with the compliance requirements and access the relevant sources of information regularly
- comply with the Standards for RTOs 2015 for all nationally recognised training and assessment you deliver
- comply with the NSW Smart and Skilled requirements for all training and assessment delivered under our Smart & Skilled contract

For assistance and support, contact your:
- Line Manager
- VET Regulations Support Offices
- Manager, Educational programs
WHAT IS SMART & SKILLED?
NSW Government-subsidised training for eligible learners, delivered through TAFE NSW Institute and private RTOs.

WHAT IS THE NSW SKILLS LIST?
The NSW Skills List defines the qualifications eligible for government funding UNDER Smart & Skilled, and is grouped into two program areas:
- Entitlements
- Targeted priorities

WHAT ARE ENTITLEMENT PROGRAMS?
There are three Entitlement programs based on qualifications on the NSW Skills List:
1. Foundation skills - certificate I and II
2. Full qualifications - certificate II and III
3. Apprenticeships and traineeships - at all levels

WHAT ARE TARGETED PRIORITY PROGRAMS?
There are two targeted priority programs based on qualifications on the NSW Skills List:
1. Full qualifications - certificate IV, diploma, and advanced diploma
2. Prevocational and part qualifications (including skill sets):
   - pre-vocational
   - pre-apprenticeship and pre-traineeship
   - priority groups and industries

The following pages provide further information on understanding Smart & Skilled entitlement and targeted priority programs

TAFE NSW West is an “Approved Smart & Skilled Training Provider” and as such we enter into a contract with Training Services NSW (TS NSW) on an annual basis.

This contract identifies the regions we can deliver subsidised training in, and the scope of qualifications and part qualification courses that we are able to deliver under Smart & Skilled. The contract also stipulates the requirements all approved training providers must meet, along with the Operating Guidelines.

For more information:
- SIH Procedures
- TAFE NSW eCommunities SMART SPACE
- NSW Skills List
- Smart and Skilled Contract Terms and Conditions
- Smart & Skilled Operating Guidelines
<table>
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<th>ENTITLEMENT</th>
<th>TARGETED PRIORITIES*</th>
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<td>Entitlement Full Qualifications: Qualifications up to Cert III as listed on the NSW Skills List: regional activity caps per provider</td>
<td>Targeted Priorities Full Qualifications: Qualifications at Cert IV and above as listed on the NSW Skills List</td>
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<td>Entitlement Foundation Skills: Available to TAFE NSW and ACE providers</td>
<td>Targeted Priorities Prevocational and Part Qualifications: • prevocational courses • pre-apprenticeships and pre-traineeships • priority groups and industries</td>
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<td>School Based Apprenticeships and Traineeships (SBATs): No individual provider caps; managed at program-wide level</td>
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<td>• Thin markets</td>
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<tr>
<td>• Support services to disadvantaged groups: to TAFE NSW and ACE providers</td>
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* Including Targeted Priorities initiatives funded from both TAFE NSW’s TAFE-managed allocation and by NSW Skills and Industry Policy Division under Smart and Skilled

** Not bound by NSW Skills List or Smart and Skilled prices or eligibility rules

*** Although TVET uses Smart and Skilled prices and some implementation principles (eg loading, incidental expenses), it is NOT a Smart and Skilled program
THE SMART AND SKILLED PAYMENT CYCLE

1. Training Services NSW
   - Smart and Skilled Context
   - West receives approval to deliver subsidised training in specific courses, regions

2. Enrolment:
   - Eligible learner enrolls and their training subsidy is approved by TS NSW via a Commitment ID

3. Training and Assessment:
   - Teacher trains and assesses the learner in UoCs and keeps accurate, individual learner records

4. Results and Outcomes:
   - Teacher enters results and attendance for learner in accordance with commitment ID

5. Reporting:
   - TAFE NSW West reports the unit outcome and dates to TS NSW via eReporting

6. TS NSW Payment:
   - TS NSW pays for the UoCs reported, once the specific training milestones are achieved

HOW THE SMART AND SKILLED SUBSIDY WORKS

WHAT DO WE NEED TO DO TO ENSURE WE RECEIVE SMART AND SKILLED FUNDING FOR THE TRAINING WE DELIVER?

- Enter results regularly, and progressively
- Ensure start and end dates of Units of Competency (UoC) are correct
- Maintain accurate individual learner records

- No Results = No eReporting
- No eReporting = No TS NSW payment
- No TS NSW payment = No $$$ for West

SMART & SKILLED | TRAINING & ASSESSMENT STRATEGIES | ENROLMENT | TRAINING PLANS | RECOGNITION
PARTICIPATION | ASSESSMENT | RESULTS & OUTCOMES | WITHDRAWALS | COMPLIANCE CHECKLIST
**WHAT IS A USI?**

A USI (short for Unique Student Identifier) is a reference number made up of 10 numbers and letters that creates a secure online record of a learner’s nationally recognised training and qualifications gained in Australia, even from different training organisations.

**WHAT IS A COMMITMENT ID?**

A Commitment ID or (CID) is the numerical identifier generated by Training Services NSW to advise the RTO that the department will fund an enrolment under Smart and Skilled.

**WHAT IS EREPORTING?**

eReporting is the mechanism by which we report our Student and Training Activity Data to Training Services NSW for all our Smart and Skilled learners with a Commitment ID. Payment of subsidies are triggered by the successful submission of data via eReporting against training milestones.

It is critical that we successfully and accurately eReport, so that we can be paid the subsidies for the learners being trained.

To ensure this happens regularly, every learner record must be managed progressively through their course of study to ensure timely payment of subsidies and loadings.

This means that we must enter unit assessment results as soon as possible after our students have been assessed.

**HOW LONG MUST WE KEEP SMART & SKILLED RECORDS FOR?**

Records for learners under Smart & skilled must be retained and in a readily accessible format for a minimum of three (3) years after the later of:

- completion of the qualification
- issuance of the qualification; or
- withdrawal from the qualification

All Procedures related to Smart and Skilled can be easily accessed through the Hot Topic icon below on *My Procedures*. 
**WHAT RECORDS MUST WE KEEP?**

Training Services NSW specify the types of evidence and records you must keep for every learner. These are listed in the Training Services NSW Contract, Operating Guidelines and various policy documents.

In summary, there are four main categories of evidence that must be kept:

1. **ENROLMENT** and eligibility evidence
2. **PARTICIPATION** and training activity evidence
3. **ASSESSMENT** evidence
4. **WITHDRAWAL** evidence

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<thead>
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<th>TYPES OF LEARNER EVIDENCE THAT MUST BE RETAINED</th>
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<tr>
<td><strong>Withdrawal</strong></td>
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WHAT IS A TAS?
A Training and Assessment Strategy (TAS) is a crucial planning document that is developed to ensure that the way a course is delivered is responsive to industry and learner needs and meet the requirements of nationally recognised qualifications.

WHO USES A TAS?
- Head Teacher must develop the TAS in consultation with industry and the teaching staff delivering the course
- VET Regulation Support Officers must review the TAS as part of regular Quality Review and Compliance Checks
- Teaching staff must refer to the TAS and are required to deliver training and conduct assessment in accordance with the details in the TAS
- Internal and/or external auditors will analyse the TAS against any relevant regulatory and contractual requirements as part of an audit or performance monitoring activity

WHEN IS A MASTER TAS CREATED?
- Prior to application for scope for any new course

WHEN IS A COURSE OFFERING TAS CREATED?
- Prior to delivery or commencement of any course

WHEN IS A TAS UPDATED?
- Whenever there are changes to the way we deliver the course/program
- If the qualification is superseded or replaced the TAS must undergo a review and be adjusted, and in some cases a full redevelopment might be needed to ensure packaging rules are met
- At the end of the delivery period the Course Offering must be reviewed and include all relevant stakeholder engagement and consultation to assist in developing a new and relevant TAS

A TAS MUST INCLUDE DETAILED INFORMATION FOR THE FOLLOWING ELEMENTS
- Course details
- Course structure
- Amount of training/Volume of learning
- Delivery and attendance information
- Entry and exit requirements
- Educational and employment pathways
- Recognition requirements
- Delivery and assessment Staff
- Support services available
- WHS risk identification
- Facility and resource requirements
- Industry and stakeholder engagement
- Marketing and student information

For more information:
- SIH Procedure
- Companion Guide
- Standards for RTOs 2015
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<th>WHAT INFORMATION IS REQUIRED IN A TAS?</th>
<th>Details</th>
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<tbody>
<tr>
<td><strong>COURSE DETAILS</strong></td>
<td>Detail the Course Code, Name, Version, Type (e.g. Qualification, RTO Skill set, Accredited course) and department details, along with the Delivery Mode and Target Group(s). Indicate if it is a new application for Scope.</td>
</tr>
<tr>
<td><strong>COURSE STRUCTURE</strong></td>
<td>List all the units of competency that are going to be delivered and any pre-requisite information. List who will train/assess each unit, how and when the training will occur, the specific assessment methods that will be used and where they are stored.</td>
</tr>
<tr>
<td><strong>AMOUNT OF TRAINING/VOLUME OF LEARNING</strong></td>
<td>Specify the amount, duration and types of learning activities required for the achievement of learning outcomes. The amount of training needs to be in line with the recommended volume of learning - if not, include the reasons why.</td>
</tr>
<tr>
<td><strong>DELIVERY AND ATTENDANCE INFORMATION</strong></td>
<td>Detail how the training will be delivered (e.g. Days/Hours per week over how many weeks) and how this is communicated to staff and learners, including where, and in what circumstances attendance will be required.</td>
</tr>
<tr>
<td><strong>ENTRY AND EXIT REQUIREMENTS</strong></td>
<td>List any mandatory requirements for learners commencing the course (e.g. pre-requisites; industry experience etc.) and detail the possible outcomes for learners who do not complete the full course.</td>
</tr>
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<td><strong>EDUCATIONAL AND EMPLOYMENT PATHWAYS</strong></td>
<td>Indicates any possible further pathways available to learners who complete the course, such as articulation into further study or typical employment opportunities in the associated industries.</td>
</tr>
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<td><strong>RECOGNITION REQUIREMENTS</strong></td>
<td>Detail any specific strategies for Skills Recognition, particularly if an Assessment only pathway is going to be used (e.g. if there are specific requirements such as minimum period of industry experience etc.)</td>
</tr>
<tr>
<td><strong>DELIVERY AND ASSESSMENT STAFF</strong></td>
<td>List all of the teaching staff that will be engaged in training and assessment of the course.</td>
</tr>
<tr>
<td><strong>SUPPORT SERVICES AVAILABLE</strong></td>
<td>Identify how we will make support services available to learners to assist them to complete the course, such as language, literacy and numeracy, library services, disabilities support etc.</td>
</tr>
<tr>
<td><strong>WHS RISK IDENTIFICATION</strong></td>
<td>Indicate the WHS risk ranking of the course as either Low, Medium, High or Extreme. Courses with a risk ranking higher than Low require a Risk Management Plan to be developed and you must indicate on the TAS where this is stored.</td>
</tr>
<tr>
<td><strong>FACILITY AND RESOURCE REQUIREMENTS</strong></td>
<td>List the physical facilities and resources that we will provide to learners and that we will use to deliver the course. Also list any additional materials or resources that the learner is required to obtain to complete the course.</td>
</tr>
<tr>
<td><strong>INDUSTRY AND STAKEHOLDER ENGAGEMENT</strong></td>
<td>Detail how the TAS has been developed and customised as a result of industry and or stakeholder consultation around the delivery and structure of the course, and ongoing measures for review and improvement of the course.</td>
</tr>
<tr>
<td><strong>MARKETING AND STUDENT INFORMATION</strong></td>
<td>Provides details of any specific information that is to be loaded to EBS against the course and displayed on the Website.</td>
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WHERE IS THE MASTER TAS STORED?

All TAS documents must be created using the current version of the TAS template, approved and signed off by the MEP, and stored in the Staff Essentials, Master TAS Folder on the Staff Information Hub.

Click the icon to access the TAS Documents >>>

WHAT TRAINER/ASSESSOR INFORMATION DO WE NEED TO INCLUDE IN A TAS?

We must list all of the teaching staff that will be engaged in training and assessment of the course. This includes Full time and Part Time Trainers, Assessors and Contractors.

- Teachers must maintain their currency and meet the minimum requirements for delivering training and assessment as outlined by ASQA in the Standards for RTOs 2015
- Teachers must complete their Profile in TMS - Trainer Management System. Head Teachers must review and approve their teaching staff Profiles in TMS
- Head Teachers must ensure that only those staff that are listed in the current TAS and meet the minimum requirements are permitted to deliver training and assessment

TRAINER AND ASSESSOR REQUIREMENTS

All staff who deliver training and assessment must have:

- TAE40110 - Certificate IV in TAE, or the Assessor skill set - TAESS00011
- A current Trainer Profile for all units delivered
- A CD record that is regularly updated
- The unit which is being assessed or documented equivalence
- Evidence of maintaining VET currency
- Evidence of maintaining vocational currency

**Trainer Profiles:**

The Trainer Profile maps the vocational and educational qualifications, experience and currency of the trainer/assessor to the units they can deliver, for the courses they deliver.

All teaching staff must have an up to date trainer profile in TMS. Talk to your Head Teacher for assistance with your Trainer Profile.
WHAT IS SCOPE?

Scope refers to the list of training products that we have approval to deliver training and/or assessment in. It identifies all of the Training Package Qualifications, Units of Competency and Accredited Courses that ASQA has approved us to deliver as an RTO.

We must not deliver training and assessment in any of the Qualifications, Units of Competency and Accredited Courses that are not listed on our Scope.

You can check our current Institute Scope by going to TGA Scope and looking up our RTO’s registration, or by searching for a Unit, Skill set or Qualification and checking the section that lists the RTOs approved to deliver.
**ADDING A COURSE TO SCOPE**

All Scope additions must go through an application and approval process. Documents required:

- A current and compliant TAS
- Training materials
- Assessment tools
- Manager Educational Programs
- Institute Director delegate approval
- Teacher Profile completed in TMS

For more information:
- Scope Procedure
- Talk to your Line Manager
- Talk to your VET Regulation Support Officers
If an ASQA application is not needed and the process starts with an eScope request, updated course documentation is still required.

Because the training product is still new and it has not previously been delivered within TAFE NSW West. This can occur when a training product, such as a qualification, has been superseded and the new/replacement training product has been deemed equivalent on www.training.gov.au (TGA).

This demonstrates how TAFE NSW West has the capacity to facilitate the new training products and shows how the delivery of training and assessment services has been planned in conjunction with industry.
WHAT DO WE DO WHEN A COURSE BECOMES SUPERSEDED?

Qualifications and accredited courses can become superseded by an updated version at any time. When this happens, the new qualification becomes “current”, and the previous one either becomes “superseded” or “deleted”. As a general rule, we then commence the process of adding the new qualification to our scope and transferring our current learners across to the latest version. This process is referred to as Transition.

The Standards for Registered Training Organisations 2015 require us to “manage our scope of registration and to transition to revised training products in a timely fashion”.

The Transition of Training Products Procedure must be followed to ensure we manage the transition process in a timely and compliant manner to ensure we meet the requirements of the Standards for RTOs 2015.

When new versions of qualifications are deemed to have equivalent outcomes to the superseded one, ASQA will automatically add the new one to our scope of registration.

Superseded training products:
All enrolled learners must be transferred to a current training product within one (1) year of the replacement being published.

Removed or deleted qualifications:
All enrolled learners must be transferred to a relevant training product. If no such product exist or is not applicable, then learners will be required to finish within two (2) years of product being removed or deleted.

Removed or deleted skill sets, units, courses and modules:
Where a skill set, unit, course or module (not attached to a qualification) is removed or deleted, we must ensure all training, assessment and the issue of certification is completed within one (1) year of the date the skill set, unit or module was removed or deleted.

A revised Training Package qualification can be ‘rolled over’ by ASQA on our scope of registration, provided the revised qualification is deemed to have equivalent outcomes to the superseded qualification.

Rollover of a revised Training Package qualification can only be implemented where we already have the existing qualification on scope. ASQA automatically updates our scope of registration for any new qualification that is deemed equivalent to one already on our scope.

For more information:
- Transition of Training products procedure
- Talk to the VRSO’s
- Talk to your MEP
**TRANSITION**

**VET Regulation Support Officer (VRSO)**
- Notifies MEP and relevant Head Teacher that Training Product is superseded, deleted, expired on the National Register
- Meets with relevant Head Teachers within 1 month of notification to assist with completing the Transition Plan
- Uploads Transition Plan to the VET Delivery Sharepoint
- Confirms with MEP and HT when the Scope application has been completed

**Teaching Section**
- Completes Transition Plan for Training Products
- Reviews each enrolment in the superseded Training Product

**Manager Educational Programs (MEP)**
- Coordinates the completion of the Transition Plan where there is more than one Head Teacher with responsibility for the same Training Product
- Completes Transition Plan for Training Products
- Coordinates the completion of the Transition Plan where there is more than one Head Teacher with responsibility for the same Training Product
- Reviews each enrolment in the superseded Training Product
- Completes Transition Plan for Training Products

**Important Note**
- Under no circumstances can a new student:
  - enrol in a Training Product that has been removed or deleted
  - enrol in a superseded Training Product when the newer replacement course is listed on TAFE NSW West Scope of Registration and a current transition plan has been developed

**Transitions**
- Transitions students to new Training Product within the transition period, 12 months of release date (unless otherwise stated on TGA or www.asqa.gov.au)
- Completes students in current course within the transition period
- Closes off all enrolments in the superseded course/s in ebs

**Is TAFE Western delivering the new Training Product?**
- Yes
- No

**Can the student be completed within 12 months of the superseded Training Product transition end date?**
- Yes
- No

**Meets with relevant Head Teachers within 1 month of notification to assist with completing the Transition Plan**
- No
- Yes

**Confirms with MEP and HT when the Scope application has been completed**
- No
- Yes

**Follows Scope process and completes Scope application**
- No
- Yes

**Completes students in current course within the transition period**
- No
- Yes

**Closes off all enrolments in the superseded course/s in ebs**
- No
- Yes

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Responsibility for Currency: VET Regulations Support Officer
Last Updated: 12/05/2015
Initial engagement with our learners is critical. Learners must be well informed about the requirements of the course they are seeking to undertake prior to enrolment.

The enrolment process is the start of the learner's journey with us. We must get this right to ensure their training experience has a solid and positive foundation.

**WHAT IS THE TAFE NSW ENROLMENT PROCESS?**

The enrolment process is consistent across all of TAFE NSW and this process is referred to as the TAFE NSW Standard Enrolment Process.

Click the icon to access the TAFE NSW Standard Enrolment Process on the Western SharePoint (Intranet) >>>

Enrolment will occur through either the TAFE NSW and TAFE NSW West websites or through an enrolment link (URL) provided to learners.

The online enrolment process for learners enrolling in a Smart & Skilled (non VET Student loan) course is as follows:

1. **Learner enrolls online via TAFE NSW Western website**
2. **Learner course eligibility requirements are checked via the online enrolment process**
3. **Learner accepts enrolment offer and makes payment**
4. **CAS team checks enrolment details against Enrolment Checklist**
5. **CID attached to ebs enrolment. Learner's active**

**USI requirements**

Unique Student Identifier (USI) is required for all learners participating in nationally recognised qualifications. It is free and can be created by a learner online at usi.gov.au.

It gives learners access to an account that contains their complete training records and results from 1/01/15 onwards and is aimed at helping them to provide evidence of their studies when applying for jobs or undertaking further studies.
WHAT ARE THE ELIGIBILITY REQUIREMENTS FOR LEARNERS ENROLLING IN A SMART & SKILLED COURSE?

Learners must meet minimum eligibility requirements to access entitlement funding under Smart and Skilled. These are:

- 15 years old or over
- No longer at school
- Living or working in NSW
- An Australian citizen, Australian permanent resident, humanitarian visa holder or New Zealand citizen, or
- Registered as a NSW apprentice or new entrant trainee

LEARNER ENROLMENT REQUIREMENTS

Subsidised Smart and Skilled learner:
- must be enrolled in EBS before commencement of training
- must have a USI
- must meet S & S Eligibility
- must have a CID prior to commencement of training
- must be financial before commencement of training
- Start and end dates of learner enrolment need to accurately reflect the actual training participation

Fee for Service (commercial) learner:
- must be enrolled in EBS before commencement of training
- must have a USI (for any nationally recognised training)
- must be financial before commencement of training

School Leaver Eligibility for Smart & Skilled ...

A person is considered to have left school and eligible for Smart and Skilled only when they are officially ‘signed out of’ school. This means they are not required to legally attend school in any capacity and are of the school leaving age of 17. For the year 12 school leaver cohort, they are considered ‘signed out’ when HSC exams are completed and they are no longer required to attend classes as per detailed in the relevant education acts.
WHAT ARE COURSE OFFERINGS?

Course offerings are the mechanism that is set up within EBS to allow learners to enrol in our courses. Offerings can be created for different cohorts and course durations according to what has been planned in the TAS.

It is essential that offerings are set up accurately and timely to ensure that learners are enrolled in the correct course and units.

WHO CREATES COURSE OFFERINGS?

Offerings must be created in accordance with the TAFE NSW Standard Enrolment Process. In TAFE NSW West all course offerings are initiated by the Head Teacher (HT) through Course Offering TAS which is sent to the Central Course Creation Team.

It is critical that when offering forms are submitted that the information is accurate to ensure ease of enrolment for the learner.

WHAT DOES “NO PAY - NO START” MEAN?

TAFE NSW West have developed a clear policy on fees. The Student Fees and Payments - procedure can be accessed on the Western Intranet in My Procedures. This policy informs learners of their obligations for the payment of fees that are part of their course enrolment.

A learner should only be in a class if they have paid, and where required, they have a Commitment ID.

This requirement applies to all forms of course participation.

For students enrolled in subsidised training with specified eligibility criteria, course fees are determined and subsidised by the NSW Government.

For learners enrolled in Fee-For-Service programs, course fees are set by TAFE NSW West.
WHAT IS A TRAINING PLAN?

A Training Plan provides details of the formal training and assessment to be undertaken by a learner as part of a Smart and Skilled subsidised qualification. Training plans should be flexible and able to be adjusted to accommodate changes during the course of study.

WHO NEEDS A TRAINING PLAN?

Training plans are required for all learners in Smart and Skilled programs. This includes Entitlement Full Qualifications (Certificate II and III), Entitlement Foundation Skills (Certificate I and III), Entitlement Apprenticeships and Traineeships, Targeted Priority (Cert IV, Diploma, and Advanced Diploma), TAFE NSW funded Targeted Priority part qualifications and Training Services NSW funded part qualifications courses.

HOW IS A LEARNER’S TRAINING PLAN DEVELOPED?

Teachers are required to develop Training Plans for their learners. All Training Plans should be developed using a current Training Plan template and in accordance with the procedure.

Training plan development should engage all relevant stakeholders to plan the training and assessment associated with a learner enrolment, including:

- The Learner
- TAFE NSW West (as the training provider)
- The Employer (for trainees and apprentices)
- The School (if school-based apprentice or trainee [SBAT])
- Apprenticeship Network Provider

Training plan development must be a negotiation, and done in a consultative manner to ensure that all stakeholders are able to have input into the design of the training plan, to ensure best outcomes for the learner.

For more information:

- NSW Apprenticeships and Traineeships Training Plan Guidelines
- Talk to your MEP
- Talk to your HT
WHERE DO WE FIND THE TRAINING PLAN TEMPLATES?

The training plan templates are located on the SIH.

There are two (2) Training Plan templates that we use for learners who are being trained under Smart and Skilled:
1. Apprentice/Trainee Training Plan
2. Non-Apprentice/Trainee Training Plan

We must ensure that we use the latest training plan template and that is why it is important to access the templates through the procedure on the Intranet.

WHAT INFORMATION IS REQUIRED IN A TRAINING PLAN?

The Training plan template must be completed correctly and include all of the following information:
- Name and contact details of RTO, learner & employer (if applicable)
- Training activity for both the RTO and the learner
- Details of the support services the learner will receive, including if they are Aboriginal, have a disability or are long-term unemployed
- Any RPL and/or credit transfer granted
- Training package details including name, code and AQF level, names and codes of Unit of Competency (UoC) to be attained, scheduled hours for each UoC
- Proposed timeframe for achieving competency including intended start date and end date for each UoC
- Delivery modes to be used for each UoC
- Details of customisation included to respond to the needs of the learners and/or the work location and/or the employer(s)
- Proposed learning strategies and resources that are appropriate
- Names of those responsible for the training and/or assessment of each UoC
- RTO, learner and employer (if applicable) signatures and dates

We must develop a training plan for each approved qualification in which an enrolled student is receiving subsidised training

The training plan must be developed and in place within twelve (12) weeks of commencement **

Must be stored in EBS, against the learner's enrolment record

We must ensure students have input into the training plan and receive a copy. Training plans may be prepared for a group of students where the training and assessment is similar, subject to individual requirements

**Note that this does not include:
- Apprentices and new entrant trainees for whom full training plans must be completed within twelve (12) weeks of approval of the training contract
- School-based apprentices and trainees for whom a full training plan must be in place at commencement
**WHEN MUST WE DEVELOP THE TRAINING PLAN?**

Training Plans must be developed and in place within 12 weeks of the learner’s commencement.

Note: for NSW Trainees and Apprentices, must be developed within 12 weeks from the training contract approval date by TS NSW (not commencement in training). This period is calculated from the date the Training Plan Proposal (TPP) is signed by HT.

**WHERE IS THE TRAINING PLAN STORED?**

All Training Plans must be signed and dated by all stakeholders, and then uploaded to EBS against the learner’s enrolment record.

Note: While some teaching departments may choose to print Training Plans and keep a copy with the learner’s hard copy records, and/or keep a copy within the TPL training plans online system, this must be additional to the mandatory requirement of having Training Plans stored in EBS.

**WHAT DO WE DO IF WE’RE UNABLE TO GET AN EMPLOYER TO SIGN OFF A LEARNER’S COMPETENCE ON A TRAINING PLAN?**

Under the NSW Apprenticeships and Traineeships Training Plan Guidelines the employer (or workplace supervisor) is required to confirm the apprentice’s or trainee’s competence by signing against the relevant Unit of Competency on the Training Plan. We must make every effort to see the employer and discuss the signing off of competence with them to ensure they understand what they are being asked to confirm. If the employer will not sign off competence, we must complete an RTO Notification of Issues Form and email it to the relevant TS NSW regional office.

**WHAT DO WE DO IF AN APPRENTICE IS UNABLE TO ATTEND TRAINING BECAUSE THEIR EMPLOYER KEEPS THEM AT WORK?**

If a learner is falling behind in their studies due to being held back at work then the first approach should be to discuss the issue with the learner and employer to develop an effective approach to catching the learner up in their studies. If the issue persists, we must complete an RTO Notification of Issues Form and notify TS NSW.

**RESPONSIBILITIES**

**Director VET Delivery** - is ultimately responsible for the development and implementation of this procedure in TAFE NSW West. Is responsible for ensuring the currency and accuracy of this procedure in line with the most current activity period Smart and Skilled Contract and associated policies.

**The Managers - Educational Programs** - are responsible for ensuring this process is implemented within their respective business line.

**Head Teachers** - are responsible for ensuring training plan compliance requirements are met.

**Manager Organisational Process and Service Improvements** - performing quarterly desktop reviews of training plan completion, for the respective MEP line.

**Teaching Section Representative**, this could be a Head Teacher, Teacher or Course Coordinator (this is not administration staff) - are responsible for the completion of training plans for their respective learners. Head Teachers are to oversee the process.
Recognition including Recognition of Prior Learning (RPL) and Credit Transfer (CT) is a process of giving learners credit for skills, knowledge and/or experience gained through working and learning. It can be gained through formal and informal learning in Australia or overseas, through work or other activities such as volunteering.

The two types of Recognition are:
1. Recognition of Prior Learning (RPL)
2. Credit Transfer (CT)

Teaching staff must know the difference between what constitutes a Credit Transfer and what constitutes Recognition of Prior Learning and they must apply each of these correctly.

On the next page you will find a summary of the 13 underpinning principles of the TAFE NSW Recognition Policy. These principles form the framework for Recognition services conducted in TAFE NSW.

**IS RPL A FORM OF ASSESSMENT?**

Yes - requires an assessor to make an educational judgement against evidence provided by a learner, by mapping this evidence against the units of competency being applied for. This is very similar to how we would map the unit requirements to the assessment tasks only we are mapping the RPL evidence received. (Refer to the Recognition of Prior Learning Guidelines for TAFE NSW)

**IS CREDIT TRANSFER A FORM OF ASSESSMENT?**

No - Credit Transfer (CT) is an administrative process where a learner has completed the exact unit or a unit deemed equivalent, through any TAFE NSW Institute or another RTO and the learner is seeking credit for the unit in their current enrolment. (Refer to the Credit Transfer Guidelines for TAFE NSW)

**RPL**

RPL is an assessment process that assesses the competency 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 Vocational Education and Training (VET) accredited courses.

**Credit Transfer** means credit granted to an enrolled learner for a unit of competency previously successfully completed.

Where can I find out more information?

- TAFE NSW WI Pecognition and Credit Transfer Procedure
- Recognition Policy - TAFE NSW
- User’s Guide to the Standards for RTOs 2015
- Smart and Skilled Contract and Operating Guidelines
# TAFE NSW Recognition Policy – Summary of the 13 Underpinning Principles

| Principle 1 | Anyone enrolled can apply for Recognition. |
| Principle 2 | Recognition can be offered commercially under a fee for service arrangement. |
| Principle 3 | Information on Credit Transfer and RPL must be made available at enrolment. |
| Principle 4 | Recognition is aimed at reducing the amount of learning required by acknowledging an individual's skills, knowledge and/or experience acquired through formal and informal learning. |
| Principle 5 | Learners enrolled in a government subsidised qualification or course can apply for recognition in that qualification/course at no charge. |
| Principle 6 | Learners enrolled in a government subsidised qualification as part of the NSW Smart and Skilled are eligible for a reduced fee if recognition is granted. |
| Principle 7 | The smallest educational unit granted through recognition is a unit of competency. |
| Principle 8 | Recognition can be granted for up to and including 100% of a training package qualification or VET accredited course. |
| Principle 9 | TAFE NSW does not issue a testamur or transcript for an identical qualification awarded by another RTO. |
| Principle 10 | Eligibility for recognition does not provide guaranteed entry into a TAFE NSW course. |
| Principle 11 | Assessment evidence for Recognition of Prior Learning is recorded in accordance with the requirements of the Standards for RTOs 2015 and/or NSW Smart and Skilled Contract. |
| Principle 12 | Learners are provided credit for a unit/s of competency previously completed in another training package qualification or VET accredited course, provided they meet the requirements of the packaging rules of a subsequent enrolment in a course. |
| Principle 13 | Applicants can request a review of an unsuccessful outcome of recognition of prior learning application. |
HOW IS CREDIT TRANSFER PROCESSED & WHO IS INVOLVED?

1. Learners need to provide original or certified copies of their transcripts to their teacher, which list the unit(s) they are applying for (if previous study was completed with TAFE NSW Western Institute this information and transcript can be accessed through EBS and the UoC may be automatically applied to their record when they enrol – see “What is Auto Credit” below).

2. Teachers must review the transcript to ensure it is verified and accurate.

3. Teachers check the units are the same or deemed equivalent, and confirms that Credit Transfer applies and meets the training package requirements for the course.

4. Teacher completes TAFE NSW Enrolment Adjustment - Credit-Previous Studies (Form 108) forwards to College Administration

5. College Administration processes Credit Transfer in EBS and files paperwork locally.

CREDIT TRANSFER

Credit Transfer... means credit granted to an enrolled learner for a unit of competency previously successfully completed.

What records are kept for CT?

- Transcript of Academic Record**
- TAFE NSW CT Form**
** uploaded to EBS by College Administration

What is Auto Credit?

Auto Credit is a type of Credit Transfer where the credit for a Unit is automatically applied in EBS when a learner enrols. It is only applicable for units that the learner has completed previously with the same TAFE NSW Institute they are enrolled in. If a unit they have previously completed sits in another course they enrol in down the track, it will automatically be credited to them when they enrol, provided the UoC meets the packaging rules for that qualification or course.
CREDIT TRANSFER PROCESS AND RESPONSIBILITIES

ASSESSOR
(Teacher or Head Teacher)

- Provides initial advice to learner about Credit Transfer (CT) including evidence requirements
- Provides the learner with a copy of the TAFE NSW CT Form (Enrolment adjustment - Credit for Previous Studies) and assists the learner to complete the form.
- Receives and reviews the original evidence of previously completed studies (Academic Transcript) submitted by the learner and confirms that Credit Transfer is appropriate for the requested units in accordance with the TAFE NSW Credit Transfer guidelines.
- Ensures the TAFE NSW CT Form is completed in accordance with Credit Transfer procedure, including learner signature, teacher signature and dates.
- Submits TAFE NSW CT Form and Certified Copy of the Academic Transcript to Central CAS team via a CT eChecklist.

PROCESSOR
(College Administrator)

- Receives documentation submitted by teacher
- Processes CT outcome for units against the learner in EBS
- Uploads all submitted CT documentation against the learner enrolment in EBS and includes a comment against the course enrolment that CT has been processed
- Notifies Teacher when processing has occurred
HOW IS CREDIT TRANSFER PROCESSED & WHO IS INVOLVED?

- Teachers receive and review the evidence submitted by the learner
- Teachers map the evidence to the unit requirements using the Recognition - Candidate Self Assessment Kit
- Teachers identify any gaps in unit requirements and offer gap training or alternative assessment options to the learner
- Teachers complete the TAFE NSW RPL Form in accordance with the procedure, including learner signature, dates and Line Manager approval/signature
- Teachers submit an email to HT requesting approval
- Teachers/assessors are responsible for completing all documentation relating to the RPL assessment and determining the assessment judgement or decision
- Head Teachers are responsible for approving the RPL decision and reviewing the evidence and documentation completed by the teacher/assessor
- HT approves in EBS
- Teachers retain all actual RPL evidence submitted by the learner with the learner's records as per their department storage model
- Teacher records results in EBS

RPL... is an assessment process that assesses the competency 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 Vocational Education and Training (VET) accredited courses.

What records are kept for RPL?
- All RPL evidence collected from the Learner
- RPL Unit Evidence Summary (for each Unit)**

RPL evidence from the learner can vary and includes the following:
- copies of workplace evidence
- Third Party reports
- competency conversation reports
- observation reports
- portfolio’s
- photographs (clearly identifying the learner and the tasks the photo is demonstrating)
**RPL PROCESS**

**Student**
- Initiates enquiry through Course Enquiries
- Initiates enquiry through HT/Trainer
- Completes and submits:
  - RPL self assessment
  - Enrolment/application form
  - Unique Student Identifier (USI)
- Pays interview fee, if not already enrolled

**Trainer/Assessor**
- Conversation with student to explore whether student will benefit from RPL Process
- Provides RPL Kit
- Emails HT to request approval
- Maps evidence
- Completes competency conversation
- Finalises assessment decision
- Grants RPL for full qualification or develops training plan:
  - Recognises some units and/or
  - Identifies gap training and/or
  - Advises additional evidence required
- Processes evidence
- Records results in ebs

**Head Teacher (HT)**
- Approves in ebs (if not approved, advises trainer/assessor, who will contact student)
- Prepares quote for Commercial Student
- Grants RPL for full qualification or develops training plan:
  - Recognises some units and/or
  - Identifies gap training and/or
  - Advises additional evidence required
- Updates Training Plan and advises STS if a Smart and Skilled Funded Student

**BCU/Course Enquiries/Customer Service Officers**
- Provides RPL Kit
- Initiates enquiry through HT/Trainer OR
- Grants RPL for full qualification or develops training plan:
  - Requires some units
  - Identifies gap training and/or
  - Advises additional evidence required
- Processes evidence
- Records results in ebs

**SMART & SKILLED**
- Training & Assessment Strategies
- Enrolment
- Training Plans
- Recognition

**PARTICIPATION**
- Assessment
- Results & Outcomes
- Withdrawals
- Compliance Checklist
All learners engaged in training and assessment with TAFE NSW West must have an accurate and current record of participation in all units of competency that they commence.

**WHEN DO WE NEED TO RECORD PARTICIPATION?**

Participation must be entered directly after the participation has occurred, or as soon as practical thereafter. This is to ensure accurate records are maintained all the time, and provides the best service possible to our learners.

**WHAT RECORDS DO WE NEED TO KEEP FOR PARTICIPATION?**

We must keep records that accurately demonstrate a learner’s participation in training through:

1. **EBS register** (class based, blended or online chat session)
2. **Online participation log** (for online courses)
3. **Temporary softcopy or hardcopy attendance sheet** (kept with the teacher’s course documentation, ready for input to EBS asap)
4. **Completed activity sheet** that includes unit of competency code and description, student name and date

**EBS REGISTERS**

Teachers must create and maintain an EBS register for all courses they deliver. The only exception to this requirement is with the delivery of an Online-only course, where the online participation log may be used.

EBS registers must be completed in EBS Agent to ensure Class Notes and Individual Learner Notes are entered. Class and Learner Notes are critical information that physically cannot be entered in EBS Client.

When recording participation in EBS you must ensure that the correct attendance code (e.g. X - Present, A - Absent) is entered for each learner.

**RECORDING PARTICIPATION TIPS**

- Record learner attendance and participation as soon as possible once it has occurred
- Keep everything for at least 3 years post-completion
- Use EBS Registers and Timetables
- Record Class Notes detailing what the session covered
- Record in-depth Learner Notes - tell the story!

**What if the delivery schedule changes?**

When there is a variation between the original course delivery information (provided to learners) and the actual delivery occurring, then this must be adjusted, documented and communicated to learners.
EXAMPLE OF EBS REGISTER IN AGENT SHOWING WHERE TO PLACE CLASS AND LEARNER NOTES

CLASS NOTES:
✓ apply to the whole class attending the session
✓ detail the Units covered during the session
✓ indicate the training activities in the session
✓ list the assessment activities in the session

LEARNER NOTES:
✓ detail information only applicable to an individual learner during the session
✓ record reasons for absences and early departure, late arrival
✓ indicate the tasks the learner may have missed due to absence and any catch-up requirements
HOW DO I SET UP EBS REGISTERS?

EBS Registers are created within Timetables and Registers function of EBS. Refer to the TAFE NSW EBS Training Moodle for detailed instructions on creating a register.

There are two preferred ways to set up EBS registers. In both cases, dates and times must be accurate and match all other course documentation such as timetables that have been provided to the learner.

1. **Individual Unit or Clustered Unit Register Event**

   This requires a structured delivery schedule. It is suitable when for example, a unit is being delivered at the same day and time each week or fortnight. Participation is recorded in EBS by the teacher using the relevant participation code for each attendance.

   Clustered delivery of units requires additional documentation of content mapping and/or session plans to indicate the unit or units where participation occurs for each date. The location of this documentation needs to be referenced in the Class Details in the register event in Agent.

2. **Course Based Register Event by semester or year**

   This is suitable for blended and flexible delivery. The register is created for a course product. Participation entered in this register on its own is insufficient and requires a delivery schedule and evidence of participation records at the unit level. This documentation needs to be directly entered, or the location of it referenced in the Class Details in the register event in Agent.

**Best practice example: EBS Register setup**

Wayne records participation for his learners in EBS Agent in a register set up at the course product level. He uses learner notes for recording information for individual learners, such as explanations for leaving class early. Wayne also copies his session plans into the class notes for that day, to demonstrate the actual units, content and assessments that were delivered during that session. The information in his class notes corresponds accurately to the schedule he has developed and provided to his learners.

As well as X (Present) and A (Absent) you can use the following codes to indicate numbers of hours of attendance or another status of participation in EBS:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td>Present</td>
</tr>
<tr>
<td>A</td>
<td>Absent</td>
</tr>
<tr>
<td>0</td>
<td>(30 Minutes)</td>
</tr>
<tr>
<td>1</td>
<td>(1 Hour)</td>
</tr>
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<td>2</td>
<td>(2 Hours)</td>
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<td>6</td>
<td>(6 Hours)</td>
</tr>
<tr>
<td>7</td>
<td>(7 Hours)</td>
</tr>
<tr>
<td>8</td>
<td>(8 Hours)</td>
</tr>
<tr>
<td>B</td>
<td>(Present, Late Arrival, Left Early)</td>
</tr>
<tr>
<td>C</td>
<td>(Excursion)</td>
</tr>
<tr>
<td>E</td>
<td>(Exam)</td>
</tr>
<tr>
<td>I</td>
<td>(Present, Late Arrival)</td>
</tr>
<tr>
<td>M</td>
<td>(Participation - E-Mail Contact)</td>
</tr>
<tr>
<td>P</td>
<td>(Participation)</td>
</tr>
<tr>
<td>T</td>
<td>(Participation - Telephone Contact)</td>
</tr>
<tr>
<td>W</td>
<td>(Work Experience)</td>
</tr>
<tr>
<td>Y</td>
<td>(Present, Left Early)</td>
</tr>
<tr>
<td>H</td>
<td>(Public Holiday)</td>
</tr>
<tr>
<td>N</td>
<td>(Notified Absent)</td>
</tr>
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<td>S</td>
<td>(Sick - Doctor's certificate provided)</td>
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HOW DO I RECORD ONLINE PARTICIPATION?

Online-only course delivery does not require an EBS register provided there is evidence of participation at the unit level via an online participation log. Additionally, chat session participation may be entered in a register.

Best practice example: Recording Online participation

Brandi delivers an online course via TAFE online. To demonstrate participation of her learners, she extracts the online participation log and saves a copy of this to each learner’s record in EBS in Client under general documents at the end of each month and at the end of the course.

WHAT ARE THE RECORD KEEPING REQUIREMENTS FOR PARTICIPATION?

Evidence of learner participation must be retained for three (3) years post-completion to meet Smart and Skilled contract requirements.

The following items must be accessible for the retention period as they apply to the delivery mode and cohort of learners:

- Class register showing participation at the unit level
- Online participation logs showing participation at the unit level
- Clustered and flexible delivery of units require additional evidence of content mapping and/or session plans to indicate participation at the unit level
- Other forms of participation evidence for distance or workplace delivery may include phone logs, emails, assessments and training activities
- Additional participation evidence must identify the unit, date of submission and be stored in either learner notes and / or with the learner evidence
- Evidence of participation must be provided for each unit from which a learner has withdrawn

An Online Participation Log is acceptable evidence of training participation for an online-only course, however it must be easily accessible and regularly recorded against a learners enrolment details in EBS.

Additional retention periods may be required for training that is delivered outside of Smart & Skilled. Make sure that you are aware of any other specific contract requirements for your discipline area or funding bodies by checking with your:

- Head Teacher, or
- MEP
Where participation evidence cannot be added to EBS via Agent, evidence records should be securely stored. Details of the evidence location must be added to EBS in Client in the notes for each individual learner.
Example of a learner record in EBS Client with additional documentary evidence that has been uploaded in the General Documents tab:
Every learner that is enrolled in training with TAFE NSW West must be adequately informed about the assessment requirements of their course.

In addition to the generic Student’s Guide to Assessment in TAFE NSW which all learners have access to, we must provide detailed information on:

- how and where a learner will be assessed
- when they will be assessed
- who will assess them, and
- what assessment tasks will be required to demonstrate competency

Teachers are required to conduct assessment in accordance with the TAS developed for the course and the TAFE NSW Assessment procedures for Assessment of learners.

### WHAT DOCUMENTATION MUST BE PROVIDED TO LEARNERS PRIOR TO ASSESSMENT?

At the start of each course offering/delivery, students should be provided with information on the assessment procedure and assessment information pertaining to the Units of Competency they are enrolled in. This should all be in the SAG that is provided via EBS. This information should include:

- Every Student's Guide to Assessment in TAFE NSW which provides information about assessment in the form of frequently asked questions and answers on the way students are assessed in TAFE NSW (embedded on the Learner Portal - Announcements Page)
- Read the TAFE NSW West Assessment Policy and Appeals process if a student wishes to have an assessment re-marked, or wishes to instigate an assessment appeal (embedded on the Learner Portal - Announcements Page).
- Students who are disadvantaged may need extra support and assistance. Reasonable adjustment measures may need to be put in place. Ensure that any reasonable adjustment made for a student who has particular needs is documented with the student notes, as well as any required forms completed. Notes can be added in EBS. For students with disabilities, see the Procedure: Disabilities - Support for students which provides advice on who to contact and what support measures are available.
REQUIREMENTS OF ALL ASSESSMENTS

Any assessment tool developed needs the following:

- Clear instructions for the student on how to complete the assessment to a satisfactory level
- A Trainer/Assessor Guide (Template provided) with specific instructions for the trainer/assessor relating to delivery and assessment, i.e. must be assessed in a workplace environment, or must be assessed a minimum of three times demonstrating a particular skill or task, as well as benchmark/suggested answers
- Mapping matrix (Option 1 - Abbreviated or Option 2 - Extended) against training package requirements, which includes performance criteria, elements, required skills and knowledge and in some training packages, critical aspects
- Each assessment tool needs a Cover Sheet and an Assessment Summary Sheet, see Guide to Quality Assessment (Compliance) for more information on how to use the assessment templates provided re feedback. The Cover Sheet and Assessment Summary Sheet is embedded in all the Assessment Method templates, but should you be updating existing assessment to ensure compliance, or using an LMS you must add these documents to your Assessment tool/s

WHAT DOCUMENTATION MUST BE PROVIDED TO LEARNERS AFTER ASSESSMENT?

Learners must be provided with the result of their assessment events and the outcomes for the units they are being assessed in.

We do this by providing the following documents and explaining them to the learner:

- Assessment Summary Report
  
  A copy must be given to each learner after a whole unit has been assessed, and the overall outcome determined.

Assessment templates and exemplars can be found on the Staff Information Hub:

☑️ Assessment Planning and Validation Tool
☑️ Validation of Assessment Judgement Tool
☑️ Assessment Mapping
☑️ Assessment Coversheet
☑️ Third Party Report
☑️ Exemplars are also provided
☑️ Trainer and Assessor Guide Template
☑️ Assessment Appeals Review Form
EXAMPLE OF ASSESSMENT DOCUMENTATION IN THE STAFF INFORMATION HUB:

Forms Assessment Templates

- Assessment Appeals Review Form
- Assessment Cover Sheet Template
- Assessment Cover Sheet with Tasks
- Assessment Demonstration Observation Template
- Assessment Demonstration with Questions Template
- Assessment Exam Template
- Assessment Group Task Template
- Assessment Journal Template
- Assessment Mapping Matrix (Option 1, Allocated)
- Assessment Mapping Matrix (Option 2)

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URL Related/Procedure Approval Status
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- Assessment Assessment Approved
- Assessment Assessment Approved
- Assessment Assessment Approved
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- Assessment Assessment Approved

SMART & SKILLED TRAINING & ASSESSMENT STRATEGIES ENROLMENT TRAINING PLANS RECOGNITION

PARTICIPATION ASSESSMENT RESULTS & OUTCOMES WITHDRAWALS COMPLIANCE CHECKLIST
**WHEN SHOULD WE DEVELOP ASSESSMENT TOOLS?**

Assessment Tools must be developed prior to delivery of a Unit of Competency. They must be developed as part of a structured process that involves mapping the specific requirements of a Unit of Competency to each assessment activity or event.

The Australian Qualification Framework (AQF) level of the qualification must be considered to ensure the assessment is pitched at the appropriate level.

Developing Assessment Tools requires thorough planning to ensure both the Principles of Assessment and Rules of Evidence have been applied. This will enable learners the best opportunity to demonstrate their competence and ensure judgement of competence can be made against the unit requirements.

*The application of the Principles of Assessment and Rules of Evidence is a requirement for all trainers and assessors under the Standards for RTOs 2015.*

**WHAT IS ASSESSMENT MAPPING?**

A Unit Assessment Map is mandatory for all units that are assessed. It facilitates the planning and development process for your assessment instrument and tool. Mapping assessment events and activities to the specific requirements of a Unit of Competency ensures that the overall Assessment Tool covers all essential requirements.

Teachers must ensure that all units they assess, have a current Unit Assessment Map which addresses all aspects of the Unit of Competency.
WHAT IS ASSESSMENT VALIDATION?

Assessment validation is a mandatory requirement for all RTO's under the Standards for RTOs 2015. It is a mechanism used to ensure that the Assessment Tools we develop are valid and we consistently produce valid assessment judgements or decisions.

There are two major parts to assessment validation:

1. **Pre-Assessment Validation (Validation of Assessment Tools)**
   - All Assessment Tools used in TAFE NSW West must go through the Quality Assessment Compliance Checklist process.
   - The Quality Assessment Compliance Checklist must be used to assist in the writing of Assessment Tools as well as a validation template to provide feedback to improve Assessment Tools. Information about the composition of validation teams is also included in this document as well as the procedure.

   **See - Quality Assessment Compliance Checklist**

2. **Post-Assessment Validation (Validation of Assessment Judgements)**
   - A statistically valid sample of assessment judgements and decisions must be reviewed for every training product on our scope, every 5 years. Five years plans for each qualification are developed by VET Regulation Support Officers. These plans specify the units that will be validated in the relevant time frames.

   **See - Validation Procedure**

TWO TYPES OF ASSESSMENT VALIDATION

1. **Pre-Assessment Validation = Tools**
2. **Post-Assessment Validation = Judgement**

For more information:
- ✅ Talk to your Head Teacher
- ✅ Talk to your MEP
- ✅ ASQA Conducting Validation Fact sheet
- ✅ Validation Procedure
WHO PARTICIPATES IN VALIDATION SESSIONS?

Validation sessions are organised by Managers Educational Planning and the VET Regulation Support Officers. Validation teams typically include a lead validator, a content representative and a team member.

Industry representatives may be invited to validation sessions and be part of the validation team, or industry consultation on the assessment tools may occur at another time and be documented in the relevant place on the Validation Session Report.

Check out this useful resource below from ASQA on Conducting Validation - click image.

WHO MAKES CHANGES TO ASSESSMENTS FROM THE VALIDATION FEEDBACK?

The lead validator will work with the unit key contact to ensure that amendments to assessments are completed and that the amended version is uploaded to the VET Delivery Sharepoint Site for institute use.
HOW DO WE REPORT ASSESSMENT RESULTS?

Upon completion of an individual assessment event, the assessor must provide feedback, including a result, to the learner in a timely manner. An Assessment Summary Report or equivalent must be used to provide and evidence learner assessment feedback.

Where there is more than one assessment event for a unit or cluster of units, the assessment event will have a result of Satisfactory (S) or Unsatisfactory (US) in EBS Client in Assessments and published. Once all assessment events for a unit are completed the assessment result will roll up. Where there is only one assessment event results will be recorded in EBS in Client in Assessments as Achieved Competence (AC) or Not yet Competent (NC) and published.

When providing learners assessment feedback it is important to note that a learner cannot be assessed as AC or NC until all assessment events for the unit of competency have been assessed.

When we enter assessment results for a learner, we are signing a legal document. Assessors are personally responsible for their judgements.

When a whole unit has been assessed, the Assessment Summary Report must be completed to consolidate the outcome for the learner.

Assessment results must be entered into EBS as soon as possible in order to meet our contractual requirement and receive Smart and Skilled funding.
WHEN CAN WE PROVIDE REASONABLE ADJUSTMENT IN ASSESSMENT?

Learners are asked to declare on enrolment if they have a disability, impairment or long term condition, and if they seek assistance from a disability or support teacher/consultant. This declaration enables us to provide reasonable adjustment in assessment. Guidance on appropriate reasonable adjustment can be provided by disability or support teacher/consultant. Reasonable adjustments made during assessment events must be recorded on Learner and Assessor assessment documentation in the relevant fields.

CAN WE ASSESS SOMEONE WE KNOW?

Assessors must ensure there is no Conflict of Interest (real or perceived) when enrolling and assessing learners. This includes assessment of Recognition evidence.

A Conflict of Interest (COI) exists where enrolment and assessment involves a family member, close friend or relative of a close friend of the teacher/assessor allocated to the class, a colleague or business associate of the teacher/assessor allocated to the class or a TAFE NSW staff member who wishes to enrol and/or requires assessment.

The Disclosure of a Conflict of Interest must be completed upon enrolment by the teacher / assessor (this can be accessed via SIH).

A Conflict of Interest (COI) exists where enrolment and assessment involves:

- a family member
- close friend or relative of a close friend of the teacher/assessor allocated to the class
- a colleague or business associate of the teacher/assessor allocated to the class, or
- a TAFE NSW staff member who wishes to enrol and/or requires assessment

For more information...

- Discuss with your MEP or HT
- WI Procedure - Assessment
WHAT QUALIFICATIONS AND REQUIREMENTS DO WE NEED TO BE AN ASSESSOR?

To be an assessor you must qualify as follows:
1. TAE40110 Certificate IV in Training and Assessment, or TAESS00011 Assessor Skill Set
2. The unit which is being assessed or documented equivalence
3. Evidence of maintaining VET currency
4. Evidence of maintaining vocational currency

This information must be collated and updated regularly in the Trainer profile on TMS.

HOW CAN WE ENSURE OUR ASSESSMENT DOCUMENTATION IS COMPLIANT?

- Confirm assessment unit codes and names match the TAS
- Use unit codes and names correctly without abbreviations
- Provide consistent documentation to learners using the mandatory templates
- Complete all forms and documents in full with:
  - dates
  - full names and
  - signatures (ink or verified e-signature)

NOTE: When we enter assessment results for a learner, we are signing a legal document. Assessors are personally responsible for their judgements.

The following assessment items must be retained and accessible:

- Assessment tools including:
  - Unit Assessment Map
  - Marking/Assessor Guides
  - Validation evidence
- Completed assessments for each learner for each unit/cluster of units including:
  - Evidence used to judge competence
  - Third Party reports where used
  - Signed Assessment Summary Report

NOTE: For apprentices and trainees, the employer’s signature on the Training Plan supporting the achievement of competency or equivalent record for the enrolled student.
WHAT ARE OUR RECORD KEEPING REQUIREMENTS FOR ASSESSMENT?

All evidence of assessment for each learner and each unit of competency must be retained for three (3) years post completion to meet the requirements of our Smart and Skilled contract.

Please familiarise yourself with any additional retention requirements that may apply for other contracts, discipline areas or funding bodies. The Head Teacher and or MEP should alert you to any additional or differing requirements.

- Assessment is in accordance with the TAS
- Learners must know about assessment in advance
- Assessors are responsible for their judgements
- Evidence must be retained for three years
- Teacher is qualified to assess
- Mandatory assessment templates are in VET Delivery Sharepoint Site
- Use $ / US until all unit assessments are completed
- Unit assessment map is mandatory
- Learner is provided with a Unit Outcome Summary
- Submit a COI form as required
- Teacher profile is accurate
- Speak to HT if you cannot locate a validated assessment tool
- Seek assistance from a disability or support teacher/consultant if reasonable adjustment is required

BEST PRACTICE EXAMPLE

In planning for assessment Kate accesses the VET Delivery Sharepoint Site to locate assessment tools for the units listed in the TAS.

Kate provides her learners with a Student Assessment Guide (SAG) upon enrolment. At the beginning of each unit Kate gives each learner a Unit Assessment Guide (UAG) and explains the assessment process, date and times.

When assessing learners Kate ensures she uses the Rules of Evidence to make her judgements.

Once Kate has assessed the learners she provides them with detailed feedback in a timely manner. Copies of the Assessment Tool and feedback are also stored in line with her department storage model.

Results are entered into EBS in Client in Assessment as soon as practical. Finally Kate checks that results have rolled up and the correct outcomes have been processed.
RESULTS & OUTCOMES

HOW DO WE REPORT RESULTS TO LEARNERS?

Upon completion of an individual assessment event, the assessor must provide feedback, including a result, to the learner in a timely manner. An Assessment Summary Report must be used to provide and evidence learner assessment feedback.

When providing learners an assessment result it is important to note that a learner cannot be assessed as Achieved Competence (AC) or Not yet Competent (NC) until all assessment events for the unit of competency have been assessed. Therefore all individual assessment events must be reported as Satisfactory (S) or Unsatisfactory (US), and when the whole unit has been assessed, the Assessment Summary Report should be completed to consolidate the outcome for the learner. The Assessment Summary report is retained as evidence of the result and the feedback.

WHAT TYPE OF FEEDBACK IS REQUIRED?

Learner feedback should be specific and relate directly to the assessment criteria. Additional detailed feedback is required in a US or NC judgement to explain the judgement to the learner. This information may also be reviewed as a part of the appeals process.

HOW DO WE REPORT RESULTS IN EBS?

As above, where there is more than one assessment event for a unit or cluster of units, the assessment event will have a result of Satisfactory (S) or Unsatisfactory (US) in EBS Client in Assessments and published. Once all assessment events for a unit are completed the assessment result will roll up. Where there is only one assessment event results will be recorded in EBS in Client in Assessments as Achieved Competence (AC) or Not yet Competent (NC) and published.

NOTE: When we enter assessment results for a learner, we are signing a legal document. Assessors are personally responsible for their judgements.

WHAT IS SMART & SKILLED EREPORTING

eReporting is the process by which RTOs are required to report training activity to Training Services NSW. This process ensure providers are progressively paid, financial caps are accurately managed and quality data is provided to Training Services. Additionally, eReporting facilitates scholarship payments to eligible learners.

Why is eReporting important?

For entitlement learners, Smart and Skilled funding is allocated via a Commitment ID (CID).

If eReporting does not successfully occur against a CID within 6 weeks from the planned start date, then the CID expires and funding is lost.

If results are not entered progressively or correctly in EBS, funding for the respective CIDs is not paid.
### WHAT ARE THE ACCEPTABLE UNIT RESULT CODES FOR EREPORTING?

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>USED WHEN...</th>
</tr>
</thead>
<tbody>
<tr>
<td>AC</td>
<td>ACHIEVED COMPETENCY</td>
<td>A learner has received a Satisfactory result in each required assessment event as per the Unit Assessment Guide instructions.</td>
</tr>
<tr>
<td>NC</td>
<td>NOT COMPETENT</td>
<td>A learner has received an Unsatisfactory result in any required assessment event as per the Unit Assessment Guide instructions.</td>
</tr>
<tr>
<td>CC</td>
<td>COMPETENT WITH CREDIT</td>
<td>A learner has received a Satisfactory result in each required assessment event at a credit level as per Unit Assessment Guide criteria – Graded assessment must be deemed after competency is awarded.</td>
</tr>
<tr>
<td>CD</td>
<td>COMPETENT WITH DISTINCTION</td>
<td>A learner has received a Satisfactory result in each required assessment event at a distinction level as per Unit Assessment Guide criteria – Graded assessment must be deemed after competency is awarded.</td>
</tr>
<tr>
<td>NS</td>
<td>NO START</td>
<td>A learner does not participate in any learning or assessment for the unit of competency.</td>
</tr>
<tr>
<td>WN</td>
<td>WITHDRAWN</td>
<td>A learner has commenced but not completed a unit; A Learner has withdrawn during the course of study or has not been able to complete the course of study or assessment for a viable reason. WN is not used when a learner has completed training and does not attend the assessment or submit work required by the required due date without applying for an extension. Clear explanation of failure to complete/submit an assessment event must be included in the Unit Assessment Guide.</td>
</tr>
<tr>
<td>RPL</td>
<td>RECOGNITION OF PRIOR LEARNING</td>
<td>A learner has applied for and successfully been granted Recognition of Prior Learning for a unit in their current enrolment.</td>
</tr>
<tr>
<td>CT</td>
<td>CREDIT TRANSFER</td>
<td>A learner has completed the exact unit or a unit deemed equivalent and successfully been granted a Credit Transfer for the unit in their current enrolment.</td>
</tr>
</tbody>
</table>

**Unacceptable Codes:** These codes must not be used for any learners enrolled under a Smart & Skilled entitlement

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>USED WHEN...</th>
</tr>
</thead>
<tbody>
<tr>
<td>RT</td>
<td>RECEIVED TUITION</td>
<td>RT may only be recorded when directed by Head of Department for specified programs where learner assessment does not occur and where RT is in line with the contractual arrangements. RT does not constitute a pass in the unit, does not enable advanced standing and does not contribute to course completion.</td>
</tr>
<tr>
<td>T</td>
<td>TUITION RECEIVED</td>
<td>Is only to be used when curriculum documents state there is to be no formal assessment, a specified NNR program or when the recording of formal assessment takes place outside of TAFE NSW.</td>
</tr>
<tr>
<td>PW</td>
<td>PENDING WORK</td>
<td>Only to be used when the assessment or assessment component for a unit requires workplace evidence such as a supervisor's report. Usually only applicable to Apprentices or Trainees, and indicates that evidence is pending and a final result will not be entered until this evidence has been received from the employer.</td>
</tr>
</tbody>
</table>
WHAT HAPPENS IF A LEARNER DOES NOT AGREE WITH AN ASSESSMENT DECISION?

All learners have the right to appeal and must be made aware of this right upon enrolment and or induction to the course. If a learner does not agree with an assessment result they should be directed to discuss this with their teacher and/or the Head Teacher in the first instance. Learners may wish to appeal an assessment decision where they feel the assessment process was unfair or that the decision made by the assessor does not accurately reflect their competence or grade of achievement. An appeal is not interpreted as a criticism of the assessor. It is a review of the assessment process.

If a learner indicates they wish to appeal an assessment decision they should be provided and complete a Form-Assessment Appeal/Review and given relevant procedural instructions. See TAFE NSW West Assessment Policy and Appeals process on SIH.

CAN WE RE-ASSESS A LEARNER?

A learner has one attempt at assessment within their enrolment in a unit of competency. Each assessment event includes an opportunity for a resubmission/resit of an assessment. The first attempt at a unit is included in the fees charged to the student on enrolment.

More than one attempt may be applicable if:
- Training package or industry areas allows due to the nature of the training program or specified reasons—this should be indicated in the EBS unit product offering (resit allowed)
- In consultation with the Head Teacher where the learner has considered to be disadvantaged (example: student illness)

These circumstances should always be documented in EBS against the learner record and relevant evidence such as medical certificates uploaded as applicable.

ERRORS WHICH PREVENT SUCCESSFUL EREPORTING

Training Package Verification:
- Incorrect versions of units
- Incorrect auto credits
- Failure to enrol students in the minimum number of units required for course completion

Unit Start and End Dates:
- Using planned start dates that are prior to that of the CID
- Using “bookend” unit start and end dates
- For apprentices and trainees, using unit start and end dates that are outside of the Training Contract ID (TCID) dates

Withdrawal/Transfer Procedures:
- Failure to withdraw using the correct procedures
- Failure to match units to the training package
- Attaching / detaching units, including auto credits
- Changing unit start and end dates using special details tab

Missing Marks:
- Failure to enter missing marks in a timely manner
- Not managing unit end date changes via special details, when required
- Date awarded not detailed in academic history

Student Administration will assist teachers to remediate errors that impact our eReporting.
If a learner has exhausted their attempt, they can apply to re-enrol in the unit of competency. See Procedure for TAFE NSW West Assessment Policy and Appeals process.

A separate fee is applicable for all requests for repeat enrolments of the same unit of competency including:
- Repeat enrolment for a NOT COMPETENT unit of competency
- Repeat enrolment for a WITHDRAWN unit of competency
- Repeat enrolment for a successfully COMPLETED unit of competency
- Repeat enrolment for a NO PARTICIPATION (NS) unit of competency

A separate fee and schedule of delivery must be negotiated with the Head Teacher and approved by the Manager, Educational Planning for a repeat enrolment request.

**WHAT ARE OUR RECORD KEEPING REQUIREMENTS?**

Assessment results must be entered into EBS as soon as possible in order to meet our contractual requirement and receive Smart and Skilled funding through the eReporting process.

Please ensure that the correct result codes are used for assessment and outcomes as detailed above, and that the EBS records match the evidenced unit outcomes.

Learners that have withdrawn after commencement of class must sign a withdrawal form or advise WI staff by phone, email or in person of their intention to withdraw. There must also be evidence of participation in units reported as withdrawn e.g. participation at unit level. If a learner has incomplete assessment tasks they can be awarded a Withdrawn result.

Please also review the record keeping requirements for recognition and assessment as outlined in this handbook.

**Why progressive entry of results is so important with eReporting ...**

Progressive entry of results is just that – progressive! It is NOT entering results only at the end of the term or semester. We must ensure that we enter results regularly, frequently and as they are awarded.

This is an integral part of our compliance to ensure successful eReporting and timely payments of subsidies.

**It is important for teachers to:**
- continually monitor students in EBS
- ensure withdrawal process is used correctly
- ensure timely marks entry progressively over the course of study
- ensure timely course completion
WITHDRAWALS

Withdrawals need to be actioned for all learners who have:
- Enrolled, participated in training, and decided not to continue (Withdrawal after Class)
- Enrolled, not participated in any training, and decided not to commence at all (Withdrawal before Class)
- Enrolled, may have participated in training, and decided to defer their studies (Deferral)

WHAT RECORDS DO WE NEED TO KEEP FOR WITHDRAWALS?

We must retain records for all learners who withdraw from, or defer their training. These records are retained within EBS against the learner’s enrolment record for the life of their record.

This meets the minimum requirement for record keeping under Smart and Skilled which stipulates records must be retained for a minimum of three (3) years upon withdrawal from a qualification or course.

Where a unit of competency has been given a result of WN (withdrawn), evidence of participation must be retained for the learner in that unit – see the Participation section of this Handbook for further information.

WHERE DO WE FIND THE WITHDRAWAL FORMS?

There are 2 main TAFE NSW Withdrawal forms:
1. Withdrawal/Refund Application Form (includes a deferral request)
2. VET FEE-HELP Withdrawal Application Form

TAFE NSW Withdrawal forms are located on the SIH.
GENERAL WITHDRAWAL FORM

IMPORTANT NOTE: Hours of attendance will need to be reported by the teacher to the HT where a refund is being requested.
HOW DO WE WITHDRAW A LEARNER BEFORE THEY HAVE PARTICIPATED IN A COURSE?

In this situation the learner may have inadvertently enrolled when they were only “just looking” at our course offerings on our website, or they may have actually enrolled, paid and then changed their mind.

If a learner is enrolled in a course but has not commenced or participated and needs to be withdrawn, complete the following steps.

**For Unpaid learners:**

**NOTE** The College Administration team and the relevant teaching department need to work closely together to process this type of withdrawal.

- ✓ If contact can be made with the learner confirm that they wish to withdraw and record this contact detail on the TAFE NSW Withdrawal/Refund application Form
- ✓ If you can get the learner to sign the form please do so
- ✓ If after three attempts contact cannot be made, make notes accordingly in EBS in Client against the learner enrolment record
- ✓ No results can be recorded in EBS Agent for unpaid learners

**For Paid learners:**

- ✓ To claim a refund a learner must complete the refund area of the TAFE NSW Withdrawal/Refund Application Form, sign and submit it to the Teacher
- ✓ The Teacher completes the form, requests their Head Teacher to approve and sign
- ✓ The Teacher submits the completed form

Withdrawal Tips:

- ✓ Make contact with the learner
- ✓ Processed via eChecklist
- ✓ Use the appropriate forms
- ✓ Close off the units with the correct codes
- ✓ College Administration staff are there to help

WHEN WOULD WE NEED TO WITHDRAW A LEARNER BEFORE THEY HAVE PARTICIPATED IN A COURSE

Sometimes learners can enrol online and then decide that they don’t actually want to do that course anymore.

Sometimes they decide after they have paid their fees, and sometimes they decide before they have paid.

**Withdrawal Tips:**

- ✓ Make contact with the learner
- ✓ Processed via eChecklist
- ✓ Use the appropriate forms
- ✓ Close off the units with the correct codes
- ✓ College Administration staff are there to help
EXAMPLE OF WITHDRAWAL PROGRESSIONS IN EBS AGENT:

This learner has decided to withdraw from their course.
They have participated in the Unit CPCCCA3016A, but did not participate in the Unit CPCCCM2008B.
Therefore the result entered for the two units will be as indicated below:

- CPCCCA3016A - Withdrawn progress code with a Progress Reason of Student withdraws after class (WDAC)
- CPCCCM2008B - Non-Starter Finished progress code with a reason of Student withdraws before class (WDBC)
How do we withdraw a learner after they have participated in a course?

For the learner to be in class they must be active (and paid or invoiced to be paid, or awaiting VET Student loan).

The following scenarios may apply:

<table>
<thead>
<tr>
<th>SCENARIO 1. LEARNER HAS COMMENCED TRAINING AND NOTIFIES TEACHER THAT THEY ARE NOT CONTINUING THEIR STUDIES</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. WITHDRAWAL FORM</td>
</tr>
<tr>
<td>✓ Teacher to provide learner with Withdrawal Form</td>
</tr>
<tr>
<td>✓ Learner to complete Withdrawal form, sign and date</td>
</tr>
<tr>
<td>2. RESULTS IN EBS</td>
</tr>
<tr>
<td>✓ Teacher to enter all results for learner in EBS, this may include:</td>
</tr>
<tr>
<td>■ for Units completed, enter assessment results for every Unit as per guidelines in the Results &amp; Outcomes section of this handbook</td>
</tr>
<tr>
<td>■ for Units not completed, go into EBS Agent via progressions and enter the appropriate results below:</td>
</tr>
<tr>
<td>• WN commenced but did not complete (Evidence required)</td>
</tr>
<tr>
<td>• NS did not commence the unit (Withdrawn before commenced)</td>
</tr>
<tr>
<td>3. WITHDRAWAL APPROVAL</td>
</tr>
<tr>
<td>✓ Teacher ensures withdrawal form is complete and requests Head Teacher to approve, sign and authorise the unit progressions and return.</td>
</tr>
</tbody>
</table>
## Scenario 2: Learner Has Commenced Training and Has Not Attended Three Consecutive Classes, No Advice on Status Received From Learner.

### 1. Contact Learner
- Teacher to attempt to contact learner 3 times (via a mix of different communication channels)
- Teacher records contact in EBS against the learner and attaches documented evidence

### 2. Withdrawal Form
- Teacher to complete Withdrawal form on learner's behalf indicating reason for withdrawal

### 3. Results in EBS
- Teacher to enter all valid results for learner in EBS, this may include:
  - for units completed, enter assessment results for every unit as per guidelines in the Results & Outcomes section of this handbook
  - for units not completed, go into EBS Agent via progressions and enter the appropriate results below:
    - WN commenced but did not complete (Evidence required)
    - NS did not commence the unit (Withdrew before commenced)

### 4. Withdrawal Approval
- Teacher ensures withdrawal form is complete and requests Head Teacher to approve, sign and authorise the unit progressions and return
SCENARIO 3. LEARNER HAS COMMENCED TRAINING AND NOTIFIES TEACHER THAT THEY WOULD LIKE TO DEFER THEIR STUDIES

1. WITHDRAWAL FORM

- Teacher to provide learner with Withdrawal Form
- Teacher advises learner that any unit awarded a result of NC will incur a re-enrolment fee when they return to complete their course
- Learner to complete Withdrawal form, selecting deferral as the reason and period (up to 12mths) sign and date

2. RESULTS IN EBS

- Teacher to enter all valid results for learner in EBS, this may include:
  - for Units completed, enter assessment results for every Unit as per guidelines in the Results & Outcomes section of this handbook
  - for Units not completed, go into EBS Agent via progressions and enter the appropriate results below:
    - WN commenced but did not complete (Evidence required)
    - NS did not commence the unit (Withdrew before commenced)

3. WITHDRAWAL APPROVAL

- Teacher ensures withdrawal form is complete and requests Head Teacher to approve, sign and authorise the unit progressions and return
WHO CAN HELP WITH THE WITHDRAWAL PROCESS?

While processing a learner withdrawal is primarily an administrative function, there is still some key information and actions that teachers need to do to ensure the withdrawal is processed correctly.

Follow the procedure and contact your Head Teacher or College Administration team if you require any further assistance.

Withdrawals Key Summary:

- Contact learner and confirm withdrawal
- Withdrawal forms
- Results must be accurately recorded in EBS
- Records of learners withdrawal from training must be retained for at least three (3) years
- Evidence of participation for units resulted as WN must be retained for at least three (3) years
- The correct withdrawal form must be signed by the learners and completed by teacher
- Where learner signature can't be obtained an email confirmation is accepted
- Head Teachers must approve, sign and authorise all unit progressions.
- Teachers must estimate attendance hours for HT so refunds can be calculated

Three main types of withdrawals - use the right one!

Withdrawal before class (WDBC) - Learner has not participated in training
Withdrawal after class (WDAC) - Learner has participated in training
Deferral - Learner may have participated in training and wishes to defer for up to 12mths.
A comprehensive Student Performance Monitoring Checklist has been developed which outlines the Smart and Skilled compliance requirements in one single document. This will become available early March 2017, and will sit on SIH.

This checklist is a helpful tool we can use to ensure that we are delivering training and assessment that complies with the requirements of the Smart and Skilled Contract and the Standards for RTOs 2015.

Use this Checklist to conduct a self-assessment of your own training and assessment compliance.

The checklist is “learner-focused” and it is designed to be used for reviewing learner’s record for one or all of your courses.

**If you identify areas of non-compliance, do something about it!**

In the first instance you should discuss the areas of non-compliance with your Head Teacher and MEP, and then commence addressing the areas immediately.