

RTO006 SOP Individuals Working Under Supervision of a Trainer

1. Purpose

The standard operating procedure is to ensure that Health Information Management Association of Australia Limited (HIMAA) when engaging an individual who is not a trainer and assessor, has supervision arrangements in place to ensure that the individual does not determine assessment outcomes.

2. Scope

This standard operating procedure applies to all Education Services staff and the Quality and Compliance Officer.

3. Standard 1 Clause 1.17 to 1.20

1.17 Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

1.18 The RTO ensures that any individual working under the supervision of a trainer under clause 1.17:

- a) Holds the skills set defined in Item 4 of Schedule 1 or, prior to 1st January 2016, is able to demonstrate equivalence of competencies;
- b) Has vocational competencies at least to the level being delivered and assessed and
- c) Has current industry skills directly relevant to the training and assessment being provided.

1.19 Where the RTO engages an Individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.

1.20 Without limiting Clauses 1.17 – 1.19, the RTO:

- a) Determines and puts in place:
 - I. The level of the supervision required; and
 - II. Any requirements, conditions or restrictions considered necessary on the individuals involvement in the provision of training and collecting of assessment evidence; and
- b) Ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Schedule 1

Item	Relevant Standard	AQF Qualification or Unit of Competency
4	1.18	a) TAESS00007 - Enterprise Trainer – Presenting Skill Set or its successor b) TAESS00008 - Enterprise Trainer – Mentoring Skill Set or its successor; or c) TESS00003 – Enterprise Trainer and Assessor Skill Set or its successor.

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4. Definition

Assessment – means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course.

Assessors- are persons who assess a learner's competence in accordance with Clause 1.13 to 1.13.

Competency – means the consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.

Current Industry Skills – are the knowledge, skill and experience required by VET trainers and assessors and those who provide training and assessment under supervision to ensure that their training and assessment is based on current industry practices and meets the needs of industry. Current industry skills may be informed by consultations with industry and may include, but is not limited to:

- a) Having knowledge of and/or experience using the latest techniques and processes;
- b) Possessing a high level of product knowledge
- c) Understanding and knowledge of legislation relevant to the industry and to employment and workplaces
- d) Being customer/ client oriented
- e) Possessing formal industry and training qualifications
- f) Training content that reflects current industry practice

Trainers – are persons who provide training in accordance with Clause 1.13, 1.14 and 1.16.

Training – is the process used by an RTO or a third party delivering services on its behalf, to facilitate learning and the acquisition of competencies in relation to the training product on the RTO's scope of registration.

5. References

- National Vocational Education and Training Regulator Act 2011
- Standards for Registered Training Organisations (RTOs) 2015
- User Guide Standards for Registered Training Organisations (RTOs) 2015
- RTO001 Policy Training and Assessment Strategies and Practices
- RTO001 SOP Training and Assessment Strategies and Practices
- RTO003 Policy Learner Support Services
- RTO003 SOP Learner Support Services
- RTO004 Policy Assessment
- RTO004 SOP Assessment
- RTO005 Policy Trainer and Assessors
- RTO005 SOP Trainers and Assessors
- RTO006 SOP Individuals Working Under Supervision of a Trainer
- RTO007 Policy Transitioning of Training Products
- RTO007 SOP Transitioning of Training Products

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- RTO008 Policy Quality Assurance of RTO Operations
- RTO008 SOP Quality Assurance of RTO Operations
- RTO009 Policy Issuing, Maintaining and Acceptance of AQF Certification and Providing Learners Access to Records
- RTO009 SOP Issuing, Maintaining and Acceptance of AQF Certification and Providing Learners Access to Records
- RTO010 Policy Unique Student Identifier (USI)
- RTO010 SOP Unique Student Identifier (USI)
- RTO011 Policy Providing Accurate and Accessible Information and Advertising and Marketing
- RTO011 SOP Providing Accurate and Accessible Information and Advertising and Marketing
- RTO012 Policy Learners Informed and Protected
- RTO012 SOP Learners Informed and Protected
- RTO013 Policy Complaints and Appeals
- RTO013 SOP Complaints and Appeals
- RTO014 Policy Governance and Administration
- RTO014 SOP Governance and Administration
- RTO015 Form Education Officer Supervision Arrangement Plan
- RTO011Form Professional Development Report
- RTO001 Doc Complaints and Appeals Flow Chart
- RTO010 Form Access to Records request
- RT005 Form Complaint
- RTO004 Form Assessment Appeals
- RTO006 Form Reasonable Adjustment
- RTO007 Form Deferment
- ORG005 Form Induction Checklist
- ORG006 Form Policy and Procedure Declaration
- RTO008 Form Extension Request
- RTO009 Form Application for Timetable Transfer
- RTO012 Form Education officers Industry Currency Supervisors Report
- RTO013 Form Verification of Qualifications Checklist
- RTO014 Form Professional Development Plan for Education Officers
- RTO002 Doc Student Support Services Flow Chart
- Training and Assessment Strategies

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6. Procedure

6.1 Education Officer's Supervision Arrangement

- 6.1.1 HIMAA's newly appointed Education Officers will be required to produce certified copies of their qualifications and documents. These include but are not limited to:
 - 6.1.1.1 TAE40110 Certificate IV in Training and Assessment
 - 6.1.1.2 TAESS00003 Enterprise Trainer and Assessor Skill Set or its successor
 - 6.1.1.3 TAA40107 Certificate IV in Training and Assessment
 - 6.1.1.4 Vocational competencies at least up to the level being trained and assessed
 - 6.1.1.5 Evidence of industry currency
 - 6.1.1.6 Resume
- 6.1.2 Prior to the 1st January 2016 HIMAA ensures that any individual working under supervision of a trainer holds the skill set in Item 4 of Schedule 1 as listed above.
- 6.1.3 Quality and Compliance Officer will verify the authenticity of the qualifications against www.training.gov.au website to ensure that the issuing RTO exists and that they have the qualification(s) on their scope of registration. This will be conducted using the RTO013 Form Verification of Qualifications Checklist.
- 6.1.4 Once the check has been completed the Education Officer is required to upload the documents onto the Document Management System (DMS) in the designated area.
- 6.1.5 Quality and Compliance Officer is to update the trainer's matrix document with the information.
- 6.1.6 If a newly appointed Education Officer only holds the TAA40107 Certificate IV in Training and Assessment or the TAE40104 Certificate IV in Training and Assessment, supervision arrangements are to be implemented as follows:
 - 6.1.6.1 The Training Manager is to organise for a fully qualified Education Officer or the Training Manager to oversee the training and assessment processes to ensure that the newly appointed Education Officer is supervised and that the training and assessment meets the regulators, training package guidelines and HIMAA's requirements. **A newly appointed Education Officer who is working under supervision arrangements is not allowed to determine assessment outcomes under any circumstances.**
 - 6.1.6.2 The Training Manager and newly appointed Education Officer are to complete RTO015 Form Education Officer Supervision Arrangement Plan.
 - 6.1.6.3 The RTO015 Form Education Officer Supervision Arrangement Plan is to be agreed upon and followed.
 - 6.1.6.4 Each supervised session requires the Training Manager or nominated fully qualified Education Officer to sign-off on the session.
 - 6.1.6.5 The newly appointed Education Officer is to enrol in the TAE40110 Certificate IV in Training and Assessment. This can be completed either by recognition of prior learning (RPL) or by enrolling into the full qualification.

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- 6.1.6.6 Once the newly appointed Education Officer has completed the TAE40110 Certificate IV in Training and Assessment a certified copy of the qualification is given to the Quality and Compliance Officer to update the trainer's matrix. The Education Officer then updates the DMS with the qualification.
- 6.1.6.7 The supervision arrangements will cease once the Education Officer has provided a certified copy of their qualification to the Quality and Compliance Officer.
- 6.1.6.8 The Training Manager is to finalise the supervision arrangement plan by completing the final sign-off on the supervision arrangement plan.

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