

Training and Assessment Strategy

BSB51615

Diploma of Quality Auditing

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Qualification Title	Diploma of Quality Auditing
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Publisher



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RTO Details

Legal Name	
Trading Name	
RTO Code	
RTO Status	
Contact Name	
Job Title	
Phone	
Mobile	
Email	
Address	
Website	

This strategy has been developed in accordance with the Standards for Registered Training Organisations (RTOs) 2015. It illustrates how the training and assessment practices used by [RTO Name] are responsive to industry and learner needs and meet the requirements of the BSB Business Services Training Package.

This strategy will be regularly updated to take into account changes in industry technology and techniques, legislation, the BSB Business Services Training Package and the availability of resources. It is also consistent with the advertising material provided to all prospective learners by [RTO Name].

Training Product Details

Qualification	BSB51615 Diploma of Quality Auditing Release 1; 25 March 2015
Training Package	BSB Business Services Training Package Release 2.0; 14 January 2016
Notes	The BSB51615 Diploma of Quality Auditing and superseded BSB51607 Diploma of Quality Auditing have been mapped as 'equivalent' in the BSB Business Services Training Package (Release 2.0).

Packaging Rules

Total number of units = 8

This qualification has no core units.

8 elective units must be selected, of which:

- 3 elective units must be selected from the Group A units listed below
- 2 elective units must be selected from the Group A or Group B units listed below or from an equivalent level qualification within the BSB Business Services Training Package
- 3 elective units may be selected from the Group A or Group B units listed below, or any currently endorsed Training Package, or accredited course at the same qualification level
- If not listed below, 1 unit may be selected from either a Certificate IV or Advanced Diploma qualification.

Elective units must be relevant to the work environment and the qualification, maintain the integrity of the AQF alignment and contribute to a valid, industry-supported vocational outcome.

Elective Units

Group A

BSBAUD402 Participate in a quality audit

BSBAUD501 Initiate a quality audit

BSBAUD503 Lead a quality audit

BSBAUD504 Report on a quality audit

BSBINM501 Manage an information or knowledge management system

BSBR501 Manage risk

Group B

BSBMGT502 Manage people performance

BSBMGT516 Facilitate continuous improvement

BSBPMG513 Manage project quality

BSBSUS501 Develop workplace policy and procedures for sustainability

BSBWOR502 Lead and manage team effectiveness

Target Group

The key candidates for this qualification are individuals requiring competency to work as:

- Quality Assurance Managers
- Quality Facilitators
- Quality Improvement Consultants
- Service Quality System Support Analysts.

The training program outlined in this strategy will prepare individuals to plan, carry out and evaluate their own work and/or the work of a team.

Pathways Information

Prerequisite Requirements

There are no entry requirements for the BSB51615 Diploma of Quality Auditing, and there are no prerequisite requirements for individual units comprising this qualification.

Pathways into the Qualification

Preferred pathways for learners considering this qualification include:

- Learners who have attained the BSB40215 Certificate IV in Business or other relevant qualifications; OR
- Learners who have extensive vocational experience in auditing but do not possess a formal auditing qualification.

Examples of indicative job roles for learners seeking entry to this qualification (based upon their vocational experience) include:

- Administrators
- Project Officers
- Quality Assurance Officers.

This breadth of expertise would equate to the competencies required to undertake this qualification.

Pathways from the Qualification

After achieving the BSB51615 Diploma of Quality Auditing, learners may undertake a qualification in a specialist area within the BSB Business Services Training Package, such as marketing, management or human resources.

Training Program

The training program outlined in this strategy has been packaged as follows:

Code	Title	Status	Nominal Hours
BSBAUD402	Participate in a quality audit	Elective (Group A)	40
BSBAUD501	Initiate a quality audit	Elective (Group A)	40
BSBAUD503	Lead a quality audit	Elective (Group A)	60
BSBAUD504	Report on a quality audit	Elective (Group A)	60
BSBINM501	Manage an information or knowledge management system	Elective (Group A)	50
BSBMGT502	Manage people performance	Elective (Group B)	70
BSBMGT516	Facilitate continuous improvement	Elective (Group B)	60
BSBR501	Manage risk	Elective (Group A)	60
TOTAL			440

Duration

440 hours

The nominal hours identified in the above table are sourced from the Victorian Purchasing Guide for BSB Business Services Training Package (Release 2, April 2016). They relate to the anticipated hours of supervised learning or training deemed necessary to conduct training and assessment activities associated with this training program.

Volume of Learning

The Australian Qualifications Framework (Second Edition, January 2013) specifies that the volume of learning of a Diploma is typically 1 – 2 years.

It is important to note that some clients who enrol with [RTO Name] seek recognition for their knowledge and skills through Recognition of Prior Learning (RPL). RPL is an assessment process that assesses a person's formal, non-formal and informal learning to determine the extent to which they have achieved the required outcomes of an assessment benchmark (i.e. a unit of competency) without the need to undertake a formal learning program.

Learner Support

The needs of each learner will be determined prior to delivery, and [RTO Name] will offer the following educational and support services (as required) to ensure learners can meet the requirements of the BSB51615 Diploma of Quality Auditing:

- Providing learners with an electronic copy of the Candidate Guide to Skills Recognition (Version 4, December 2015), and helping learners gather their own evidence for RPL
- Making decisions on reasonable adjustments (e.g. adjusting written instructions and questions, using adaptive technology, offering materials in a variety of formats, ensuring timelines are flexible, encouraging support services to be present at assessments)
- Providing access to specialist support (e.g. specialist educators, language, literacy and numeracy specialists, subject matter experts).

Responsiveness to Learner Needs

[RTO Name] uses a variety of methods to gather information on the existing skills, knowledge and experience of each learner when structuring a training program, including:

- Asking learners themselves during informal interviews
- Reviewing enrolment information and employment records (in accordance with appropriate confidentiality legislation)
- Reviewing the results of organisational training needs analyses undertaken in the workplace (in which learners participated)
- Reviewing the results of RPL assessments that learners have previously undertaken
- Facilitating an up-front assessment and self-assessment with each learner
- Facilitating an RPL assessment with each learner.

[RTO Name] uses this information to identify an appropriate amount of training, modes of delivery and volume of learning for each learner.

Learner Information Kit

In meeting the Standards for Registered Training Organisation 2015 (Part 3 – Obligations to Learners and Clients), [RTO Name] will provide all learners who enrol in the BSB51615 Diploma of Quality Auditing with an information kit that contains the following content.

Content	Description
RTO Code	
Qualification	BSB51615 Diploma of Quality Auditing (Release 1; 25 March 2015)
Training and Assessment Services	Duration
	Location
	Delivery Modes
	Support Service Contact Details
	Work Placement Arrangements
Obligations to Learner	[RTO Name] will ensure the quality of all training and assessment is in compliance with the Standards for Registered Training Organisations (RTOs) 2015, and that applicable AQF certification documentation is issued to the learner.
Learner's Rights and Obligations	<p>[RTO Name] will ensure each learners is aware of the following:</p> <ul style="list-style-type: none"> • [RTO Name's] complaints and appeals process • The process that will be followed if there are changes to (or a failure to provide) any of the agreed training and assessment services • The fees they must pay [RTO Name], including payment terms and conditions • Their rights as a consumer, including any statutory cooling-off period associated with their payment of fees to [RTO Name] • Their right to obtain a refund for any services that are not provided • The debt they will incur under any financial support arrangements (such as VET Student Loans), and how this must be repaid • The prerequisites they must meet in order to enter and successfully complete their chosen qualification • The materials and equipment they must provide (over and above those provided by [RTO Name])

Modes of Delivery

Knowledge and skills will be developed through learner-paced and learner-centred delivery methods, including demonstrations, explanations, audio/visual presentations, lectures, guided facilitation techniques and individual facilitation techniques (such as mentoring). Delivery methods will be supported with work-based projects that are linked to an actual or simulated workplace environment where quality audits can be undertaken.

Learners rarely achieve competence in a single learning activity, so practise opportunities will be provided in future learning activities (as well as learning activities that are conducted outside the structured learning environment).

Facilities and Equipment

Having reviewed the Assessment Conditions (Assessment Requirements) from each selected unit in the BSB51615 Diploma of Quality Auditing, [RTO Name] will ensure the following facilities and equipment are available to accommodate the number of learners:

- A safe environment where learners can consistently perform typical activities experienced in the following fields of work:
 - Quality Auditing
 - Management and Leadership
- Workplace systems, documentation and resources (including previous quality audit reports, checklists, risk management plans and audit plans)
- Relevant legislation, regulation, standards and codes.

Learner and Trainer Resources

[RTO Name] will ensure the following resources are available to support the delivery of this training program.

Resource	Description
Participant Guides*	<ul style="list-style-type: none"> • BSBAUD402 Participate in a quality audit • BSBAUD501 Initiate a quality audit • BSBAUD503 Lead a quality audit • BSBAUD504 Report on a quality audit • BSBINM501 Manage an information/knowledge management system • BSBMGT502 Manage people performance • BSBMGT516 Facilitate continuous improvement • BSBRSK501 Manage risk
Trainer Manuals*	<ul style="list-style-type: none"> • BSBAUD402 Participate in a quality audit • BSBAUD501 Initiate a quality audit • BSBAUD503 Lead a quality audit • BSBAUD504 Report on a quality audit • BSBINM501 Manage an information/knowledge management system • BSBMGT502 Manage people performance • BSBMGT516 Facilitate continuous improvement • BSBRSK501 Manage risk
Recognition Guides**	<ul style="list-style-type: none"> • Assessor Guide to Recognition of Prior Learning • Candidate Guide to Skills Recognition • Skills Recognition: A Guide for Employers • Skills Recognition: A Guide for Registered Training Organisations
Workplace Documents	<ul style="list-style-type: none"> • Audit Plans • Checklists • Previous Quality Audit Reports • Risk Management Plans
Legislation, Regulation, Standards and Codes	<ul style="list-style-type: none"> • AS 5037:2005 Knowledge management – A guide • AS/NZS ISO 19011:2003 Guidelines for quality and/or environmental management systems auditing • AS/NZS ISO 31000:2009 Risk management – Principles and guidelines • AS/NZS ISO 9000:2006 Quality management systems – Fundamentals and vocabulary

*Available for purchase from Smallprint Australia at <https://smallprint.com.au>

**Downloadable from Training Services NSW at www.training.nsw.gov.au/training_providers/resources/skillsonline/rpl_resources.html

Trainers and Assessors

The units of competency packaged in this training program will be delivered and assessed by the following vocational education and training (VET) trainers and assessors.

Name	Training and Assessment Qualifications	Vocational Competence

SAMPLE

Professional Development Schedule

[RTO Name] trainers and assessors follow a structured professional development schedule (see below) in competency-based training and assessment sufficient to ensure they maintain current knowledge and skills in vocational training, learning and assessment.

Month	Professional Development Schedule
January	
February	
March	
April	
May	
June	
July	
August	
September	
October	
November	
December	

Industry Engagement

[RTO Name] is committed to providing training that is relevant to industry and that maximises a learner’s opportunities for employment, advancement and further education. As a result, [RTO Name] will engage with industry stakeholders to ensure its training and assessment services are aligned to current methods, technology, products and performance expectations for the workplace tasks specified in the BSB51615 Diploma of Quality Auditing.

Industry Engagement Stakeholder Group

[RTO Name] trainers and assessors will schedule meetings with key industry stakeholders at agreed intervals each year, and decisions will be made at these meetings as to the suitability of [RTO Name’s] delivery and assessment of the BSB51615 Diploma of Quality Auditing.

A particular focus for these meetings will be recurrent evaluations of the following:

- The structure and sequence of the training program
- The usability of the learning resources
- The effectiveness of the delivery modes
- The validity of the assessment methods.

A summary of recommendations arising from each meeting will be recorded, and updates will be made immediately to relevant [RTO Name] documentation.

Industry Engagement Stakeholder Group		
Organisation	Industry Stakeholder	Position

Principles of Assessment

When gathering evidence against the units of competency that comprise the BSB51615 Diploma of Quality Auditing, [RTO Name] will ensure that all assessments (including RPL) are conducted in accordance with the Principles of Assessment.

Principle	Description
Fairness	<p>In meeting the principle of fairness, [RTO Name]:</p> <ul style="list-style-type: none"> • Publishes assessment processes in plain English and makes this available to learners well in advance of an assessment • Makes reasonable adjustments to the assessment process (if appropriate) to take account of each learner's needs • Provides learners with opportunities to challenge the result of an assessment (and be reassessed if necessary).
Flexibility	<p>In meeting the principle of flexibility, [RTO Name]:</p> <ul style="list-style-type: none"> • Recognises competencies held by individual learners (no matter how or where they have been acquired) • Provides options such as up-front and self-assessment to all learners • Draws on a range of appropriate assessment methods.
Validity	<p>In meeting the principle of validity, [RTO Name] ensures its assessment decisions:</p> <ul style="list-style-type: none"> • Are regularly reviewed to ensure a learner's performance matches the assessment benchmark (i.e. unit of competency) • Cover the broad range of knowledge and skills that are essential to competent performance as specified in the relevant unit • Integrate the assessment of knowledge and skills with their practical application • Are justifiable and based on evidence that confirms a learner can transfer their knowledge and skills in other similar situations.
Reliability	<p>In meeting the principle of reliability, [RTO Name]:</p> <ul style="list-style-type: none"> • Develops clear, unambiguous assessment procedures and distributes these to all assessors • Consistently interprets evidence presented for assessment (irrespective of the learner presenting the evidence) • Ensures the results of all assessments are comparable (irrespective of the assessor conducting the assessment) • Always asks the question: <i>Would another assessor make the same decision based on the evidence provided?</i>

Rules of Evidence

When gathering evidence against the units of competency that comprise the BSB51615 Diploma of Quality Auditing, [RTO Name] will ensure that all assessments (including RPL) are conducted in accordance with the Rules of Evidence.

Rule	Description
Validity	<p>In meeting the rule of validity, [RTO Name]:</p> <ul style="list-style-type: none"> • Ensures the evidence presented for assessment is directly related to the competency being assessed • Runs follow-up interviews with learners to ensure their workplace performance is consistent with their assessment outcome.
Sufficiency	<p>In meeting the rule of sufficiency, [RTO Name]:</p> <ul style="list-style-type: none"> • Ensures the quality, quantity and relevance of evidence presented will always enable a valid judgement of competency • Regularly reviews its assessment processes, methods and instruments to ensure assessors are gathering enough evidence.
Authenticity	<p>In meeting the rule of authenticity, [RTO Name]:</p> <ul style="list-style-type: none"> • Observes learners in actual or simulated workplaces (thereby ensuring the evidence they present is their own work) • Interviews learners and asks them to describe key concepts (thereby ensuring the evidence they present is their own work).
Currency	<p>In meeting the rule of currency, [RTO Name]:</p> <ul style="list-style-type: none"> • Ensures the evidence that learners present is from the present or the very recent past • Regularly assesses learners as they participate in training programs (thereby ensuring the evidence they present is current).

Recognition of Prior Learning (RPL)

When gathering evidence via an RPL assessment process, [RTO Name] offers the following support to candidates:

- The steps of the RPL assessment process are explained to candidates
- The relevant assessment benchmark (i.e. unit of competency) is explained to candidates
- The evidence required by the assessment benchmark is explained to candidates
- The Rules of Evidence are explained to candidates (i.e. the evidence they present as part of the RPL assessment process must be valid, sufficient, authentic and current)
- RPL-specific assessment tasks are provided to candidates (including up-front assessments and self-assessments)
- Suitable and effective assessment activities are negotiated with candidates
- Assistance is offered to candidates as they identify and gather evidence
- Assistance is offered to candidates as they compile and organise a portfolio of evidence.

RPL Resources

[RTO Name] uses the following RPL resources:

- Assessor Guide to Recognition of Prior Learning (Version 5, Dec 2015)
- Candidate Guide to Skills Recognition (Version 4, Dec 2015)
- Skills Recognition: A Guide for Employers (Version 4, Dec 2015)
- Skills Recognition: A Guide for Registered Training Organisations (Version 3, Dec 2014).

All of the above resources are freely downloadable from the Training Services NSW website at: www.training.nsw.gov.au/training_providers/resources/skillsonline/rpl_resources.html

Structure and Sequence of Training

[RTO Name] has organised the selected units of competency from the BSB51615 Diploma of Quality Auditing into a training program that comprises the following functional areas:

Functional Area	Units of Competency
Quality Auditing	<ul style="list-style-type: none">• BSBAUD402 Participate in a quality audit• BSBAUD501 Initiate a quality audit• BSBAUD503 Lead a quality audit• BSBAUD504 Report on a quality audit
Management and Leadership	<ul style="list-style-type: none">• BSBINM501 Manage an information or knowledge management system• BSBMGT502 Manage people performance• BSBMGT516 Facilitate continuous improvement• BSBRSK501 Manage risk

The clustered units within each functional area will be assessed simultaneously as part of an integrated assessment approach.

Unit Contextualisation

[RTO Name] contextualises units of competency to reflect local industry needs. This involves additions or amendments to the unit to suit particular delivery methods, learner profiles or specific enterprise requirements. If the contextualisation of a unit is required, [RTO Name] will ensure the integrity of its outcome is maintained. Industry requirements, as described in training or job specifications, will be used to contextualise select units of competency from the BSB51615 Diploma of Quality Auditing. [RTO Name] will ensure the delivery of training for individuals is customised to suit the specific context of their industry.

Specific Industry Needs

[RTO Name] will consider and document specific industry needs that may be relevant to the BSB51615 Diploma of Quality Auditing, and adapt its assessment instruments to meet these needs. This will be done **prior to** the assessment process. Specific industry needs may relate to licensing requirements, the characteristics of the clients undertaking the training or other information collated during industry engagement.

Assessment Instruments

[RTO Name] assessors will use the following devices to gather and record evidence for each unit of competency packaged in this training program.

Instrument	Description
Up-Front Assessment Checklist (LLN)	Used by candidates to measure their existing LLN skills against an entire qualification prior to engaging in an RPL process or a formal learning program.
Skills Check Questionnaire (LLN)	Used by candidates to confirm they have the reading, writing and numeracy skills necessary to undertake (and successfully complete) an entire qualification.
Up-Front Assessment Checklist	Used by learners to measure their existing knowledge and skills against a unit of competency prior to engaging in a Recognition of Prior Learning (RPL) process or a formal learning program.
Competency Checklist	Used by assessors as they observe a candidate demonstrate the essential outcomes specified in a unit of competency
Observation Checklist	Used by assessors to document the outcomes of a candidate's performance and to summarise any feedback they provide to a candidate during a demonstration of skills.
Review Checklist	Used by assessors to document their evaluation of the evidence presented by a candidate.
Questions to Determine Knowledge	Used by assessors when they question a candidate. Often used to guide verbal interviews or to prepare question sheets.
Evidence Evaluation Form	Used by assessors to confirm the evidence they collect during an assessment reflects the evidence required to demonstrate competence.
Assessment Summary & Feedback Form	Used by assessors to record their assessment decision. It can be used to report the outcomes of an assessment process, as well as any gaps in a candidate's performance and any agreed plans for further action.

The assessment instruments described above are included in individual Assessor Guides that have been especially designed to complement this training and assessment strategy. A list of associated documents to this strategy (including all Assessor Guides) is provided at page 29.

All instruments will be reviewed, compared and evaluated by an independent validator.

Assessment Methods

[RTO Name] assessors will use the following techniques to gather and record evidence for each unit of competency in this training program.

FUNCTIONAL AREA – QUALITY AUDITING

Assessors will **OBSERVE** learners in an actual or simulated workplace (or **REVIEW** their portfolios of evidence) to verify that they can complete the following tasks

- Review and amend workplace documentation
- Use relevant tools and strategies to develop an audit schedule
- Use a variety of methods to gather data and information to complete an audit
- Use predetermined benchmarks to evaluate findings and formulate well-founded opinions
- Develop comprehensive reports for exit meetings
- Develop audit plans (across a variety of contexts) that contain the following information:
 - scope and objectives of the audit
 - proposed audit methods and techniques to be used
 - required resources and schedules
 - allocated responsibilities for individual team members
- Identify objectives, schedules and relevant information prior to the commencement of an audit
- Lead and manage a quality auditing team
- Manage an audit team's information gathering process (including the analysis, synthesis and reporting of findings)
- Encourage team members to continuously improve their performance through feedback and self-critique
- Interpret audit results
- Produce detailed audit reports according to specified requirements
- Negotiate follow-up actions with auditees/clients
- Determine future improvements in auditing methods
- Use terminology relating to quality auditing in written or oral communications

Assessors will **REVIEW** the following documentation developed/provided by learners

- Amended workplace documentation
- Audit checklists, schedules and tools
- Entry and exit meeting agendas
- Corrective action reports and exit meeting reports
- Documented audit plans and detailed audit reports
- Documented advice provided to team members to improve their performance

Assessors will **ASK** learners to describe the following

- Relevant auditing codes of practice and ethics
- Quality auditing principles, methods, techniques and systems
- Current auditing practices

- Requirements of auditing regulations and standards
- Requirements of house or other style manual protocols for written communications
- Current industry products and/or services that are used to assist in the auditing process
- Software applications relevant to conducting quality auditing activities

FUNCTIONAL AREA 2 – MANAGEMENT AND LEADERSHIP

Assessors will **OBSERVE** learners in an actual or simulated workplace (or **REVIEW** their portfolios of evidence) to verify that they can complete the following tasks

- Identify learning needs and plan/implement learning activities to enable personnel to use information or knowledge management systems
- Monitor the performance of information or knowledge management systems, and address issues and contingencies as they arise
- Recommend improvements to information or knowledge management systems
- Consult with relevant stakeholders to identify work requirements, performance standards and agreed performance indicators
- Develop work plans and allocate work to achieve outcomes efficiently (within organisational and legal requirements)
- Monitor, evaluate and provide feedback to staff on their performance
- Provide coaching or training to staff (as needed)
- Reinforce excellence in staff performance through recognition and continuous feedback
- Seek assistance from human resources specialists (where appropriate)
- Keep records and documentation in accordance with an organisation's performance management system
- Facilitate effective contributions to, and communications about, continuous improvement processes and outcomes
- Address sustainability requirements
- Incorporate mentoring, coaching and other support to enable people to participate effectively in continuous improvement processes
- Capture insights, experiences and ideas for improvement and incorporate them into an organisation's knowledge management system and future planning
- Analyse information from a range of sources to identify the scope and context of the risk management process
- Consult and communicate with relevant stakeholders to identify and assess risks, determine appropriate risk treatment actions and priorities and explain the risk management processes
- Develop and implement an action plan to treat risks
- Monitor and evaluate action plans and risk management processes
- Maintain risk management documentation

Assessors will **REVIEW** the following documentation developed/provided by learners

- Reports on the effectiveness of learning activities
- Reports on the achievement of performance measures
- Reports on the strengths and limitations of information or knowledge management systems
- Work plans and performance indicators

- Performance management and review processes
- Performance improvement and development plans
- Mentoring and coaching processes
- Identified scope and contexts of risk management processes
- Action plans for implementing risk treatment

Assessors will **REVIEW** the following strategies developed/provided by learners

- How to encourage and support team members to participate in decision making processes, assume responsibility and exercise initiative
- How to monitor operational progress
- How to identify how planning and operations can be improved.

Assessors will **ASK** learners to describe the following

- Relevant legislation, regulations, codes of practice and national standards as they apply to privacy, freedom of information, knowledge management and risk management
- Organisational policies and procedures, including records management, information management, customer service, commercial confidentiality and risk management
- Organisational operations and existing data and information systems
- Relevant awards and certified agreements
- Performance measurement systems
- Unlawful dismissal rules and due process
- Staff development options and information
- How systems and procedures can support effective continuous improvement
- How continuous improvement systems and processes relate to other business systems and requirements, including knowledge management, quality, performance management and sustainability
- Purpose and key elements of current risk management standards.

Assessment Records and Reports

[RTO Name] assessors will use the following devices to record and report their assessment decisions/discussions relating to the BSB51615 Diploma of Quality Auditing.

Instrument	Description
Assessment Agreement Form	Used by assessors to confirm that candidates are fully briefed on the agreed assessment process that will be used to gather evidence against the qualification.
Assessment Appeal Form	Used by candidates to request a review of an assessment decision.
Third Party Referee Report	Completed by referees who are known to a candidate, such as team leaders, managers, workplace supervisors or employers. This serves as a testimonial to the 'current' skills and knowledge of a candidate, and it is considered as supplementary evidence.
Record of Assessment Results	Used by assessors to summarise a candidate's progress towards attaining the full qualification. It provides a useful and succinct picture of a candidate's competence, and it lists the units they have completed to fulfil the qualification's packaging rules.
Record of Post-Assessment Interview	Used by assessors to record feedback from candidates following an assessment process, and to summarise any action plans they discuss with candidates.

The assessment records and reports described above are included in an Assessor Guide that has been especially designed to complement this training and assessment strategy. A list of associated documents to this strategy (including all Assessor Guides) is provided at page 29.

All records will be reviewed, compared and evaluated by an independent validator.

Monitoring and Evaluation

This training and assessment strategy is updated annually. [RTO Name] gathers critical data throughout the year from the following sources.

Data	Data Gathering and Consolidation Approach
Client Feedback	Gathered using the AQTF Learner Questionnaire and the AQTF Employer Questionnaire, which are both downloadable from the Australian Skills Quality Authority (ASQA) website www.asqa.gov.au/vet-registration/comply-with-your-obligations/quality-indicator-reporting.html
Quality Indicator Data	Consolidated using the Quality Indicator Annual Summary Report, which is also downloadable from the ASQA website www.asqa.gov.au/vet-registration/comply-with-your-obligations/quality-indicator-reporting.html
Validation Outcomes and Recommendations	Recorded using the Assessment Validation Outcome Form (see page 26)
Trainer and Assessor Feedback	
Information Arising From Complaints and Appeals	

The consolidated data is analysed during Industry Engagement Stakeholder Group meetings each year, and decisions are subsequently made as to whether changes are needed to [RTO Name's] training and assessment systems and practices. Actions arising from these meetings are recorded, and updates are made immediately to relevant [RTO Name] documentation.

Assessment Validation

[RTO Name] has developed the following plan for the systematic validation of its assessment practices and judgements (as they relate to the training program outlined in this strategy).

Validation Purpose

[RTO Name] will undertake a review of its assessment practices and judgements to determine whether the assessment decisions it makes reflect the Principles of Assessment and the Rules of Evidence.

Validation Context

The training program outlined in this strategy will be validated within the first three years of each five year cycle. This will be an external process involving an independent validator, and all validation activities (undertaken after assessments are complete) will focus on:

- The effectiveness of assessment instruments and the overall assessment process
- The validity, reliability, sufficiency, currency and authenticity of collected evidence
- The accuracy and consistency of assessment judgements.

Validation Panel

An independent validator will lead all validation activities, and at least two industry experts will participate in validation activities. This validation panel will have no direct involvement in the delivery or assessment of the training program outlined in this strategy.

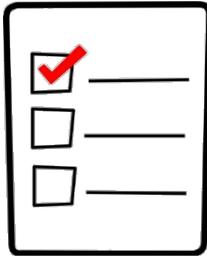
The validation panel will collectively hold the following combined expertise:

- Vocational competencies and current industry skills relevant to the assessment being validated
- Current knowledge and skills in vocational teaching and learning
- The TAE40116 Certificate IV in Training and Assessment and/or the TAESS00011 Assessor Skill Set (or their successors).

Validation Outcomes

The Assessment Validation Outcome Form (see page 26) will be used by [RTO Name] to record the outcomes and findings of validation activities, along with any recommendations that arise from them.

Assessment Validation Outcome Form



This form is used to record the outcomes and findings of validation activities, along with any recommendations that arise from them.

SAMPLE

Assessment Validation Outcome Form

Unit of Competency	
Location	
Date	
Validation Leader Summary of Expertise	
Validation Participants <ul style="list-style-type: none">••• Summary of Expertise	
Validation Purpose	

Assessment Validation Outcome Form

Validation Context	
Validation Approach	
Outcomes / Findings of Validation Activities	
Recommendations to Improve Assessment Practice	

Associated Documents

The following documents support and complement this training and assessment strategy for the BSB51615 Diploma of Quality Auditing.

Qualification-Specific Documents

- Assessor Guide – LLN Pre-Training Assessment Instruments
- Assessor Guide – Recording and Reporting
- Assessment Instrument Matrix.

Unit-Specific Documents

- Assessor Guide – BSBAUD402 Participate in a quality audit
- Assessor Guide – BSBAUD501 Initiate a quality audit
- Assessor Guide – BSBAUD503 Lead a quality audit
- Assessor Guide – BSBAUD504 Report on a quality audit
- Assessor Guide – BSBINM501 Manage an information or knowledge management system
- Assessor Guide – BSBMGT502 Manage people performance
- Assessor Guide – BSBMGT516 Facilitate continuous improvement
- Assessor Guide – BSBR501 Manage risk.