

**Kaplan Professional
Trainer, Tutor and Assessor
Policy**

Vocational Education



Scope

This policy is applicable to Kaplan Education Pty Ltd trading as Kaplan Professional (referred to as 'Kaplan Professional'). The policy applies to all Kaplan Professional trainers, assessors, course developers and others engaged in the development, delivery, and assessment of training products, and those involved in their recruitment, supervision and monitoring.

It should be noted that the term Practitioner is used in reference to trainers and assessors who are external to Kaplan Professional. The types of practitioners include tutors, assessors, subject matter experts (SMEs) and workshop facilitators.

Purpose

The purpose of this policy is to ensure that all staff involved in the training and assessment of students undertaking vocational education and training (VET) courses with Kaplan Professional, and those engaged in the development of associated training and assessment materials, have the required qualification and experience to provide the level of service and quality expected by Kaplan Professional.

The policy is also intended to ensure that all VET trainers and assessors engaged by Kaplan Professional comply with the requirements of the relevant training package and the Standards for Registered Training Organisations (RTOs) 2015 (RTO Standards).

Policy statement

Trainer and assessor engagement

Kaplan Professional may engage trainers and assessors, and subject matter experts as practitioners, who typically work within industry on an ongoing basis and hold the relevant qualifications. These practitioners are engaged under an independent practitioner contract, formalised by a Practitioner Agreement.

Kaplan Professional will ensure that only appropriately qualified and experienced trainers and assessors are engaged. In implementing this policy, Kaplan Professional will ensure the following:

Qualifications and experience

All individuals who train and assess must hold as a minimum the Trainer and Assessor qualifications, as listed in the table below. If individuals are only assessing, they must hold one of the assessor qualifications or skill set options as listed in the table below; the minimum is the assessor skill set as specified in the RTO Standards (or its successor).



Role	Trainer and Assessor Qualifications or Skill sets	Trainer and Assessor workplace skills	Trainer and Assessor PD	Industry Competencies	Industry skills in last 2 to 3 years	Industry PD
Trainer	<ul style="list-style-type: none"> • TAE40116 • Or TAE40110 with <ul style="list-style-type: none"> ○ TAE LLN411 or TAE LLN401A ○ TAE ASS502 or TAE ASS502A or TAE ASS502B • Or diploma or higher level qualification in adult education 	Yes	Yes	To the level being delivered	Yes	Yes
Assessor	<ul style="list-style-type: none"> • TAE40116 • Or TAE40110 with <ul style="list-style-type: none"> ○ TAE LLN411 or TAE LLN401A ○ TAE ASS502 or TAE ASS502A or TAE ASS502B • Or Assessor Skill Set TAE500011 • Or Assessor Skill Set TAE50001 with <ul style="list-style-type: none"> ○ TAE ASS502 or TAE ASS502A or TAE ASS502B • Or diploma or higher level qualification in adult education 	Yes	Yes	To the level being delivered	Yes	Yes

- If, in the process of delivering training or assessment, Kaplan Professional engages an individual who is an inexperienced trainer or assessor, that person must work under the formal supervision of a qualified trainer/assessor and will not determine assessment outcomes.
- Irrespective of supervision arrangements, trainers under supervision must hold, as a minimum, the Enterprise Trainer Skill set (in either mentoring or training) as specified in the RTO Standards.

In addition to the above, all trainers and assessors, and those working under supervision will have:

- Vocational competencies at least to the level being delivered and assessed, for each unit of competency being delivered and assessed.
- Current industry skills relevant to the vocational area of training and assessing.
- Current knowledge and skills in vocational training and learning.
- If training packages impose additional requirements on training and assessors, Kaplan Professional will ensure that those requirements are met.
- Kaplan Professional may, at its discretion, require individuals engaged in training and assessing to hold the relevant industry qualification or units, or demonstrate additional skills and experience, in addition to the minimum mandatory requirements specified above.

Individuals working under supervision

If an individual is engaged and working under supervision, Kaplan Professional will ensure that:

- an appropriate level of supervision is put in place and maintained
- supervision arrangements are formalised and in writing
- trainers providing supervision monitor the individual and are accountable for the training and assessment provided



- individuals hold the minimum competencies as specified in the RTO Standards
- all training and assessment delivered complies with RTO Standard 1.

Verifying and monitoring qualifications, skills and currency

Before engaging a trainer and assessor, or allowing an individual to work under supervision, Kaplan Professional will obtain and maintain on file for audit purposes the following:

- Verification of required qualification(s), skill set(s), or unit(s) to ensure the qualifications are not fraudulent. In accordance with RTO Standards 1.13 to 1.16:
 - The RTO will verify the qualification, skill set or unit(s) with the Unique Student Identifier (USI) Registry, with the permission of the trainer or assessor.
 - If the qualification, skill set or unit(s) are not available on the USI Portal, the RTO may verify by contacting the relevant education provider(s), or through a qualification verification platform facilitated by HR or by contacting the provider directly, with the permission of the trainer or assessor.
 - Please note that certification of documents is no longer sufficient.
- Sufficient evidence to demonstrate that the individual possesses vocational competencies at least to the level being delivered and assessed, for each unit of competency being delivered and assessed. This may be by the individual supplying copies of equivalent vocational qualifications or units of competency held, or through a process as determined by Kaplan Professional, which demonstrates the individual possesses the competencies. These transcripts need to be verified.
- Sufficient evidence to demonstrate that the individual has current industry knowledge and skills. Examples may include references for recent job roles, current industry association membership, current industry licenses and/or supporting evidence for specific units of competency.
- Sufficient evidence that the individual undertakes activities, such as professional development, to maintain and improve their vocational education and training knowledge and skills.
- Sufficient evidence to demonstrate that Kaplan Professional has taken reasonable steps to verify claimed qualifications, experience, skills and currency.
- Information about the qualifications and units of competency that the individual can train and assess, and for which they meet regulatory requirements.

Kaplan Professional has the following arrangements in place:

- A system and processes to regularly monitor the ongoing compliance of individual trainers, assessors and those working under supervision.
- Evidence of currency and competency that is updated at least annually including a current CV. Updates may include a change in job role, an upgraded qualification or specific units, an industry licence update for the next 12 months, other supporting evidence and/or a Professional Development plan.
- A Practitioner Competency Mapping template that demonstrates and approves currency and competency.
- A process to not engage, or not continue to engage, any individual who does not meet and maintain mandatory regulatory requirements as outlined above.
- A process to monitor RTO Standards and training package requirements to ensure that all individuals engaged in training and assessing meet, and continue to meet, regulatory and training package requirements.
- Kaplan Professional may, at its discretion, provide and offer trainers, assessors and other staff, professional development activities beyond their core role.



Additional compliance guidance

Additional guidance on meeting the compliance requirements of VET trainers and assessors is in:

- *The Standards for Registered Training Organisations (RTOs) 2015*, Clauses 1.13 – 1.20.
- ASQA Fact sheet – Meeting trainer and assessor requirements.

Delivering Training and Assessment Training Package qualifications

If Kaplan Professional should at any stage add qualifications or units of competency from the Training and Education Training Package to its scope of registration, it will ensure that individuals engaged to train and assess in that field meet the additional requirements specified in the RTO Standards, Clauses 1.21 – 1.25.

Engaging non-trainer/assessor staff

Kaplan Professional may engage staff and practitioners other than trainers and assessors who contribute to the development of training, assessment, and other learning support materials, such as instructional designers, writers and subject matter experts. When engaging such individuals, Kaplan Professional will have due regard to the qualifications, skills and experience it deems necessary for the role, and engage individuals on that basis.

Kaplan Professional will take all reasonable steps to verify and validate individuals' claimed qualifications, experience, and skills, and keep appropriate records on file.



Guiding procedures

The guiding procedures are the responsibility of the Academic Manager.

Practitioner Recruitment and Engagement

1. Kaplan will source Practitioners by advertising relevant selection criteria to meet the requirement of vocational and qualification competency and industry experience.
2. Kaplan will interview candidates to ensure suitability with position description and competency requirements. Kaplan will obtain and verify copies of qualification/s, licence/s or registration documents as required and in line with the Assessing Trainer/Assessor Qualification procedures.
3. Kaplan will determine suitable candidates who have:
 - the required formal qualifications for the role
 - vocational competencies at least to the level being delivered and assessed
 - current industry skills directly relevant to the training and assessment being provided; and
 - current knowledge and skills in vocational training and education that informs their training and assessment.
4. Subject to passing any required background checks, Kaplan may extend a verbal offer of appointment to suitable candidates, followed by an email confirmation.
5. Requests for contracts are sent to HR and a Practitioner Agreement is produced.
6. HR issues the formal agreement, obtains a signed copy of the contract and keeps a record of the contract.
7. Prior to commencement of duties, a Practitioner is sent a 'Welcome email' including:
 - i. **Practitioner Kit**, which includes: a description of activities; roles and responsibilities in relation to assessing, tutoring, writing and facilitation; Service Level Agreements (SLAs); remuneration; administrative procedures and systems training. Assessors will also be provided practice assessments which are checked by a Course Coordinator and/or Academic Specialist with feedback provided to the Assessor.
 - ii. **Systems Access** and information on the Practitioner Portal
 - iii. **Subscription to the Kaplan Ontrack platform to access and record professional development** (where relevant/available)
 - iv. **Subscription as a member of Kaplan's corporate VELG account for VET professional development**
8. Prior to commencement of duties a practitioner will be provided with:
 - an induction
 - Kaplan infrastructure and administrative support services, including the supply of system access
 - information about whether their work will be supervised and what is required for the supervisory period to end.
9. Practitioners will undertake periodic review meetings with the Course Coordinator/ Academic Manager.

Assessing and Verifying Trainer/Assessor Qualifications and Supporting Evidence

1. Gather evidence for Practitioner (trainer/assessor) to determine that they hold the necessary training and assessment qualifications and can demonstrate relevant vocational competencies and industry currency. Evidence may include:
 - qualifications held
 - consideration of relevant past training, including consideration of superseded and pre-existing teaching qualifications,
 - industry and work experience, and
 - professional development.
2. All qualifications, skill set, and unit(s) must be verified with the USI Registry or the issuing education provider.
3. Relevant job roles listed in resumes, supporting evidence (e.g., licences, industry association memberships) and Professional Development must also be verified.
4. Implement supervision of the practitioner if required as in the RTO Standards 2015 Clauses 1.17-1.20.

See the section below 'When to review Practitioner Records and resulting actions' for more information.



Professional Development

1. Kaplan requires all Practitioners to undertake professional development in the fields of Vocational Education Training knowledge and skills, industry currency, and trainer and assessor competence, including competency-based training and assessment. Each practitioner must be regularly exposed to industry workplaces and participate in workplace tasks. Professional development may include however is not limited to:
 - Practical work placement or experience in either a paid or volunteer capacity.
 - Working on a continuous development plan.
 - Participation in networks, communities of practice or mentoring activities.
 - Workshop, seminar and conference participation.
 - Reading of industry journals.
 - Participation in projects with industry.
 - Induction programs.
 - Reviewing of training packages and/or accredited courses.
 - Reviewing data from learners/stakeholders.
 - Studying information from regulatory bodies.
 - Shadowing or working closely with other trainers and assessors.

Note that trainers and assessors may not use training and assessing work as PD evidence. RTO Standard 1.16 requires VET PD to focus on how to deliver training and how to assess with units of competency.

2. Trainers and assessors are required to complete the following professional development (PD) annually:
 - 10 hours of industry professional development (PD).
 - 10 hours of VET PD for VET only trainers and assessors.

Note: For practitioners who are engaged by Kaplan for both Higher Education and VET, the requirement is 5 hours of VET PD and 5 hours of Higher Education PD.

3. To support this requirement, Kaplan Professional provides:
 - Bi-annual reminder of their PD obligations.
 - Topical webinars which contribute to their T&L CPD as required
 - An end of year review.
 - Complimentary Kaplan OnTrack subscription.
 - Complimentary VELG corporate membership.
4. Kaplan will ensure all Practitioners working in or on behalf of Kaplan Professional complete professional development as part of the annual review of practitioner records, which will be documented via On Track. Evidence of professional development will be requested as part of this review to verify adequate industry and vocational PD activities. In addition to the annual review, Kaplan reserves the right to request evidence of professional development at any time. The Practitioner must explain what they have learnt from each professional development activity; it is not sufficient to provide a copy of the course outcomes. Kaplan will assist the practitioner during their end of year review to determine what PD is required to cover any gaps for the qualifications and courses they train/tutor/assess and ongoing VET knowledge.
5. Kaplan will verify the information using techniques including, but not limited to:
 - contacting the PD provider to confirm participation
 - checking the authenticity of a participation document
 - conducting referee checks
 - reviewing the PD, identifying any PD needs and making recommendations or adjustments concerning continuous improvement where necessary.

Note: Practitioners will generally be required to fund their own PD activities, however, on a case-by-case basis (where available), Kaplan Professional may provide access to internal PD opportunities at no cost to the practitioner.

6. The PD records for each trainer/tutor/assessor will be recorded in their OnTrack transcript, their Competency Mapping template and their periodic review meetings with the Academic Manager.



Annual Practitioner Agreement Issuance Process

This procedure describes the process for the annual issuance of practitioner agreements.

February

1. Expressions of interest are requested from existing practitioners to continue to provide practitioner services of training and assessing.
2. Review process:
 - Individual requests are reviewed.
 - Check of the Financial Adviser Register (FAR), if relevant, and attach a screenshot. Determine if currently or previously an adviser, scope of advice, licensees and check for banning/disciplinary notifications, failure to complete CPD.
 - Review the past year's Kaplan Ontrack CPD record.
 - Confirm qualifications continue to meet minimum requirements for Vocational Education (VE) as guided below:
 - VE Training and Assessment requirements for TAE, vocational competency, and industry currency:
 - i. TAE
<https://www.asqa.gov.au/rto/responsibilities/tae-delivery-obligations>
 - ii. Vocational competency
<https://www.asqa.gov.au/standards/training-assessment/clauses-1.13-to-1.16>
 - iii. Industry currency
<https://www.asqa.gov.au/standards/training-assessment/clauses-1.13-to-1.16>
 - iv. Trainer, Tutor and Assessor requirements
 - Check LinkedIn and their business website (if appropriate).
 - Review feedback from performance discussions, and other evaluation methods.
 - Organise updates of the USI transcript, verification of qualifications, CV and supporting documentation as required.
 - Discuss any questions with Academic Manager or QRS Compliance team.
 - Check competency mapping covers units for training and assessment.
3. Generate list of current practitioners from Salesforce.
4. Check with General Manager, Teaching and Learning to confirm the current practitioner agreement template.
 - Individual agreements are prepared by the Academic Manager using the current and approved template and then issued through DocuSign.
 - Username: kp practitioner@kaplan.edu.au
5. Practitioner record management
 - All practitioner documents are uploaded and attached to the practitioner record within Salesforce.
 - Each practitioner has an independent file on SharePoint for items not suitable for Salesforce.
 - Relevant documents are archived (e.g., prior year CV/resumes).
 - File path: Practitioner agreements, matrices & files.
6. Record of returned agreements and relevant document requirements as requested_



When to review Practitioner Records and resulting action

The following events necessitate a review of Practitioner Records:

- Practitioner recruitment and engagement
- The annual Practitioner Agreement issuance process
- Notification from a Course Coordinator of the transition to a new qualification, skill set or unit for which a practitioner (trainer/assessor) needs to update their records to maintain their currency and competency.
- Periodic meetings of the Practitioner with the Academic Manager to update their Practitioner Records. Some examples may include new qualifications completed, PD completed or new job role (to be added to the resume with a supporting reference).

The practitioner may only train, tutor or assess if their practitioner records are approved in the Practitioner Competency Mapping by the Academic Manager. If after a review of their practitioner records, the Academic Manager decides to not approve the Practitioner Competency Mapping, the following options are available:

- Performance management to bring the Practitioner Records back to compliance
- Termination of the employment of the Practitioner
- Supervision of the Practitioner until their Practitioner Records are brought back to compliance.

It is critical that only Practitioners who are current and competent (RTO Standards 1.13-1,16) with approved Competency Mapping are used as trainers, tutors and assessors in Kaplan Professional's Vocational Education courses.

Storage and Backup of Records

The RTO Standards for Registered Training Organisations (RTOs) 2015, Clause 8.1, states that the RTO must cooperate with the regulator (ASQA), by complying with requests for information and data. Kaplan Professional must:

1. Clearly identify electronically archived files including all AQF certification documentation issued by the RTO and store for possible retrieval for 30 years.
2. Archive paper records as required (and record in an archive register).
3. Set up on-site and off-site daily backup systems of all current and archived electronic data.
4. Retain Kaplan Professional financial records, as required by legislation, at its accountant's office.

Refer to the *Student Record Management Policy* for more information.

Relevant Legislation

As a registered training organisation, Kaplan operates under various laws and regulations. Policies and procedures are in place to ensure compliance with such laws. Below, please find the most relevant legislation which apply to this policy:

- Standards for Registered Training Organisations 2015 Clauses 1.13-1.20.
- ASQA Fact sheet — Meeting trainer and assessor requirements.

Related Policies

This policy should be read in conjunction with the following Kaplan policies and documents:

- Assessment Policy
- Privacy Policy
- Training Product Transition Policy



Complaints and Appeals

Students who are dissatisfied with the application of this Policy, or who wish to appeal a decision made by Kaplan, may refer to the School's Grievances, Complaints and Appeals Handling Policy (available on Kaplan Professional's website) for information regarding their options.

Version Control and Accountable Officers

It is the joint responsibility of the Implementation Officer and Responsible Officer to ensure compliance with this Policy.

Policy Category	Operational			
Responsible Officers	General Manager, Teaching and Learning			
Implementation Officers	Academic Manager			
Review Date	February 2025			
Approved by				
Policy Committee				
Version	Authored by	Brief Description of the changes	Date Approved	Effective Date
1.0	Head of Learning	Original Faculty Policy	1.7.2017	1.7.2017
2.0	Head of Learning	General update	9.7.2018	3.9.2018
3.0	Quality Regulations and Standards team	Revision of process to reflect changes in process and job titles	10.11.2021	17.11.2021
4.0	Quality Regulations and Standards team	Revision to reflect procedure and actions following a review of practitioner competency mapping	17.02.2022	28.02.2022