April 2023

Work-based training

The aim is to provide general support and advice to tertiary education organisations (TEOs) where the mode of delivery is *work-based training.*

Work-based training is defined in the Education and Training Act 2020 as:

- *programmes where the majority of learning takes place in the workplace, using the employment context, with online, self-directed and/or cohort learning to support it*
- *programmes designed for arranging work-based training (including apprenticeship training) activities and support.*

In this document:

There are three key areas to consider[1]. The evaluative questions in this guide are aligned with the Programme Approval, Recognition, and Accreditation Rules 2022 (the Rules).

1. Learner capability and support
2. TEO capability and support
3. Employer capability and support

---

[1] These are based on the 'Shared factors for successful outcomes' in *Learning in and for work: highlights from Ako Aotearoa research,* October 2014 https://ako.ac.nz/assets/Reports/Synthesis-reports/SYNTHESIS-REPORT-Learning-in-and-for-work-Highlights-from-Ako-Aotearoa-research.pdf

1. Learner capability and support

What the learners bring, are provided with and how they are supported.

Questions for Learner capability and support	Rules	What is considered good evidence?
How will learner needs be assessed? How will learner engagement be maintained and monitored throughout the delivery of the programme?	Rule 7.1 Criterion 2 Resources	Individual learning plans for work-based training include: - how learning needs are assessed at the time of enrolment to determine appropriate delivery arrangements, including minimum literacy, numeracy, English proficiency, workplace authorisation, police vetting and/or other appropriate requirements - how individual learning plans are designed, will show the sequence of delivery of the components, examples of learning activities undertaken at the workplace, and other relevant details. - how learners' progress is identified, reported and monitored, the roles and responsibilities of the workplace supervisors/assessors, and how coordination will take place within the learner's workplace.
What are the supports for learners?	Rule 7.1 Criterion 2 Resources	- Contact information of tutors and student support services - Setup of the workplace - Specific provision for Māori and Pasifika students - Three-way training agreement (Employer/Learner-TEO) setting out the parameters, roles, and responsibilities of each party. This should include health and safety at work, induction, materials and amenities, ACC and Insurance, drug testing or other workplace requirements and policies, expectations for additional support and ensuring the opportunities to learn and be assessed.

Questions for Learner capability and support	Rules	What is considered good evidence?
How have issues of employment disputes etc been addressed?	Rule 4.1 Criterion 5 Regulations	• Relevant policies and procedures demonstrating that the TEO has effective processes to monitor formal arrangements.
How will learners know what is required of them?	Rule 7.1 Criterion 2 Resources	• Detailed component descriptors outlining the learning outcomes, learning activities / topics and assessment methods suited for work-based training. • Staff Handbook, Programme, or student handbook outlines feedback mechanisms • Student Handbook / Programme handbook or E-Learning manual outlines
What are the feedback mechanisms for learners?	Rule 4.1 and 7.1 Criterion 4 and 7 Programme Review	Learner feedback surveys • how it is managed, how effective it is, any concerns or complaints or incidents • Relevant policies and procedures to demonstrate effective processes relating to identifying and minimising barriers to learning.
What mechanisms are in place to identify learners who are, or may be at risk? (Disability, dropping out of the course, etc)		• Policy or procedure for using Student records for managing attrition • Frequency of engagement: how often the provider/staff visits or meets online with the student.

2. TEO capability and support

What the tertiary education organisation provides, how it supports and assesses the learner, and how it collaborates with the workplace

Questions for TEO capability and support	Rules	What is considered good evidence?
What is the organisational strategy and policy for work-based training programmes?	Rule 4.1 Criterion 3 Delivery methods Rule 4.1 Criterion 7 Programme Review	• Strategic or other key documents indicating a long-term vision for work-based training and any other delivery modes leading to the same qualification/s.
Is there a dedicated leadership position to monitor and manage delivery of programmes?	Rule 7.1 Criterion 2 Resources	• CVs of the key staff demonstrating prior experience of designing and delivering learning in the workplace. • Staff professional development plans demonstrating commitment to work-based pedagogy.
What the tertiary education organisation provides, how it supports and assesses the learner, and how it collaborates with the workplace	Rule 4.1 Criterion 3 Delivery methods Rule 7.1 Criterion 2 Resources	Three-way training agreement (Employer/Learner-TEO) setting out the parameters, roles and responsibilities of each party. • how often the education organisation will visit each workplace to ensure learning activities and programme-specific requirements are being delivered as intended. • how the workplace will be informed about the components, learning activities and programme-specific requirements. • How will engaging, monitoring, and addressing issues with the employers be carried out to ensure that employers provide appropriate pastoral care to the students?

Questions for TEO capability and support	Rules	What is considered good evidence?
Curriculum design and delivery • Will the programme also be provided through campus or online delivery to support work-based training? • How much in-person face-to-face training is managed by employer, supervisor, or workplace trainer? • How much online learning is provided (and whether self-directed and self-paced using the provider's resources and/or real-time online classes is best for some components)?	Rule 4.1 Criterion 2 Title, aims, learning outcomes and coherence Rule 4.1 Criterion 3 Delivery methods Rule 7.1 Criterion 2 Resources Rule 4.1 Criterion 5 Regulations	• Mapping matrix (learning outcomes that map to the qualification(s) graduate profile). • Delivery schedule (outlining activities / topics and learning hours) and/or an outline of sequence of component delivery. • QMS procedures and sub-contracting arrangements for third party providers.
Assessment • how assessments will be designed to align with the work the learner is engaged in • how the integrity of the assessment is maintained • how formative and summative assessments will be conducted • how concurrent assessments will be conducted.	Rule 4.1 Criterion 6 Assessment and moderation	• Detailed component descriptors outlining the learning outcomes, learning activities / topics and assessment methods suited for work-based delivery. • Formal arrangements with employers • Assessment guidelines in the programme handbook or on the LMS assist students by providing detailed information • reassessment opportunities • Assessment schedule • Assessment policies evidenced through QMS or student handbook demonstrate academic standards and procedures are adequate.

Questions for TEO capability and support	Rules	What is considered good evidence?
What are the arrangements for management of pre and post assessment moderation?	Rule 4.1 and 7.1 Criterion 6 and 2 Assessment and moderation	- Relevant policies and procedures demonstrating there is an effective system for moderation of assessment materials and decisions. - Annual moderation plan/schedule demonstrating a planned approach reflecting the moderation policies. - List of existing or potential external moderation partners (other TEOs or contractors) to ensure consistency and benchmarking of the outcomes.
Review What process or procedures are in place for reviewing and developing delivery?	Rule 4.1 and 7.1 Criterion 7 and 4 Programme Review	- Relevant policies and procedures to demonstrate effective compliance management practices. - Ongoing review and monitoring reports indicating there is an effective process for ensuring currency and monitoring of the outcomes for students and stakeholders. - Feedback from employers and assessors

3. Employer capability and support

What the workplace provides, how it supports and develops the learner, and how it collaborates with the tertiary education organisation.

Questions for Employer capability and support	Rules 2022	What is considered good evidence?
The roles and responsibilities of the learner, the workplace supervisory staff and the education organisation must be formalised for work-based training.	Rule 4.1 Criterion 5 Regulations	• There must be a straightforward written three-way agreement, setting out the parameters, roles and responsibilities of each party. This should include health and safety at work, induction, materials and amenities, ACC and Insurance, drug testing or other workplace requirements and policies, expectations for additional support and ensuring the opportunities to learn and be assessed.
Workplace capability check: • Who is responsible for ensuring sufficient capacity and quality of workplace trainers, access to learning resources, safe and appropriate training facilities, checking health and safety requirements? Will delivery be in the learners' place of employment only or a mixture of on-job and provider-based delivery, or other sites as required? Are trainers, managers, supervisors, experts, and/or the learners' employers' in-house training unit? Are learners assessed by other employees at their workplace or by the education organisation's assessors? Who will give and record formative feedback and/or carry out verification; how and when are learners prepared for assessment against standards?	Rule 4.1 Criterion 3 Delivery methods Rule 7.1 Criterion 2 Resources	QMS / agreements cover • suitability of the workplace to ensure the learner will be provided with appropriate opportunities to meet the programme requirements • delivery sites • employment status of the workplace trainers • the role of verifiers if used • staff allocations (trainer to learner ratio) • coordination and communication systems with workplace supervisors/assessors • visits to the learner in their workplace Employer commitments to • managing work and study commitments while in employment? • feedback (to both the learner and TEO).

Questions for Employer capability and support	Rules 2022	What is considered good evidence?
Staffing	Rule 7.1 Criterion 2 Resources	• Selection criteria of the supervisor at the host organisation to ensure any requirements specified in the consent and moderation (CMR) are being addressed for programmes and training schemes that include unit standards. • The process to ensure relevant staff meet the CMR and are suited to deliver the learning outcomes/activities. • A description of all sub-contracted delivery
Workplace Assessment • What are the procedures for ensuring assessment is robust and credible?	Rule 4.1 and 7.1 Criterion 6 and 1 Assessment and moderation	QMS that covers • reporting and co-ordinating assessment • procedure for retention of the academic record, and assessment materials • Assessor job descriptions identify essential experience and skills • Workplace assessors meet the learners needs and the consent moderation requirements (CMR)
How is appropriate pastoral care provided by the employer(s), if responsibility for assessing, mentoring, and supporting learners is shared?	Rule 7.1 Criterion 2 Resources Rule 4.1 Criterion 5 Regulations	Student handbook or Programme Manual provides: • Detailed information about the support services, contact details and other relevant policies and procedures.