Heavy Vehicle Competency Based Assessment RTO Performance Management Guidelines

Heavy Vehicle Competency Based Assessment (HVCBA)
Performance Management Procedure v1.1
## Contents

1 About the HVCBA RTO Performance Management Procedure .................................. 3  
   1.1 Purpose ........................................................................................................... 3  
   1.2 Background ................................................................................................... 3  
   1.3 HVCBA RTO Performance Management Procedure Trial Period .................. 4  

2 Performance Management ..................................................................................... 5  
   2.1 Performance Management KPIs ...................................................................... 5  
       2.1.1 KPIs 2,3,5-8 ...................................................................................... 5  
       2.1.2 KPIs 1 and 4 .................................................................................. 7  
   2.2 RTO Performance Assessment ....................................................................... 8  

3 Customer Satisfaction Survey ............................................................................... 13  
   3.1 Purpose of the Customer Satisfaction Survey ................................................ 13  
   3.2 How the Customer Satisfaction Survey will operate ...................................... 13  
       3.2.1 What RTOs need to do ................................................................... 13  
       3.2.2 What happens next? ...................................................................... 13  

4 Guidelines for RTO Location Visits .................................................................... 14  

5 Guidelines for RTO based Trainer/Assessor Professional Development ............... 17  
   5.1 Monitoring of Assessor Training Course activity ........................................... 18  

6 Appendix 1: Capability Framework ....................................................................... 19  

7 Appendix 2: Professional Development Tool ...................................................... 20  
   7.1 What is the tool? ......................................................................................... 20  
   7.2 What does the tool do? ............................................................................. 20  
   7.3 How is the tool used? ................................................................................ 20  
   7.4 What are some other outcomes that can be achieved by using the tool? .. 21  
   7.5 Tool template ............................................................................................ 22  

8 Glossary ................................................................................................................ 25  

9 Relevant Legislation .............................................................................................. 28
1 About the HVCBA RTO Performance Management Procedure

1.1 Purpose

The purpose of this document is to set out how the Heavy Vehicle Competency Based Assessment (HVCBA) Registered Training Organisation (RTO) Performance Management Procedure will operate.

Under this procedure, Roads and Maritime will:

- Accredit RTOs to provide training and assessment of applicants for a heavy vehicle licence and to issue Certificates of Competency (CoC) to Applicants for a Heavy Vehicle licence.
- Monitor and report on an RTO’s performance in managing the delivery of the program including monitoring the performance of Trainers and Assessors attached to the RTO.
- Provide RTOs with the HVCBA documents and any policies and procedures for the operation of the scheme and performance management of RTOs operating within the scheme.

This document should be read in conjunction with the HVCBA Accreditation Agreement and the HVCBA Operating Procedures.

The performance management score will be used to identify those RTOs that are not performing to the required standard. If an RTO is identified as performing poorly, this may result in an audit by Roads and Maritime. The result of this audit may result in termination of the RTO’s accreditation.

1.2 Background

The HVCBA Policies and Procedures apply to all RTOs and their Trainers and Assessors.

- Any person who teaches, assesses or tests another person to drive/ride for money or reward is required by law, under the Driving Instructors Act (2017) and Road Transport and related Legislation Amendment Act 2017 No.61(2), to hold a Driving Instructor’s licence.

The Driving Instructors Act requires that instructors meet minimum standards relating to competency in heavy vehicle driving instruction, probity and character, in order to protect the community and to benefit the driving instruction industry.
Instructors in breach of the Driving Instructors Act may be investigated by Roads and Maritime and sanctions may be applied.

1.3 HVCBA RTO Performance Management Procedure Trial Period

Roads and Maritime is initiating the Heavy Vehicle Competency Based Assessment (HVCBA) Registered Training Organisation Performance Management Procedure for a trial period of six months during the 2019-20 period of HVCBA RTO accreditation, with assessments of performance by RTOs taken at three months and six months. The procedure will be evaluated at the end of the six month trial period.

Roads and Maritime may operate workshops with RTOs and may consult with RTOs in regard to the RTO Performance Management Procedure.

If any RTO is experiencing difficulty in meeting a KPI, please contact Roads and Maritime immediately to discuss. Individual issues will be managed on a case by case basis.
2 Performance Management

2.1 Performance Management KPIs

There are eight Key Performance Indicators (KPIs) that will be used to objectively measure an RTO’s performance.

KPIs are:
  - Objective
  - Measurable
  - Time limited
  - Equitable for both large and small RTOs, by averaging scores based on the number of items measured in a KPI. (See section 4.2 for details).

2.1.1 KPIs 2,3,5-8

RTOs must have processes in place to monitor, supervise, direct and assess the performance of Assessors.

KPI 2: Professional Development:
The RTO delivers, coordinates or facilitates at least one training or professional development opportunity per annum for each Assessor/Trainer operating under their agreement:
  - The RTO must ensure that each Assessor completes a minimum of one RTO coordinated or delivered professional development activity every 12 months. Total duration of the nominated activity must be eight (8) or more hours.
  - Professional development activity must be directly related to the improvement of an Assessor’s skills when delivering Training and Assessment within the HVCBA program. Examples are:
    - Assessor forum with detailed agenda, sign on sheets and recorded minutes/outcomes
    - Practical training, including HVCBA criteria with session plans, sign on sheets and training evaluation
    - Theory training including HVCBA criteria with session plans, sign on sheets and training evaluation
    - Customer Service training including e.g. developing communication skills, delivering instruction and direction, conflict resolution
    - Other as approved by Roads and Maritime
  - The RTO must retain a record of each Assessor’s attendance and detail of the training content or activity.

KPI 3: Attendance at Roads and Maritime Workshops
The RTO and their approved Assessors and Trainers must attend Roads and Maritime workshops as required.
  - Roads and Maritime will provide both mandatory and voluntary training opportunities.
  - Performance management relates only to Trainers, Assessors and RTOs directed by Roads and Maritime to attend mandatory training.
RTOs must ensure that Trainers/Assessors attached to their RTO attend mandatory Roads and Maritime training where the training forms part of a remedial training plan, following an unsatisfactory Roads and Maritime QA check or forms part of a remedial training activity noted in an RTO FCA/CT location visit report.

KPI 5: RTO Training course or FCA/CT location visit
- Each RTO must conduct unannounced onsite FCA/CT or Training Course location visits for Assessors as directed by Roads and Maritime.
- Unannounced checks may be conducted at any time during delivery of the training course or assessment.
- Conduct a minimum of one (1) unannounced onsite FCA/CT or Training Course location visit per year for each Assessor operating under their RTO. This requirement is in addition to any visit as directed by Roads and Maritime.
- RTO representatives must identify themselves to both Trainer/Assessor and Applicant and allow the applicant to inspect detail of their Driving Instructor licence.
- RTO representatives must be a qualified Trainer/Assessor and hold either the same or higher class of Driving Instructor licence as the class being trained or assessed.
- Complete and retain on record a copy of the completed RTO location visit report.
- Implement any required action to improve the performance of each Trainer/Assessor.
- Retain on record details of any required remedial action including training delivered and completed.
- Advise Roads and Maritime immediately if a serious non-compliance is identified.

KPI 6: Roads and Maritime Quality Assurance (QA) checks
Roads and Maritime will complete a minimum of one Assessor Quality Assurance (QA) FCA/CT QA check per RTO per annum.
- RTO performance management will be measured on the outcome of the FCA/CT Quality Assurance Check.
- More than one Quality Assurance Check may be conducted for each RTO. RTO performance will be determined by an average score based on the number of checks conducted and the outcome.

Note: If a serious non-compliance is identified during a QA check, the matter will be referred for further Roads and Maritime investigation. A serious non-compliance may result in sanctions to an RTO, Trainer and/or Assessor and may result in suspension or termination of the Trainer, Assessor and/or RTO Accreditation.

The following KPIs will only be measured where a Roads and Maritime QA check results in an unsatisfactory performance notification. If an RTO’s performance is found to be satisfactory, the RTO will automatically be awarded maximum points for KPIs 7 and 8.
KPI 7: The RTO develops a detailed remedial training management plan for Roads and Maritime following an unsatisfactory Quality Assurance Check.

- Remedial training plans are mandatory
- Time frame for submission is seven days from formal notification by Roads and Maritime of unsatisfactory QA check
- Implementation for plans is 14 days from approval by Roads and Maritime unless otherwise approved by Roads and Maritime, including submission of the completion report to Roads and Maritime
- Roads and Maritime may approve a period of greater than 14 days to include ongoing Trainer/Assessor monitoring if requested by an RTO.

KPI 8: Following an unsatisfactory Quality Assurance Check, RTO delivers the remedial training and a report is provided to Roads and Maritime.

- Reports must be delivered to Roads and Maritime within 14 days of approval of the remedial action plan unless otherwise approved by Roads and Maritime.

2.1.2 KPIs 1 and 4

KPI 1: Registered Training Organisation (RTO) must have processes in place to ensure all administrative details relating to the RTO and all Trainers and Assessors associated with the RTO are current.

1. RTOs must retain current details of RTO’s:
   - Professional Indemnity Insurance
   - Public Liability Insurance
   - Motor Vehicle Comprehensive Insurance
   - Workers Compensation Insurance
   - Personal Accident and Illness (if applicable).

2. RTOs must retain current details of Trainer and Assessors’:
   - Professional Indemnity Insurance
   - Motor vehicle comprehensive insurance for all vehicles owned and used for training and/or assessment that are owned by the Assessor or driving school the Assessor works for
   - Current Driver Licence
   - Current Driver Instructor Licence.

3. Assessment Vehicles
   - The RTO must maintain a register of each Assessor owned vehicle used for training and assessment. The register must contain:
     - Date stamped photos of vehicle showing front, side and rear view including the vehicle load
     - Printout of check vehicle details from: https://my.service.nsw.gov.au/MyServiceNSW/index#/rms/freeRegoCheck/display
     - Split weighbridge ticket (weight over each axle or axle group) showing vehicle is loaded to 75% and not exceeding maximum axle weights https://www.rms.nsw.gov.au/business-industry/partners-suppliers/lgr/other-information/heavy-vehicles/mass-limits.html

4. RTOs must notify Roads and Maritime within five days of the suspension/termination or resignation of a Trainer or Assessor.
KPI 4: RTOs must submit an Annual Self-Assessment Report (ASAR), by the due date each year.

RTOs must submit a completed ASAR on or before the due date each year. The annual date as specified in the HVCBA Accreditation Agreement is 10 March.

2.2 RTO Performance Assessment

Assessment of RTOs will be based on a points system, with each KPI scoring a maximum of 5 points. Assessment will be carried out twice during the trial period, once at 3 months and once at 6 months. The final score will be an average over the six month period.

Score Moderation

Scores will be moderated based on the relative road safety outcome. Scores for KPIs 1-4 will be multiplied by 0.5. Scores for KPIs 5-8 will be multiplied x 2. Final scores for each KPI will be added together to give an overall score out of 50.

The Performance Management score will not be the basis on which continuation in the HVCBA program after 30 June 2020 will be decided. However, if an RTO is consistently scoring at the lower end of the scale, this may result in an audit by Roads and Maritime Compliance Branch, the result of which could lead to termination of an agreement with an RTO.
### How scores are awarded:

<table>
<thead>
<tr>
<th>KPI</th>
<th>Calculation</th>
<th>Scaling</th>
<th>Evidence required – email to <a href="mailto:HVTraining@rms.nsw.gov.au">HVTraining@rms.nsw.gov.au</a></th>
<th>Reporting Frequency</th>
</tr>
</thead>
</table>
| KPI-1 | The calculation for KPI-1 is based on the time taken to submit the required data to Roads and Maritime as outlined in the matrix.  
  - Submission on or before the item expires scores the maximum five points  
  - Delays in submitting the required information to Roads and Maritime will result in a lower score  
  - Scores will be averaged, divided by the number of items required to be updated  
  - For items relating to RTOs, copies of required insurance documents must be forwarded to Roads and Maritime  
  - For items relating to Trainers/Assessors, only the relevant information is required to be forwarded to Roads and Maritime. However, RTOs must keep copies of the relevant Trainer/Assessor documents on file and provide copies to Roads and Maritime on request/ during an audit. | X0.5    | Email updated information to Roads and Maritime     | By due date         |
| KPI-2 | Scores are awarded based on the percentage of Trainers/Assessors attending RTO professional Development.                                                                                                                      | X0.5    | Session outline, attendance sign on sheets, register submitted to Roads and Maritime  
  A minimum of 8 hours Professional Development must be demonstrated. | Quarterly    |
| KPI-3 | Scores are awarded for compulsory attendance at/completion of Roads and Maritime training.  
- A notice of compulsory training will be sent to both the RTO and the Trainer/Assessor where training is required  
- RTOs may nominate compulsory attendance for a Trainers/Assessor, in consultation with Roads and Maritime  
- Voluntary attendance at Roads and Maritime training will not be scored  
- Failure to attend compulsory training may result in termination of Trainer/ Assessor approval to operate within the HVCBA program. | X 0.5 | Roads and Maritime to collect attendance information | N/A  
| As required |
| KPI-4 | Scores are based on the date of submission of a completed ASAR.  
- Submissions on or before the due date will score a maximum five points.  
- Points will be deducted for late and/or unsatisfactory/incomplete ASARs. | X 0.5 | ASAR to be submitted as per the instructions in the ASAR Guidelines | Annually |
| KPI-5 | Scores are based on the percentage of Trainer/Assessor per RTO  
- based on one location visit per year per Trainer/Assessor  
- calculated as the total number of Assessors visited divided by the number of Assessors attached to an RTO  
- Multiple location visits to the same Assessor in a year are calculated as one visit. | X2.0 | Report to be completed for each visit.  
Register to be kept  
Both to be submitted to Roads and Maritime | Quarterly |
| KPI-6 | Maximum points will be awarded for satisfactory QA checks  
- Zero points will be awarded for unsatisfactory QA checks  
- Scores will be averaged where more than one QA check is carried out. | X2.0 | Nil | N/A |
<table>
<thead>
<tr>
<th>KPI-7</th>
<th>Maximum points will be awarded for:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• RTOs with satisfactory QA check</td>
</tr>
<tr>
<td></td>
<td>• Submission of a satisfactory remedial training plan within seven days of an unsatisfactory QA check.</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>KPI-8</th>
<th>Maximum points will be awarded for:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• RTOs with satisfactory QA check outcomes</td>
</tr>
<tr>
<td></td>
<td>• Satisfactory completion of the remedial training plan within 14 days, or other Roads and Maritime approved timeframe.</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
# Performance Management Matrix

<table>
<thead>
<tr>
<th>Classification</th>
<th>Weighting</th>
<th>RTO Performance Criteria</th>
</tr>
</thead>
</table>
| KPI1 Administrative | 0.5 | Ensure that RTO retains current details of:  
- Professional Indemnity Insurance  
- Public Liability Insurance  
- Motor Vehicle Comprehensive Insurance  
- Workers Compensation Insurance  
- Personal Accident and Illness (if applicable)  
- Trainers/Assessors  
- Professional Indemnity Insurance (if applicable)  
- Motor Vehicle Comprehensive  
- Current Driver Licence  
Records are submitted to RMS on or before the expiry date  
Records are submitted to RMS within 7 days of expiry date  
Records are submitted to RMS 8-14 days after the expiry date  
Records are submitted to RMS 15-29 days after the expiry date |
| KPI2 Administrative | 0.5 | The RTO delivers, coordinates, or facilitates at least one training or professional development opportunity per annum for each Assessor/Trainer operating under their agreement  
100% of Assessors/Trainers complete at least one training or professional development opportunity provided or facilitated by the RTO  
60-99% of Assessors/Trainers complete at least one training or professional development opportunity provided or facilitated by the RTO  
70-79% of Assessors/Trainers complete at least one training or professional development opportunity provided or facilitated by the RTO  
50-59% of Assessors/Trainers complete at least one training or professional development opportunity provided or facilitated by the RTO  
<50% of Assessors/Trainers complete at least one training or professional development opportunity provided or facilitated by the RTO |
| KPI3 Administrative | 0.5 | The RTO and their approved Assessors and Trainers attend mandatory RMS workshops as required  
100% of RTOs, Assessors/Trainers complete at least one training or professional development opportunity provided or facilitated by the RMS  
60-99% of RTOs, Assessors/Trainers complete at least one training or professional development opportunity provided or facilitated by the RMS  
70-79% of RTOs, Assessors/Trainers complete at least one training or professional development opportunity provided or facilitated by the RMS  
50-59% of RTOs, Assessors/Trainers complete at least one training or professional development opportunity provided or facilitated by the RMS  
<50% of RTOs, Assessors/Trainers complete at least one training or professional development opportunity provided or facilitated by the RMS |
| KPI4 Administrative | 0.5 | The RTO submits to Roads and Maritime Services a completed annual ASAR  
On or before due date  
No more than 2 working days past due date  
No more than 5 working days past due date  
No more than 10 working days past due date  
More than 10 working days past due date |
| KPI5 Operational | 2 | The RTO conducts and maintains record of off site training minutes for RTO and if applicable, assessors/trainers  
100% of Assessors/Trainers receive an off site training location visit each year from their RTO  
60-99% of Assessors/Trainers receive an off site training location visit each year from their RTO  
70-79% of Assessors/Trainers receive an off site training location visit each year from their RTO  
50-59% of Assessors/Trainers receive an off site training location visit each year from their RTO  
<50% of Assessors/Trainers receive an off site training location visit each year from their RTO |
| KPI6 Operational | 2 | Quality Assurance Checks conducted by Roads and Maritime Services do not warrant any remedial action  
100% of the time  
90-99% of the time  
80-89% of the time  
70-79% of the time  
<70% of the time |
| KPI7 Operational | 2 | The RTO develops a detailed remedial training management plan for Roads and Maritime following an unsatisfactory Quality Assurance Check  
Within 7 working days from the date when the Quality Assurance check was conducted  
Within 8-10 working days from the date when the Quality Assurance check was conducted  
Within 11-15 working days from the date when the Quality Assurance check was conducted  
Within 16-20 working days from the date when the Quality Assurance check was conducted  
Post 20 working days from the date when the Quality Assurance check was conducted |
| KPI8 Operational | 2 | Following an unsatisfactory Quality Assurance Check, RTO delivers the remedial training and a report provided to RMS  
Within 14 working days from the date when the Management plan for Remedial Action was provided to RMS  
Within 15-21 working days from the date when the Management plan for Remedial Action was provided to RMS  
Within 22-28 working days from the date when the Management plan for Remedial Action was provided to RMS  
Within 29-35 working days from the date when the Management plan for Remedial Action was provided to RMS  
Post 35 working days from the date when the Management plan for Remedial Action was provided to RMS |
3 Customer Satisfaction Survey

3.1 Purpose of the Customer Satisfaction Survey

In addition to applying the RTO Performance Management KPIs, Roads and Maritime will also be initiating an HVCBA Customer Satisfaction Survey. The survey will be sent to all HVCBA Applicants after training has been completed and results analysed to identify possible areas for program improvement, additional training needs and prioritisation of Roads and Maritime Quality Assurance checks.

RTOs will be notified on a weekly basis of the results of the survey and may use the information to inform the management of Trainers and Assessors linked to their RTO for:

- Identifying Trainer/Assessor/Administration Staff training needs
- Coaching and/or mentoring of Trainers/Assessors/Staff
- Prioritising Quality Assurance checks of Trainers and Assessors
- Prioritising in cabin video footage reviews of FCAs conducted by Assessors
- Developing and implementing internal administrative processes to manage issues raised through the Customer Satisfaction Surveys.

3.2 How the Customer Satisfaction Survey will operate

The Customer Satisfaction Survey will be conducted by Roads and Maritime on a weekly basis.

3.2.1 What RTOs need to do

RTOs will be required to:

- Obtain the consent of the Applicant to share their contact details with Roads and Maritime, at the time of booking Training and Assessment
- Record the Applicant’s email address in the free text box in HVCO

3.2.2 What happens next?

The Applicant email address is recorded in HVCORS and will be uploaded to the survey on Tuesday afternoons.

- The survey link will be emailed to each participant by Roads and Maritime by close of business each Tuesday.
- Completion of the survey by Applicants is voluntary.
- The survey is completed online, accessed via a link in the email to Applicants.
- The survey closes for Applicants on the following Monday.
- Results will be collated, analysed and published to RTOs by the following Friday.
- Results will be sent to each RTO individually.
4 Guidelines for RTO Location Visits

Registered Training Organisations (RTOs) must have processes in place to monitor, supervise, direct and assess the performance of Trainers and Assessors. KPI -5 RTO location visit requires that RTOs must conduct unannounced onsite location visits to Trainers and Assessors.

1. RTOs are required to complete unannounced onsite FCA / CT or Training Course, location visit for Assessors as directed by Roads and Maritime

2. At least one visit is to be carried out per Trainer/Assessor per financial year, regardless of how long the Trainer/Assessor has been working for the RTO.

3. All location visits must be unannounced and carried out by a fully licenced heavy vehicle driver trainer/assessor with a minimum of the same class of licence as the Training/CT/FCA being conducted.

4. Unannounced checks may be conducted any time during delivery of the training course, or assessment

5. Conduct a minimum of one unannounced onsite FCA / CT location visit per year for each Assessor operating under their RTO. This requirement is in addition to any visit as directed by Roads and Maritime

6. RTO representatives must identify themselves to both Trainer/Assessor and Applicant and allow the applicant to inspect detail of their Driving Instructor licence

7. RTO representatives must be a qualified Trainer/Assessor and hold either the same or higher class of Driving Instructor licence as the class being trained or assessed

8. RTOs must complete a 100% review of in-cabin camera footage of the Assessor prior to conducting a location visit to identify any specific areas to be covered in more depth.
   a. For Trainers, this might be the video footage of the FCA/CT that followed the training session if the Trainer is attached to your RTO
   b. Video footage reviewed can be included in the mandatory 5% of footage to be reviewed.

9. RTOs must conduct a location visit in the following circumstances:
   • For newly aligned Trainers/Assessors, within the first 3 months of Roads and Maritime approval for the alignment of the Trainer/Assessor.
   • Within 21 days of:
     o a previous unsatisfactory location visit
     o unsatisfactory Roads and Maritime QA check of the Assessor
     o unsatisfactory review of in cabin video footage by the RTO
     o customer complaints
     o as per Roads and Maritime direction.

10. Complete and retain on record a copy of the RTO location visit report.

11. Provide feedback to Trainer/Assessor and implement any required action to improve the performance of each Trainer or Assessor
12. Retain on record details of any remedial action completed

13. Advise Roads and Maritime immediately if a serious non-compliance is identified. A serious non-compliance is any situation whereby the FCA/CT may not continue and is required to be terminated, or the RTO representative determines that the completed FCA result is not valid and must be repeated. Examples of a Serious Non-Compliance could be:

- 1 or more Training Course Criteria not completed at all or to the required standard
- Driving Instructor licence, Trainer/Assessor Driver licence, Applicant Driver licence or Applicant Learner Logbook unable to be produced
- Vehicle not the correct configuration or type for licence class
- Vehicle not loaded to the required 75% (vehicle either not loaded at all or significantly underweight)
- Vehicle not roadworthy. Examples of not roadworthy are: tyres with insufficient tread depth, major fluid leaks, damaged suspension, bodywork with jagged or protruding parts
- In-Cabin Camera not fitted
- Requirement for the Separation of Training and Assessment not met (not including approved HRV applications)
- A complying retractable lap/sash seat belt not fitted to the passenger seat (MR-HR buses exempt)
- Any other serious breach of HVCBA Operating Procedures or HVCBA policy or procedure as determined by Roads and Maritime. Please email HVTraining@rms.nsw.gov.au for clarification

14. RTOs must complete a copy and retain on record a copy of the RTO location visit report template, the RTO Representative must complete all the required fields in the template. Details must include:

- Name of the RTO
- Name, Driving Instructor licence number and class of the person carrying out the check
- Name, licence number and class of the Trainer/Assessor conducting the Training Course/ FCA/CT
- Details of the Trainer/s who conducted the Training Course (if applicable)
- Name, Licence Number and Learner Logbook number of the of the Applicant
- Licence class being attempted in the Training Course/ FCA/CT
- Location of the visit and FCA route number (where an FCA/CT is being conducted)
- Date and time of the location visit
- Report body including any findings and any remedial action to be undertaken
- Signatures of the Trainer/Assessor, Applicant and the RTO representative.

15. Copies of completed Location Visit Report Template must be submitted to Roads and Maritime on a monthly basis.

RTOs must include and document the following checks in a Location Visit:

- Check of Applicant and Trainer/Assessor licence’s including drivers licence and Driving Instructors licence
  If the RTO representative conducts the FCA/CT

Refer to Operating Procedures Item 4.9

HVCBA Performance Management Guidelines
If the RTO representative does not conduct the FCA/CT

- Complete a check of vehicle roadworthiness and general condition
- Check of vehicle configuration and type
- Check vehicle load – weight and security.
- Speak with the applicant and ask questions relating to the Training Course, including:
  a. Previous heavy vehicle driving experience?
  b. Training Course duration start finish times, breaks, locations, quality of direction and instruction delivered by Trainer and Assessor?
  c. Request the applicant to complete Criteria 1 - Pre-Operational Checks
  d. Request the applicant to complete Criteria 2 - Cabin Drill
  e. Question the applicant about how they completed Criteria 11 – Long Reverse
  f. Question the applicant about what other reversing manoeuvre was completed
  g. Question the applicant about how they completed Criteria 12 - Hill Stop/Start
  h. Request the applicant to complete Criteria 13 –Load Securing
  i. Question the applicant about how they completed Criteria 14 – Coupling/Un-Coupling (if applicable)
  j. Question the applicant about how they completed Criteria 15 – Bus Stop Skills? (if applicable)

2. Check Learner and Assessor Log books to ensure accuracy

3. Check in cabin camera equipment is fitted and complies with Roads and Maritime requirements

4. Discuss with Trainer/Assessor:
   a. Any difficulties being experienced?
   b. Training needs/professional development?
   c. Individual RTO requirements/procedures?
   d. Provide feedback

Once the RTO location visit is complete and providing no serious non-compliance is identified, training/assessment may proceed. Advise the Assessor to record that an RTO Location visit was completed on the assessment documentation, announce this in the Pre-Assessment script for an FCA/CT and record a note in the free text area of HVCORS including amended start and finish times.

If evidence is provided that indicates deficiencies in delivery of the Training Course and the Training Course was delivered by an assessor aligned with another RTO, advice is to be provided by the RTO conducting the FCA/CT check to HVTraining within 48hrs.

Roads and Maritime must be advised immediately if a serious non-compliance is identified.

It is advisable to take photographs of non-compliance for your records.
5 Guidelines for RTO based Trainer/Assessor Professional Development

In addition to additional training opportunities provided by Roads and Maritime, RTOs are required to deliver, coordinate or facilitate at least one training or professional development opportunity per annum for each Assessor/Trainer operating under their agreement.

- RTOs must ensure that each Assessor completes a minimum of one RTO coordinated or delivered professional development activity every 12 months.
- Total duration of the nominated activity must be eight or more hours.
- Where an assessor is released from an RTO and then reinstated by the same RTO, or an Assessor joins a new RTO after 31 December, evidence of having completed professional Development with the original RTO will need to be provided before the Assessor can be approved.
- Professional development activity must be directly related to the improvement of an Assessor’s skills in delivery of Training and Assessment within the HVCBA program. Examples may include:
  - Assessor forum with detailed agenda
  - Practical training, including HVCBA criteria with session plans, sign on sheets and training evaluation
  - Theory training including HVCBA criteria with session plans, sign on sheets and training evaluation
  - Benchmarking activities with Trainers and Assessors to maintain an agreed level of standard within the RTO
  - Customer Service training including e.g. developing communication skills, delivering instruction and direction, conflict resolution
  - E-learning delivered and/or facilitated by the RTO. Note: Roads and Maritime e-learning packages are not considered RTO based professional development
  - Other as approved by Roads and Maritime.
- Professional Development need not be technical. Professional development may aim to improve customer service skills.
- Professional Development may be delivered by an outside organisation as long as it is coordinated/facilitated by the RTO and records of the training and attendees are maintained by the RTO.
- A Trainer/Assessor capability framework has been included in Appendix 1, courtesy of Transport for NSW RTO, outlining the capabilities required of Trainers and Assessors. The framework may be used to identify non-technical professional development opportunities and skill building for Trainers and Assessors.

  Note: Roads and Maritime e-learning cannot be used by RTOs to comply with this KPI.

- An example of an activity that can be individualised to include technical and/or customer service skills development is included in Appendix 2.
- RTOs must retain a record of each Assessors attendance and detail of the training content or activity, submitted to Roads and Maritime quarterly.
  - Signed training attendance sheets, agendas and session plans should be submitted to Roads and Maritime on a quarterly basis.
5.1 Monitoring of Assessor Training Course activity

- RTOs must maintain a register of all HVCBA training course activity for each Assessor under their RTO.
- Registers must contain details of training course dates, locations, time, vehicles used and training course activity.
- The register may be cumulative, updated and sent to Roads and Maritime on a quarterly basis together with records of the training provided and Assessor attendance.
### Appendix 1: Capability Framework

| Communicate Effectively | \- Use a range of communication skills, such as listening, questioning, reading and report writing  
|  | \- Translate technical and complex information concisely for diverse audiences considering their cultural and educational backgrounds  
|  | \- Adjust communication style and encourage trainees to contribute |
| Think & Solve Problems | \- Interpret trainee developmental needs and adapt to these during training  
|  | \- Investigate knowledge gaps and connect new information  
|  | \- Work with colleagues to compare, review, and evaluate assessment processes and outcomes as well as regularly review courseware |
| Deliver Results | \- Uses skills to ensure trainee engagement and achievement of learning and program outcomes  
|  | \- Works to ensure training is delivered in line with each Trainee's training plan  
|  | \- Delivers upon the requirements of the training package |
| Plan & Prioritize | \- Use time-management skills to plan, prioritise and organise training  
|  | \- Maintain training and assessment documentation, in accordance with RTO and RMS requirements  
|  | \- Use collective knowledge to plan for potential risks, train for eventuality |
| Manage Self | \- Play an active role to promote a positive culture towards training in the workplace  
|  | \- Always seek the truth and a higher level of quality  
|  | \- Maintain consistency and transparency during training and assessment |
| Commitment | \- As a face of the organisation, promote a culture of quality customer service  
|  | \- Initiate and develop relationships with trainees showing willingness to help and empathy towards their needs, at times provide individualised attention  
|  | \- Be a role model for demonstrating professionalism and leadership |
Appendix 2: Professional Development Tool

7.1 What is the tool?
The Professional Development Tool is an example of how Professional Development methodology can be integrated into existing program requirements and which can be modified to fit a particular purpose such as training needs analysis, monitoring of program delivery or self-improvement for Assessors and RTOs.

The tool is intended as an example only. It does not cover all elements of HVCBA training and assessment and is not intended to be prescriptive. RTOs should add, delete and modify to suit their business model and their Trainer/Assessor requirements and/or methodologies.

7.2 What does the tool do?
- Incorporates peer review
- Peer review is managed through existing in-cabin video.
- Can be complimented with external one-on-one observation e.g. Load Restraint, Reversing
- Footage reviewed may be included in the 5% footage review requirement
- Involves Assessors in both self-evaluation and peer review
- Can be used as a needs analysis for individualised learning needs
- While Roads and Maritime best Practice e-learning cannot be used in lieu of RTO delivered professional development, it can be used by Assessors for their own development goals.

7.3 How is the tool used?
- RTOs modify the tool to include focus areas, interpersonal skills and/or RTO processes and procedures
- Each Assessor pairs with a Peer Assessor to review the in-cabin footage of an FCA being carried out by the Assessor
- Both the Assessor and Peer Assessor rate the performance of the Assessor and submit to the RTO
- A gap analysis is carried out by the RTO – similar to the gap analysis graphing included in the LLN component of the Cert IV in Training and Assessment.
- The RTO brings the Assessors into a group session to review the de-identified findings with Assessors and provides training on the identified PD priorities
- RTOs prioritise professional development based on the needs identified
- The tool can be used for part of the PD activity provided by the RTO, but completion of the peer review tool only, without any follow up RTO based activities and/or RTO delivered training, will not satisfy the PD requirement.
- The tool may be used at the end of the training year to assess improvement in the Assessor performance or confirmation of the Assessor continued quality assurance
7.4 **What are some other outcomes that can be achieved by using the tool?**

- Identify focus areas for FCA/CT location visit conversation
- Follow up after an FCA/CT location visit
- Identify the training needs of an Assessor or group of Assessors
- Evaluate the effectiveness of Assessor training and/or PD
- Provide positive feedback to Assessors
- Provide feedback to an Assessor for their own self-improvement
- Identify self-improvement for RTO processes and practices
- Measure an Assessor’s improvement following training
- Monitor and provide feedback to new Assessors
- Monitor both Assessors and RTO following an unsatisfactory Roads and Maritime QA check.
- Form part of an improvement plan following an unsatisfactory Roads and Maritime QA check.
### PROFESSIONAL LEARNING PLAN

<table>
<thead>
<tr>
<th>Knowledge and Learning</th>
<th>Performance and Delivery</th>
<th>Observation</th>
<th>Self-Assessment/Peer Assessment</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Criteria 1: Pre Operational Checks</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Drive</strong> <em>(Refer to checklist)</em></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| **Performance:** Locate, identify, inspect and/or describe reasons for inspection and the required condition of vehicle components for a pre-operational check | • Wheels, wheel nuts and tyres  
• Vehicle measurements  
• Couplings | • Vehicle posture  
• Load security  
• Loose/missing/broken fittings | Assessor is able to recognise Applicant’s ability to locate, identify, and inspect the vehicle ensuring that the Applicant has checked all of the performance and delivery items noted in the HVCBA handbook. E.g. stay clear of the activity but recognise the items being noted by the Applicant | 5 5 5 4 | John needs training on vehicle posture as he is not able to perceive when there is a bias in the way the vehicle is sitting. His mechanical familiarity with vehicles will need to be updated plus his knowledge on drive belts and pulleys. |
| | • Fluid leaks/levels  
• Air leaks  
• Air tanks | • Registration  
• Lights and indicators  
• Drive belts and pulleys | | 4 3 3 3 |
| **Criteria 2: Cabin Drill** | | | | |
| **Performance:** Demonstrate all adjustments required to ensure safe and comfortable operation of the vehicle. Locate, identify and where appropriate describe the function of controls, gauges, and warning lights | • Seating Position  
• Mirrors  
• Cleanliness | Controls | Assessor should have the vehicle Parked and secured, engine not running. Applicant should name the respective gauges, pre-empt seat positioning. Three points of contact entering and exiting. | 5.0 5.0 |
| **Criteria 3: Start, move off, shut down & secure** | | | | |
| **Performance:** Demonstrate engine start and shut down procedures, demonstrate brake checks prior to moving off. Move off from the kerb safely and maintain full vehicle control. Demonstrate return to the kerb, a safe exit and securing of the vehicle | • Start engine  
• Instrument & gauges | • Move off  
• Return to kerb | Assessor should note the performance procedures and recognise the Applicant’s ability to start, move off, shut down and secure the vehicle. Engine should not be running at the commencement. Applicant should be asked for commentary. | 5 5 5 5 |
| | • Shutdown Vehicle | • Secure vehicle | | 5 5 5 5 |
| **Criteria 4: Manages steering** | | | | |
| **Performance:** Demonstrate safe and competent steering skills in a range of road and traffic environment | • Smooth directional changes  
• Hand position & grip  
• Straight line driving  
• Curves & bends  
• Intersections  
• Railway crossings  
• Kerb clearances | | | |
| Criteria 5: Manages Gears | Performance: Demonstrate smooth efficient gears changing and gear selection according to road, traffic, speed and vehicle gear box requirements | • Appropriate gear for speed/gradient  
• Smooth changing without clashing  
• Correct use of clutch | | 3 | 3 | 3 | 3 | Road ranger gear box definitely not the type the applicant trained in and not able to change gears smoothly. John may need to organise training and focus on gear change and use of clutch. |

| Criteria 6: Manages Brakes | Performance: Demonstrate controlled and safe braking for the purpose of both slowing and stopping the vehicle | • Efficient use of brake system  
• Smooth application  
• Stopping point accuracy | | | | | |

| Criteria 7: Manages Accelerator | Performance: Demonstrate smooth and progressive acceleration | • Manages engine power  
• Smooth & efficient | | | | |

| Criteria 8: Create/Maintain Crash Avoidance Space (CAS) | Performance: Demonstrate continuous scanning of the road and the traffic environment making subsequent adjustments to speed and position to maintain a safe distance from vehicles and obstacles to the front and the sides | • Following distance (moving)  
• Stopped position  
• Speed selection  
• Crash avoidance Space to the sides  
• Lane selection | Assessor should note the applicant's continuous scanning of the road and the maintenance of safe distances for objects and vehicle paying particular attention to where the applicant’s vehicle is located | 4.5 | 5 | 4.0 | 4.5 | John has allowed the applicant to follow too closely to another vehicle and should encourage the applicant proactively to maintain CAS. |

| Criteria 9: Protect Crash Avoidance Space (CAS) | Performance: Demonstrate appropriate responses to situations where CAS is threatened or compromised | • Speed control  
• Gap selection  
• Maintains traffic flow  
• Observes road & traffic environment  
• Responds to risks/hazards | Assessor should provide specific directions and note the applicant response in relation to give way signs/stop signs, roundabouts, speed zones | | | | |

| Criteria 10: Road Rules and Directions | Performance: Demonstrate observation and compliance with road rules and regulations and follow the assessor's directions | • Obey road rules  
• Follows assessors instructions | Assessor should provide specific directions and note the applicant response in relation to give way signs/stop signs, roundabouts, speed zones | 5 | 3 | | John has not noted the applicant has not indicated exiting a roundabout. The applicant appears to “creeping over” the speed limit and this has been noted by John. |
<table>
<thead>
<tr>
<th>Criteria 11: Reverse</th>
<th>• Long reverse (for all vehicles)</th>
<th>• Offset reverse (around a left hand kerb (except MC))</th>
<th>• Reverse parallel park (rigid vehicles only)</th>
<th>• Loading dock simulation (except MC)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Performance</strong>: Demonstrate safe and accurate vehicle control during reversing manoeuvres.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Criteria 12: Hill Stop/Start</th>
<th>• Ascent</th>
<th>• Descent</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Performance</strong>: Demonstrate smooth safe stopping and starting when leaving the kerb on ascending and descending roads</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Criteria 13: Load Securing</th>
<th>• Ropes</th>
<th>• Chains and dogs</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Performance</strong>: Demonstrate the common method of securing a load to confirm ability to check and, if necessary, adjust load restraints</td>
<td>Visual inspection of ropes, chains, dogs, and straps prior to use</td>
<td>Assessor should ensure the Applicant has knowledge on how the perspective restraints should be secured and has knowledge of what items and loads can be secured – pre-inspection important</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Criteria 14 Coupling/Uncoupling – For Heavy Combination</th>
<th>• Semi-Trailer Uncouple</th>
<th>• Semi-Trailer Couple</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Performance</strong>: Demonstrate coupling and uncoupling a semi-trailer or a heavy vehicle combination truck and trailer</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>For Multi Combination</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Performance</strong>: Demonstrate coupling and uncoupling of an A trailer to and from a B Trainer or a B double trailer</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Or</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Demonstrate coupling or uncoupling of a converter dolly to/from a semi-trailer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Demonstrate coupling and uncoupling of a lead semi-trailer to/from a second semi-trailer of a road train configuration</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Criteria 15: Bus Stop Procedure – BUS ONLY</th>
<th>• Arriving at the bus stop</th>
<th>• When departing the bus stop</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Performance</strong>: Demonstrate smooth drawing into the kerb, stopping for passengers loading, and leaving a bus stop with due regard for road and passenger safety</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Assessment** | • Final Competency Assessment (FCA) | • Competency Test (CT) |

|  |  |  |  |  | Physical inspection. John has recognised expertise and advised the Applicant accordingly |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

HVCBA Performance Management Guidelines
<table>
<thead>
<tr>
<th><strong>Glossary</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Accreditation Agreement</strong></td>
</tr>
<tr>
<td><strong>Address</strong></td>
</tr>
<tr>
<td><strong>Agreement</strong></td>
</tr>
<tr>
<td><strong>Assessor</strong></td>
</tr>
<tr>
<td><strong>Auditor</strong></td>
</tr>
<tr>
<td><strong>Business Day</strong></td>
</tr>
<tr>
<td><strong>CT</strong></td>
</tr>
<tr>
<td><strong>Driving Instructor</strong></td>
</tr>
<tr>
<td><strong>Driving Instructors Act</strong></td>
</tr>
<tr>
<td><strong>Driving School</strong></td>
</tr>
<tr>
<td><strong>FCA</strong></td>
</tr>
<tr>
<td><strong>Heavy Vehicle</strong></td>
</tr>
<tr>
<td><strong>Heavy Vehicle Licence</strong></td>
</tr>
<tr>
<td><strong>HVCBA Regulatory Program</strong></td>
</tr>
<tr>
<td><strong>HVCBA Regulatory Program Policies and Procedures</strong></td>
</tr>
<tr>
<td><strong>Program</strong></td>
</tr>
<tr>
<td>------------</td>
</tr>
</tbody>
</table>
|            | Key Performance Indicator. A quantifiable measure used to evaluate the success in meeting objectives for performance | Quality Assurance Check. A check carried out to ensure that training delivered meets the required standard | Person Conducting a Business or Undertaking | The process of acquiring the skills needed to improve performance, competence and/or expertise in a person’s job or profession | An event, matter, situation or thing that in Roads and Maritime’s reasonable opinion:  
- has a material adverse effect upon the character, honesty or integrity of a RTO, its Personnel or Roads and Maritime;  
- relates to RTO or any of its Personnel and has a material adverse effect upon the public interest (having regard to the policy objectives of Roads and Maritime) or the reputation of or public confidence in Roads and Maritime or the New South Wales Government; or  
- that involves a material failure by RTO or its Personnel to achieve or maintain:  
  - reasonable standards of ethical behaviour;  
  - the avoidance of conflicts of interest that may have (or may give the public the appearance of having) a material adverse effect on the ability of RTO to impartially perform and observe its obligations in respect of this agreement; or  
  - standards of behaviour expected of a person operating with a government approval | The records and reports that RTO is required to maintain under this agreement including as required under the HVCBA Scheme Policies and Procedures, the Driving Instructors Act and Privacy Laws | A training organisation registered as such with Australian Skills Quality Authority established under the *National Vocational Education and Training Regulator Act 2011* | A program that operationalises government legislation and policy. | Any materials provided to RTO by Roads and Maritime for the purposes of the agreement, including any HVCBA Scheme Policies and Procedures. | A person or business accredited by Roads and Maritime to provide a service to the public on Roads and Maritime’s |
<table>
<thead>
<tr>
<th><strong>RTO Induction Training Program</strong></th>
<th>A mandatory training program for new and existing RTOs</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>RTO Representative</strong></td>
<td>The person nominated in item 5 of the Agreement Details as they may be substituted pursuant to clause 8.3</td>
</tr>
<tr>
<td><strong>Systems</strong></td>
<td>The meaning given in clause 12.4 of the HVCBA Agreement</td>
</tr>
<tr>
<td><strong>Term</strong></td>
<td>The term of the HVCBA Agreement</td>
</tr>
<tr>
<td><strong>Trainer</strong></td>
<td>A person engaged by the RTO under this Agreement and who meet the requirements for Trainers as set out in this agreement to conduct Training Courses of Applicants.</td>
</tr>
<tr>
<td><strong>Trainer and Assessor Qualifications</strong></td>
<td>The qualifications set out in the HVCBA Regulatory Program Policies and Procedures which Trainers and Assessors must hold and maintain</td>
</tr>
<tr>
<td><strong>Training Course</strong></td>
<td>A course to be provided to an Applicant to train that person in the driving of a Heavy Vehicle so that person is eligible and prepared to undertake an Assessment. The Training Course also includes Applicable Assessment Criteria 1-15 or any other driving instruction</td>
</tr>
<tr>
<td><strong>Variation to Requirements</strong></td>
<td>An approval granted by Roads and Maritime to an RTO for a variation to the way training and assessment of an Applicant may be conducted</td>
</tr>
<tr>
<td><strong>Vehicles</strong></td>
<td>The vehicles used by RTO in conducting Training Courses and Assessments</td>
</tr>
<tr>
<td><strong>WHS</strong></td>
<td>Work Health and Safety</td>
</tr>
<tr>
<td><strong>WHS Laws</strong></td>
<td>All applicable work health and safety related Laws including, but not limited to Work Health and Safety Act 2011 (NSW); regulations, codes of practice, Australian Standards or compliance codes; and directions, guidance notes or notices issued by any relevant Government authority or agency responsible for administering work health and safety laws.</td>
</tr>
<tr>
<td><strong>WHSMS</strong></td>
<td>Work Health and Safety Management System</td>
</tr>
</tbody>
</table>
9 Relevant Legislation

- Driving Instructors Act 1992 (No.3)
- Driving Instructors Regulation 2016
- Privacy and Personal Information Protection Act 1998
- Road Transport Act 2013
- Road Transport and related Legislation Amendment Act 2017 No.61
- Road Transport (Driver Licensing) Regulation 2017
- Work Health and Safety Act 2011(No.10)
- Work Health and Safety Regulation 2011