

# Guidelines for assessing competence in VET



**TITLE:** Guidelines for assessing competence in VET (2nd Ed) 2008  
**SCIS NO.** 1361619  
**ISBN** 978 0 7307 4272 2

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**Purpose:**

These *Guidelines for assessing competence in VET* (the Guidelines) replace a former publication produced by the Department of Training called *The Guidelines for competency based assessment in vocational education and training in Western Australia* and provide information on the policies and processes involved in assessment for practitioners and other stakeholders in the vocational education and training sector in Western Australia.

The Guide is part of a suite of six publications produced by the Western Australian Department of Education and Training (the Department) all designed to assist trainers and assessors provide high quality assessment services. The other publications are:

- *A guide to continuous improvement of assessment in VET (2008)*
- *Troubleshooting guide: Assessment in VET (2008)*
- *Recognition of Prior Learning: An assessment resource for VET practitioners (2008)*
- *Designing assessment tools for quality outcomes in VET (2008)*
- *Reasonable adjustment: A practical guide to reasonable adjustment in assessment of candidates with disability in VET (2008)*

The information in this publication has not been referenced to specific AQTF 2007 standards, however the information provided is based on current standards and reflects good practice.

While the AQTF 2007 does not specify any particular documentation for assessment the documents suggested in this guide reflect good practice that an RTO can consider and adopt as required.

This information applies to Training Package qualifications and accredited courses with a vocational outcome.

All publications are available in hard copy and can be downloaded from [vetinfontet.det.wa.edu.au](http://vetinfontet.det.wa.edu.au).

## Contents

<b>Introduction</b> .....	3
<b>Section 1: Assessment Policy</b> .....	4
National and State Assessment Policies and Frameworks .....	4
Key Assessment Related Policies in Summary .....	5
Key Assessment Policy Requirements.....	8
<b>Section 2: Introducing Assessment</b> .....	14
<b>Section 3: The Assessment Process</b> .....	17
Introduction .....	17
Understanding Competence and Training Packages .....	18
Understanding the Role of Evidence.....	21
Selecting Assessment Methods and Assessment Tools .....	23
Documenting the Process Adequately.....	27
Planning and Conducting the Assessment Activity.....	28
<b>Section 4: Exemplar Materials</b> .....	31
Introduction .....	31
1. Four dimensions of competency .....	32
2. Clustering units of competency for assessment.....	34
3. Competency profile .....	34
4. Evidence requirements .....	36
5. Evidence matrix.....	38
6. Assessment plan template.....	39
7. Recording evidence .....	40
8. Reporting.....	41
Exemplars for assessment materials .....	45
1. Checklist for validity, reliability, flexibility and fairness.....	46
2. Self-audit format.....	50
3. Workplace assessment checklist.....	53
4. Assessment planning guidelines.....	54
5. Guidelines for assessing distance learners .....	57
6. Checklist for special needs of candidates .....	59
Assessment instruments and procedures/instructions.....	61
1. Direct observation .....	61
2. Oral questioning .....	63
3. Structured assessment activity.....	64
4. Evidence compiled by candidate .....	65
<b>Section 5: Resources Guide</b> .....	67
Introduction .....	67
Industry Skills Councils (ISCs).....	70
WA Industry Training Councils .....	72
<b>Section 6: Acronyms and Glossary of Terms</b> .....	76

## Introduction

These Guidelines have been written specifically for registered training organisations (RTOs) and organisations working in partnership with RTOs to provide them with clear and current information on national and state assessment policy and assessment processes.

Other stakeholders such as Industry Training Councils or Advisory Bodies (ITCs or ITABs), Group Training Organisations and employers may also find this document useful.

The Guidelines consist of six sections:

1. A summary of the key national and state policy requirements relevant to assessment.
2. An introduction to competency and assessment of competence for industry and individuals new to the field.
3. A guide to the assessment process for employers and assessors less familiar with competency based assessment.
4. A series of exemplar materials for adaptation and use by assessors (which link to the concepts and processes noted in Section 3).
5. A list of resources for assessors, including websites, organisations and materials on assessment.
6. A list of acronyms used and a glossary of terms for assessment.

## Section 1: Assessment Policy

Section 1 of the Guidelines for assessing competence provides a summary of the key assessment related requirements of national and state vocational education and training policies with which RTOs must comply.

### **National and State Assessment Policies and Frameworks**

There are eight national and state policies that relate directly to assessment in vocational education and training. These policies establish the assessment requirements for RTOs operating in Western Australia.

RTOs must ensure that all staff are familiar with all national and state policies and have up-to-date copies readily available for new trainers and assessors.

All assessors should ensure that they are familiar with the assessment-related aspects of these policies. The policies are:

#### **The National Training Framework, consisting of:**

1. Australian Quality Training Framework (AQTF 2007)
2. Training Packages.

#### **Other National Policies:**

3. Australian Qualifications Framework (AQF).

#### **State Policies/Guidelines:**

4. Recognition of Prior Learning: An assessment resource for VET practitioners
5. Guidelines for assessing competence in VET (ie this document)
6. Apprenticeship and Traineeship Policy and Delivery Guidelines
7. Building Diversity in VET, A Framework for Setting Priorities to Cater for the Needs of Western Australians
8. Reasonable adjustment: A practical guide to reasonable adjustment in assessment of candidates with disability in VET.

#### **Policies for Publicly Funded RTOs in WA:**

9. VET Fees and Charges (current year) that apply to RTOs for training and RPL/RCC funded by the Department.

A brief summary of the function of each of these policies follows, together with a website address for those needing to access copies of the policies or further information on them.

## **Key Assessment Related Policies in Summary**

### **1. The Australian Quality Training Framework AQTF 2007 Essential Standards for Registration The Australian Quality Training Framework AQTF 2007 Users' Guide to the Essential Standards for Registration**

#### **Key function:**

To provide consistent and continuously improving quality assurance and recognition mechanisms for vocational education and training across Australia, based on a quality assured approach to the registration of training organisations seeking to deliver training, assess competence and issue nationally recognised qualifications.

#### **Assessment aspects:**

The *AQTF 2007 Essential Standards for Registration* outlines the requirements for delivery and assessment of Nationally Recognised training.

#### **Further information:**

[www.training.com.au/aqtf2007/](http://www.training.com.au/aqtf2007/)

## **2. Training Packages**

#### **Key function:**

To provide a set of nationally endorsed standards and qualifications (used to recognise and assess the skills and knowledge people need to perform effectively in the workplace).

Training Packages are a key resource for registered training organisations (RTOs) in the delivery of structured, nationally recognised training and assessment.

A Training Package states what competencies need to be achieved but does not prescribe how an individual should be trained. It is the responsibility of the RTO, through its trainers and assessors, to develop teaching strategies and assessment methods to meet the needs, abilities and circumstances of learners.

#### **Assessment aspects:**

The key assessment related aspects of Training Packages are as follows:

Endorsed components

- national competency standards
- national qualifications
- assessment guidelines.

There can also be related Support Materials which are not endorsed but may be noted by the National Quality Council (NQC) if meeting specified quality requirements.

Support Materials may include:

- learning strategies
- assessment resources
- professional development materials.

**Further information:**

The National Training Information Service (NTIS) [www.ntis.gov.au](http://www.ntis.gov.au)

Training Packages [www.training.com.au](http://www.training.com.au)

### **3. The Australian Qualifications Framework (AQF)**

**Key function:**

To provide a unified system of national qualifications for schools, vocational education and training providers and the higher education sector.

**Assessment aspects:**

The Framework specifies the characteristics of learning outcomes at each qualification level as well as explaining the responsibilities for assessment and certification, including RPL principles.

**Further information:**

[www.aqf.edu.au/](http://www.aqf.edu.au/)

### **4. The Guidelines for assessing competence in VET**

**Key function:**

To provide a working document for trainers and assessors to help them provide quality assessment services.

**Assessment aspects:**

Assessment practices for RTOs are explained in these Guidelines.

**Further information:**

[www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au) or [www.tac.wa.gov.au](http://www.tac.wa.gov.au)

### **5. Recognition of Prior Learning: An assessment resource for VET practitioners**

**Key function:**

To achieve a consistent, high quality provision of RPL services for vocational education and training in Western Australia.

**Assessment aspects:**

Recognition of Prior Learning (or RPL) is an assessment method designed to confirm and recognise the competencies an individual has obtained outside of a formal education and training environment. These competencies might have been gained through informal or non-formal training, or they may have been gained through life or work experience.

**Further information:**

[www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au) or [www.tac.wa.gov.au](http://www.tac.wa.gov.au)



## **6. Apprenticeships and Traineeships Policy and Delivery Guidelines (2005)**

### **Key function:**

To outline guidelines for the establishment, registration and delivery of apprenticeships and traineeships in Western Australia.

### **Assessment aspects:**

RTOs must ensure that assessment is part of a process which is monitored and reviewed to provide quality outcomes in employment-based training. This extends throughout the entire learning and assessment process.

### **Further information:**

[www.apprenticeships.det.wa.edu.au](http://www.apprenticeships.det.wa.edu.au)

## **7. Building Diversity in VET, A Framework for Setting Priorities to Cater for the Needs of Western Australians**

### **Key function:**

To plan and set access and equity priorities that cater to the training needs of all Western Australians.

### **Assessment aspects:**

To provide publications and assistance on how assessments can address diversity, equity and access issues.

### **Further information:**

[www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au)

## **8. Reasonable adjustment: A practical guide to reasonable adjustment in assessment of candidates with disability in VET**

### **Key function:**

To ensure that students with disability have the best opportunity to have their competencies accurately recognised. The Guide is focussed upon people with disability as defined under the Disability Discrimination Act 1992 (DDA). The DDA requires Registered Training Organisations to customise their services—including making reasonable adjustment to the provision of assessment services—to facilitate the successful participation of people with a disability in education, training and employment.

### **Assessment aspects:**

The Guide clarifies the concept of 'reasonable adjustment' and will assist assessors to design assessments that are both reliable and valid but that also respond creatively to the challenge of assessing a candidate who has some limitations arising from a recognised disability.

## **9. Current VET Fees and Charges Policy for publicly funded RTOs in Western Australia**

### **Key function:**

To set out the statutory and provider based fees and charges which apply to training and assessment funded by the Department.

### **Assessment aspects:**

The policy provides information for publicly funded RTOs relating to the fees and charges applied to clients.

### **Further information:**

[www.det.wa.edu.au/training](http://www.det.wa.edu.au/training)

## **Key Assessment Policy Requirements**

This section summarises key assessment policy requirements for RTOs under fourteen headings.

### **1. Assessment benchmarks**

Endorsed industry/enterprise competency standards form the benchmarks for assessment. Competency standards comprise units of competency contained in Training Packages or accredited courses. Assessment Guidelines within endorsed Training Packages provide the framework for assessment of the units of competency for the relevant industry or enterprise. All assessors must be familiar with the full content of competency standards and Training Packages they assess against.

### **2. National recognition**

National recognition is a feature of the Australian Quality Training Framework that allows an RTO registered in one State or Territory to operate in another without a further registration process and qualifications and Statements of Attainment issued by any RTO are to be accepted and recognised by all other RTOs. Previously referred to as mutual recognition.

As part of the national recognition obligation, RTOs must have appropriate credit transfer arrangements. Credit transfer is an arrangement to give a standard level of credit or formal recognition to a learner who has previously achieved competence in a training or education environment.

### **3. Recognition of Prior Learning (RPL) processes**

RPL is an assessment method designed to confirm and recognise the competencies an individual has obtained outside of a formal education and training environment. These competencies might have been gained through informal or non-formal training, or they may have been gained through life or work experience. RTOs must ensure compliance with the AQF 2007 National Principles and Operational Guidelines for Recognition of Prior Learning (RPL).

### **4. Qualified assessors**

RTO staff must be competent for the functions they perform in relation to training and assessment, and the RTO must be able to demonstrate that trainers and assessors have the required competencies for the work they undertake, as well as evidence of how assessors maintain relevant industry experience.

All assessors must:

(i) hold the following three units of competency from the Training and Assessment Training Package (TAA04):

- TAAASS401A Plan and organise assessment
- TAASS402A Assess competence
- TAASS404A Participate in assessment validation.

**OR**

(ii) be able to demonstrate equivalent competencies to all three units of competency listed in (i) above

**OR**

(iii) hold the following three units of competency from the superseded Assessment and Workplace Training Training Package (BSZ98):

- BSZ401A Plan assessment
- BSZ402A Conduct assessment
- BSZ403A Review assessment.

**OR**

(iv) be able to demonstrate that prior to 23 November 2005 they had been assessed as holding equivalent competencies to all three units of competency listed in (iii) above

**AND**

hold the relevant vocational competencies at least to the level being assessed.

If a person does not have either of the TAA04 or BSZ98 assessment competencies noted above and the relevant vocational competencies at least to the level being assessed, one person with all the relevant assessment competencies and one or more persons who have the relevant vocational competencies at least to the level being assessed may work together to conduct assessments.

Assessors must also possess any other requirements noted in the relevant Training Package Assessment Guidelines (eg industry knowledge or experience, licensing) and relevant commonwealth, state or territory legislation.

The RTO is responsible for ensuring that all assessors are provided with ongoing professional development to ensure they undertake quality assessments at a high level and in accord with national and state policies.

## **5. Informing clients**

Information on assessment procedures, appeals procedures and RPL arrangements, including fees and charges and any support services need to be provided to clients prior to enrolment.

The RTO's marketing and advertising identifies training and assessment services that lead to an AQF Qualification or Statement of Attainment (within their scope of registration) separately from any other training or assessment services (such as community education).

## **6. Fees**

RTOs need to ensure that they have fair and reasonable fees and refund policies for all modes of training delivery and assessment. Information on these policies may be provided to clients, prior to enrolment, in clear and accessible language and through a range of methods (eg website information, fliers, in advertising material, information sessions etc).

## 7. Delivery to overseas students

If an RTO is involved in the delivery of training and assessment services to overseas clients, they must also comply with the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) requirements.

## 8. Assessment plans

The RTO should ensure that Assessment Plans are developed and provided to all candidates prior to their assessment. Candidates may appeal if they believe the assessment has not been carried out in accordance with the Assessment Plan.

In the event of an appeal by the candidate the Assessment Plan will be a key source document.

Workplace based assessment must be negotiated between the RTO, employer and candidate. The RTO must ensure that any assessments occurring in the workplace are conducted in an environment with the appropriate facilities. (See also page 53 Workplace assessment checklist).

## 9. Principles of assessment

Assessment principles state that assessments must be valid, reliable, flexible and fair. Assessors must ensure that assessment decisions involve the evaluation of sufficient evidence to enable a judgement to be made on the competence of the candidate.

**Validity** refers to the extent to which the interpretation and use of an assessment outcome can be supported by evidence. An assessment is valid if the assessment methods and materials reflect the elements, performance criteria and critical aspects of evidence in the evidence guide of the unit(s) of competency, and if the assessment outcome is fully supported by the evidence gathered.

**Reliability** refers to the degree of consistency and accuracy of the assessment outcomes. That is, the extent to which the assessment will provide similar outcomes for candidates with equal competence at different times or places, regardless of the assessor conducting the assessment.

If assessments are both valid and reliable, then they should be consistent across RTOs as well as within an RTO.

Reliable and valid assessments share a number of characteristics, including:

- assessing all four dimensions of competency
- using a process which integrates required knowledge and skills with their practical application for a workplace task (ie holistic assessment)
- being based on evidence gathered on a number of occasions and in a range of contexts
- covering both on and off the job components of training
- providing for the recognition of competencies no matter how or when they have been acquired.

**Flexibility** refers to the opportunity for a candidate to negotiate certain aspects of their assessment (for example, timing) with their assessor. All candidates should be fully informed (through the Assessment Plan) of the purpose of assessment, the assessment criteria, methods and tools used, and the context and timing of the assessment.

**Fair** assessment does not advantage or disadvantage particular learners or groups of learners.

This may mean that assessment methods are adjusted for particular learners (such as people with disabilities or cultural differences) to ensure that the method does not disadvantage them because of their situation. An assessment should not place unnecessary demands on learners that may prevent a candidate from demonstrating competence (for example, an assessment should not demand a higher level of English language or literacy than that which is required to perform to the workplace standard outlined in the competencies being assessed). (See also Checklist for validity, reliability, flexibility and fairness on pages 46).

There are legislative requirements that the principle of Reasonable Adjustment be applied in the design of assessments. The assessment process should not prevent any person from demonstrating their competence, skills or knowledge because the design of the assessment failed to take account of their limitations. Refer to *Reasonable adjustment: a practical guide to reasonable adjustment in assessment of candidates with disability in VET*.

Assessment materials used also must comply with the relevant Training Package Assessment Guidelines, provide for holistic assessment (ie use a process which integrates knowledge and skills with their practical application in a workplace task), cover all four dimensions of competency, target the correct qualification level, cover relevant Employability Skills facets, and be able to be customised. (See also pages 46-49 Validity, etc checklist).

## **10. Equity**

RTO's need to ensure access and equity principles are used in assessment as well as in training. The guiding principles of the state Building Diversity policy should be followed: that is, to build on individual talents and experiences, to recognise and respond to the diversity of individual needs, and to offer choice and flexibility to cater for individual circumstances. Individual circumstances may include the needs of groups such as indigenous peoples, people from culturally and linguistically diverse backgrounds, people with disabilities, clients in remote locations and youth.

As well as meeting the requirements specified in the relevant Training Packages, assessment methods and materials should be holistic, fair and flexible. They should not include any language, literacy or numeracy requirements at a level greater than outlined in the competency standards being assessed.

Strategies for supporting and assessing workplace, distance and on-line learners may be developed, implemented, and reviewed to ensure continuous improvement. (See also pages 54 Assessment Planning checklist).

### **11. Reporting and recording results**

It is the responsibility of the assessor to keep a record of the evidence presented by the candidate that enables the assessment decision to be made.

Qualifications and Statements of Attainment must identify the units of competency that the candidate has attained, as well as meeting the other requirements noted in the *AQF Implementation Handbook 2007*. Qualifications and Statements of Attainment can only be issued for areas within the RTO's scope of delivery.

Logos must be used in accordance with the Department of Education, Employment and Workplace Relations (DEEWR) '*Nationally Recognised Training (NRT) logo specifications*' when issuing Qualifications or Statements of Attainment and when marketing or advertising the training and assessment activities of the RTO.

In Western Australia, RTOs must also comply with the Logo Guidelines for the use of the Training Accreditation Council (TAC) Logo. (See also pages 41-44 Reporting Qualifications and Statements of Attainment).

### **12. Candidate feedback and appeals processes**

RTOs should ensure that candidates are provided with feedback, which should include the assessment outcome, the reasons for the outcome, recommendations for further training, and appeal and reassessment options.

RTOs should have an Appeals process in place which allows candidates to challenge the assessment decision and be reassessed. A reasonable non-refundable fee may be charged by the RTO sufficient to discourage frivolous appeals but not high enough to prohibit appeals altogether.

It is the responsibility of the assessor undertaking the assessment to ensure that evidence is kept in sufficient detail to enable an assessment decision to be reviewed in an appeal. This could involve keeping a summary of the evidence presented by the candidate. (See also pages 36-37 Evidence requirements).

### **13. Continuous improvement and documentation**

Assessment systems, like all other aspects of RTO operations, should incorporate ongoing monitoring and improvement processes. In particular, the RTO should develop processes to enhance the consistency of assessments, such as assessor moderation forums, consultation with industry and professional development for assessors. Moderation forums should involve a range of assessors and other stakeholders. Recommendations and actions taken may be documented. These processes should be linked to the organisation's review processes, such as an internal audit.

RTOs assessment processes should include quality assurance procedures for assessment processes and instruments. These processes should be comprehensive and up to date. (see *A Guide to continuous improvement of assessment*, (2008)).

Processes to ensure the currency of accredited course documents, Training Packages and learning and assessment materials need to be implemented, and all materials evaluated on a regular basis.

RTOs should develop learning and assessment strategies that clearly articulate the core/elective units of competency being assessed, the client target group, the delivery and assessment modes, pathways, customisation of assessments, and assessment validation processes. This should be done for each qualification, skill set or single unit of competence, where full qualifications are not offered, that are listed on the RTOs scope.

**14. Policy compliance for publicly funded RTOs**

Publicly funded RTOs must comply with relevant policies.

## Section 2: Introducing Assessment

This section provides an introduction to assessment, specifically assessment of competence, for those new to the field, and for employers and learners.

### **What is competence?**

In vocational education and training, people are considered to be competent when they are able to consistently apply their knowledge and skills to the standard of performance required in the workplace.

Both workplace and off the job training and assessment aim to ensure that the individual participating in the training has the competence to undertake their work role to the standard expected in a range of employment situations.

### **How do we know someone is competent?**

We know whether someone is competent after completing an assessment that verifies that all aspects of the unit of competency are held and can be applied in an industry context. Just as a learner-driver must demonstrate they can drive a car by actually taking the examiner for a drive, so too must learners demonstrate competence by undergoing an assessment process. Assessment may involve a variety of assessment methods (see evidence gathering techniques).

An individual can be assessed during their training, at the end of their training, or without even undertaking any training (for example if they believe they are already competent).

Those being assessed are often called candidates. The method and timing of assessment will vary depending upon the assessor, the candidate and the competency being assessed.

### **What standards are candidates assessed against?**

In order to assess whether a candidate is competent, they are judged against competency standards (often called benchmarks) developed by industry. A competency standard is comprised of individual units of competency that include the essential information needed to assess a candidate.

Some enterprises have developed specific competency standards for their business and in some cases these have been nationally endorsed in enterprise Training Packages or used in state accredited courses.

To gain a formal qualification (eg a Certificate II or a Diploma), individuals have to be competent in a specified group of units of competency. Information on the qualifications and relevant units of competency are outlined in accredited courses or Training Packages. Training Packages consist of competency standards, information on qualifications and assessment guidelines to assist trainers and assessors.



### **What is competency based assessment?**

Competency based assessment is the process of collecting evidence and making judgements on whether competence has been achieved. This confirms that an individual can perform to the standard expected in the workplace as expressed in the nationally endorsed competency standards where they exist or on competency standards developed by relevant industry, enterprise, community or professional groups (or outcomes of accredited courses if there are no relevant nationally endorsed competency standards).

### **What sort of evidence is collected?**

Evidence collected may be direct such as observation of workplace performance, indirect such as formal testing, or supplementary such as references from employers.

Evidence is used by an assessor to make a judgement about whether the candidate is competent. It is the responsibility of the assessor to determine what and how much evidence is required to make the assessment judgement. Training Packages provide guidance on the types of evidence required, and further advice may be gained through moderation and industry consultation.

### **What training do assessors have?**

All assessors must have demonstrated their own competence in the particular competency standards being assessed and in the assessor requirements set out in the AQTF, (see Section 1, Key Assessment Policy Requirements – Qualified Assessors, Pages 8-9).

Assessments for nationally recognised vocational qualifications must be undertaken by an assessor working for an RTO or an assessor working in partnership with an RTO. An RTO is the only body with the authority to issue a Qualification or Statement of Attainment.

### **What about a candidate who believes they are already competent?**

If an individual believes they are already competent they can undertake a form of assessment known as RPL, or, in the case of a requirement to confirm retention of competence for licensing purposes, Recognition of Current Competency (RCC), that can be used to issue a Qualification, Statement of Attainment or lead to credit transfer into a training program.

RPL is the term used to describe a number of assessment processes that formally recognise the competencies an individual has acquired through formal or non-formal learning, work experience and/or life experience. The principles and processes involved in RPL are consistent with other forms of assessment.

**What results do candidates get?**

After someone has undergone assessment they are either deemed 'competent' or 'not yet competent' in each unit of competency assessed. If they are deemed competent, they will be issued with either a Statement of Attainment listing the units of competency in which they are competent (which may be designated in the Training Package as a Skill Set with recommended titling) or a full Qualification where this is achieved. If they are deemed not yet competent in any units of competency, they will be given feedback on their performance and provided with guidance on future options. All candidates have the opportunity to appeal their results and, if necessary be reassessed.

**What do all the training and assessment terms mean?**

Training and assessment is a field involving a high level of knowledge and expertise. Like all other areas involving technical expertise, the training system involves some specific terminology. A glossary of terms is provided at the back of this document to help you understand the training and assessment terms commonly used.

## Section 3: The Assessment Process

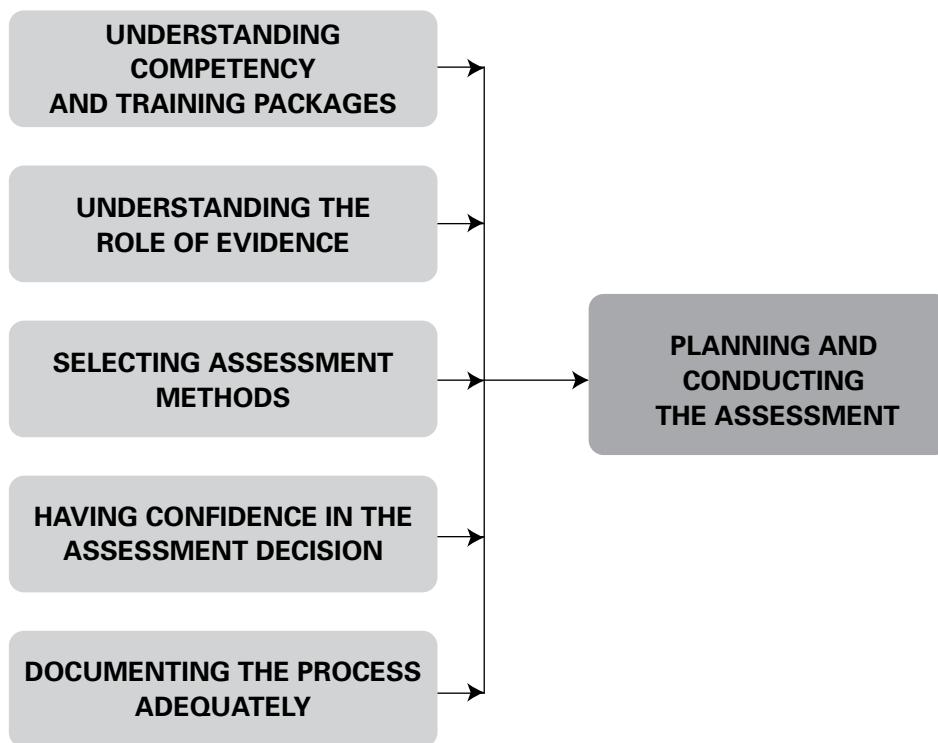
### Introduction

This section is written for assessors, particularly those less experienced in competency based assessment, and for employers who wish to understand more about the assessment process.

It is not intended to provide all the information that an assessor needs, but rather to provide an introduction to some of the key processes and documents to consider when planning and conducting assessments. Assessors requiring more information or resources should refer to Sections 4 and 5 of this document and the Department publication *Designing tools for quality outcomes in VET (2008)*.

Figure 1 shows the key issues covered in this Section which lead to the planning and conducting of an assessment activity.

**Figure 1: Issues covered in this section**



## Understanding Competence and Training Packages

People are considered to be **competent** when they are able to consistently apply their knowledge and skills to the standard of performance required in the workplace.

**Assessment** is the process of collecting evidence and making judgements on whether competence has been achieved. This confirms that an individual can perform to the standard expected in the workplace as expressed in nationally endorsed competency standards where they exist or on competency standards developed by relevant industry, enterprise, community or professional groups (or outcomes of accredited courses if there are no relevant nationally endorsed competency standards).

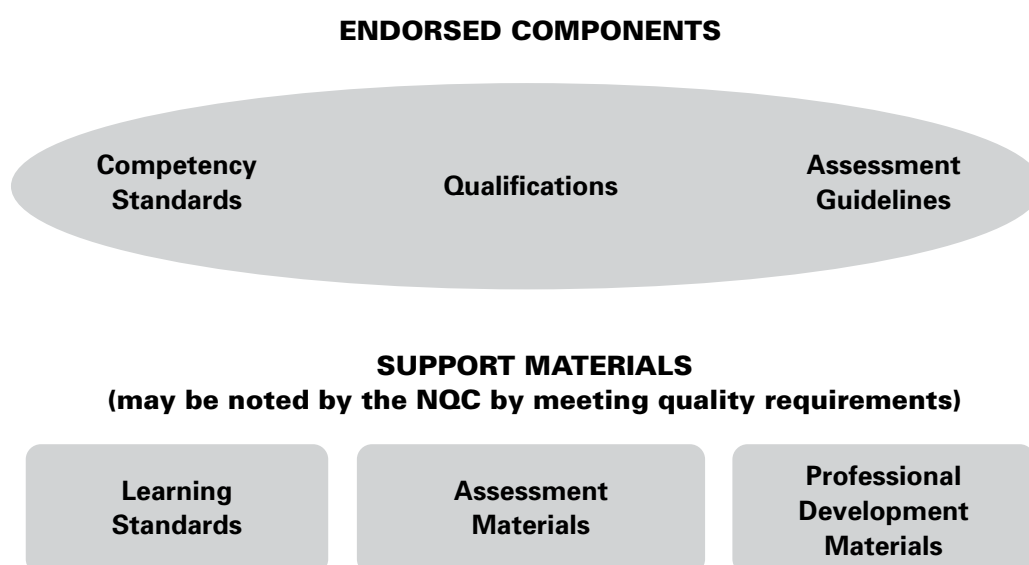
Competency comprises **four dimensions**:

- *Task skills* – the capacity to perform tasks to the required standard
- *Task management skills* – to plan and integrate a number of different tasks and achieve a work outcome
- *Contingency management skills* – the ability to respond to irregularities, breakdowns and other unanticipated occurrences
- *Job/role environment skills* – to deal with the responsibilities and expectations of the work environment, including working with others.

(see Four dimensions of competency exemplar on page 32-33)

It is important that all four dimensions of competency are assessed within the context of the required performance.

Assessments will be based on competency standards from a relevant **Training Package**, or accredited course. Training Packages are developed by industry to meet the identifiable training needs of specific industries or industry sectors. Figure 2 shows the different components of Training Packages.



**Figure 2: Components of Training Packages**

Units of Competency are developed using a consistent format in all Training Packages. The components of a **unit of competency** and their content are set out in Figure 3.

COMPONENT	CONTENT
<b>Unit title and code</b>	Defines the general area of competency and national reference code
<b>Unit descriptor</b>	Clarifies the purpose of unit
<b>Employability skills</b>	Indicates that the unit contains embedded employability skills*
<b>Pre-requisite or co-requisite units</b>	Identifies other units of competency that must be achieved before or in conjunction with the unit
<b>Application of the unit</b>	A brief description of how the unit is practically applied in the industry
<b>Competency field</b>	Specifies a specialist area of industry to which the unit belongs
<b>Unit sector</b>	A category used to group units within a Training Package
<b>Elements of competency</b>	Outcomes that contribute to the overall unit (ie building blocks of the unit, expressed in outcome terms)
<b>Performance criteria</b>	Statements for each element expressing what workplace activity is to be done and the required level of performance
<b>Required skills and knowledge</b>	The broad underpinning skills and specialist and general knowledge necessary for competent performance
<b>Range statement</b>	The range of contexts and conditions within which the work is to be performed and detailed information on terminology and requirements set out in the performance criteria
<b>Evidence guide</b>	Assists with the interpretation and assessment of the unit and contains: <ul style="list-style-type: none"> <li>– an overview of assessment in the industry context</li> <li>– critical aspects to be considered for assessment and the evidence required to demonstrate competence</li> <li>– the context of and any specific resources required for assessment</li> <li>– suggested methods of assessment</li> <li>– any further guidance information for assessment</li> <li>– access and equity considerations where relevant.</li> </ul>

**Figure 3: Components of Units of Competency**

\* Training Packages not reviewed since 2004 will identify the superseded Key Competencies (also known as Mayer Key Competencies) in each unit of competency and not embedded Employability Skills. The Key Competencies are employment-related general competencies essential for effective participation in the workplace. The three outcome levels of the Key Competencies do not equate to the Australian Qualification Framework (AQF) levels. In general terms, Level 1 Key Competencies are required to undertake work activities, Level 2 required to manage work activities and Level 3 to evaluate and reshape work activities.

When conducting the assessment all the components of the competency standard must be considered.

**Assessment Guidelines** provide the overall framework for the assessment of competency standards and qualifications in the Training Package. They cover assessment systems, pathways, assessor qualifications, the design of assessment resources and the conduct of assessments. Issues of Recognition of Prior Learning are covered under this section in the Assessment Pathways material.

Most Training Packages offer a range of **qualifications** which may vary in Australian Qualifications Framework (AQF) outcome, their degree of specialisation and the extent to which **customisation** is permissible. Most qualifications are made up of identified core (sometimes referred to as 'mandatory') units of competency and elective units of competency. Many qualifications provide flexibility by allowing some elective units to be substituted with units from other Training Packages. Units of competency can also be contextualised to suit particular job roles or work environments. The Training Package specifies the degree of unit of competency contextualisation that can occur.

In considering the training delivery and assessment, trainers may want to cluster certain units of competency so that they can cover all relevant knowledge and skills required for a workplace task while still maintaining the integrity of the outcome of each unit. These clusters of competencies can then be assessed together. Identified skill sets can also indicate appropriate unit clustering.

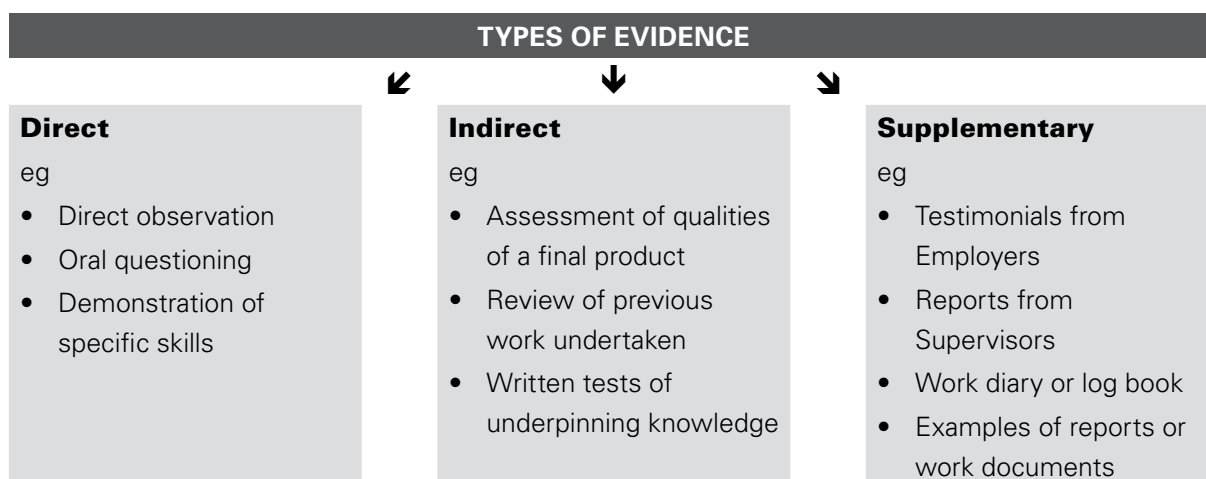
The **Australian Qualifications Framework (AQF)** includes descriptors for each qualification level. These descriptors provide guidelines for reasonable performance at a particular level. These descriptors, along with the elements, performance criteria and evidence guides in units of competency, help an assessor to gauge a reasonable range and level of performance to expect from a competent candidate.

Training Package Support Materials (non-endorsed components) may include **assessment materials** such as exemplar assessment materials, the range of assessment methods to be used or targeted assessment resources for specific groups. RTOS are required to ensure that the assessment materials they use meet the needs of their client groups and the unit(s) of competency. For information on sources of resource materials see section 5.

## Understanding the Role of Evidence

**Evidence** is the information gathered which, when matched against the requirements of the unit of competence, provides proof of competence. Evidence can take many forms and be gathered from a number of sources.

Evidence can be direct, indirect or supplementary, as noted in Figure 4.



**Figure 4: Different types of evidence**

No one form of evidence is better than another. **Quality evidence** is chosen appropriately for the candidate and context, and meets the four 'rules' of evidence noted in Figure 5.

RULES OF EVIDENCE:	
<b>Valid</b>	Relates to the unit or units of competency appropriately Reflects all four dimensions of competency Provides evidence of Employability Skills Appropriate to the AQF alignment being assessed.
<b>Sufficient</b>	Provides enough evidence to make a judgement about the competence of the individual in relation to all four dimensions of competency Meets all the evidence requirements for the unit of competence.
<b>Current</b>	Recent enough to show that the skills and knowledge are still able to be applied to a current work situation.
<b>Authentic</b>	Is the candidate's own work (and procedures have been developed to ensure this).

**Figure 5: Rules of Evidence**

There are many potential sources of evidence and many methods and techniques for **gathering evidence**. Figure 6 provides a sample of the assessment methods with examples. See also Exemplars for assessment materials on pages 45-60 and Assessment instruments and procedures/ instructions on pages 61-66.

ASSESSMENT METHODS	EXAMPLE
<b>Observation</b>	Real work activities at workplace
<b>Questioning</b>	Self-assessment form Interview Written questionnaire
<b>Review of products</b>	Work samples/products
<b>Portfolio</b>	Testimonials/references Work samples/products Training record Assessment record Journal/work diary/log book Life experience information
<b>Third party feedback</b>	Interviews with, or documentation from employer, supervisor, peers
<b>Structured activities</b>	Project Presentation Demonstration Progressive tasks Simulation exercise such as role plays

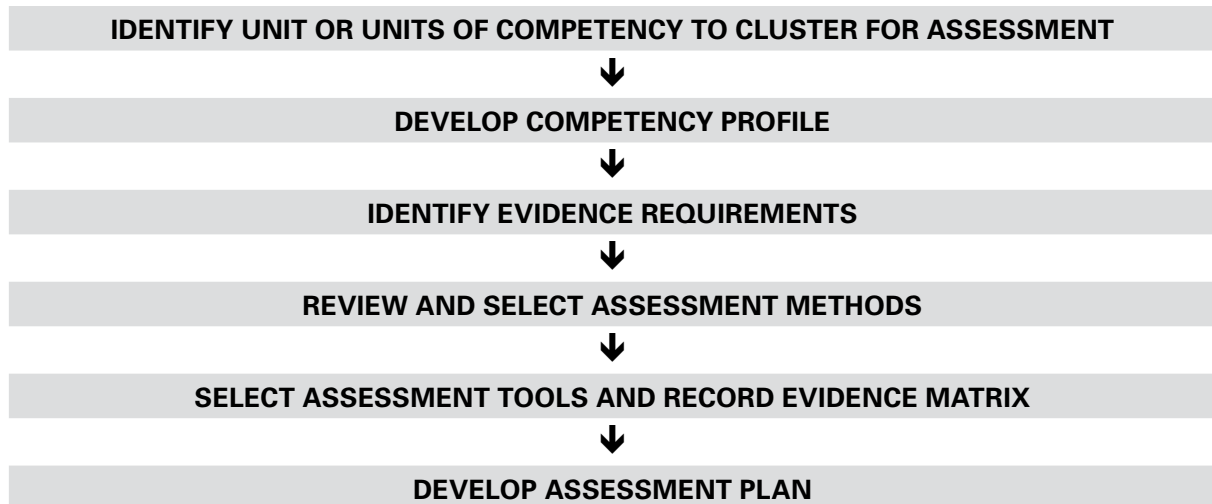
### Figure 6: Assessment Methods

A summary of the evidence presented by the candidate should be kept by the assessor in the event of an appeal by the candidate. It is the responsibility of the RTO to establish guidelines for assessors on the minimum evidence recording requirements (see examples on pages 36,37).



## Selecting Assessment Methods and Assessment Tools

Figure 7 outlines a process for selecting assessment methods to gather appropriate evidence.



**Figure 7: Process used to determine assessment methods**

### Clustering

Real work does not usually fall into categories that reflect individual units of competency. In general, a real work activity draws on a number of units of competency at once.

A good assessment task may involve **clustering** a number of competencies to reflect a real work task or particular job role (see Clustering exemplar on page 34). The degree to which you could (or may need to) cluster a number of units together to reflect a real work activity will vary across all Training Packages. Training Packages can contain skill sets identifying groups of units of competency that meet specific work roles or regulated/licensed activities which may be clustered for good practice assessment.

Clustering should take account of the work activity, the assessment context, the training and assessment arrangements for the qualification, and time, resource, facility and personnel considerations. Assessors are required to have a thorough knowledge of the Training Package they are working with and the relevant workplace environment.

Appropriate clustering is a key way to ensure that assessments are **holistic** in that the assessor can gather evidence and cross-reference it across a number of units of competency. Clustering, where it is appropriate, may also result in reducing the time and cost of assessment.

### **Competency profile**

Once the units of competency are identified the next stage is the development of a **competency profile** (see Competency profile exemplars on pages 34-35). A competency profile will provide an overall picture of a competent person in action. A competency profile may be a checklist, a written description of the work activity, a list of the characteristics of a competent worker, or a job description for a person who will perform the activity.

To develop a competency profile, the assessor must draw together the information in the unit(s) of competency, the AQF descriptor and the Employability Skills facets identified in the qualification.

### **Evidence required**

The next step is to **identify the evidence required** to determine competence (see Evidence requirement exemplars on page 36). The evidence selected must reflect the skills, knowledge and language encompassed in the competency profile and comply with the four rules of evidence (that is, evidence must be valid, sufficient, current and authentic). The Evidence Guide in the unit of competency has detailed information that can be used to develop a list of the evidence requirements.

### **Assessment methods**

The list of evidence requirements are used by the assessor to **review the possible assessment methods**. That is, the ways in which the evidence can be collected to demonstrate satisfactory performance. In identifying the assessment methods, resources and facilities required for the assessment should be considered including any workplace simulation requirements. (see *Designing assessment tools for quality outcomes in VET (2008)*).

**Selecting** the appropriate assessment methods will involve consideration of the candidate's needs, the nature of the work activity being assessed, the location of the assessment (to ensure a safe and accessible environment), and Training Package requirements.

### **Reasonable adjustment**

It is at this stage that issues of **reasonable adjustment** for candidate needs should be considered. For example, a candidate may have a disability which prevents them undertaking certain activities or performing in standard ways but they may still be competent in the unit(s) of competency being assessed. In this instance, reasonable adjustments should be made to the assessment activity to ensure that the candidate will still have the opportunity to demonstrate the competencies being assessed. (Reasonable adjustment is discussed in the Department publications *Troubleshooting guide: Assessment in VET (2008, sect. 2.4)* and *Reasonable adjustment: a practical guide to reasonable adjustment in assessment of candidates with disability in VET (2008)*).

Provided that quality and sufficient evidence can still be collected for the assessment decision to be made, it is acceptable to adapt the assessment methods to reflect the candidate's needs and situation (see Guidelines for assessing distance learners on page 57 and Checklist for special needs of candidates on page 59).

### **Assessment tools**

Once the method is selected, the materials for collecting and analysing the evidence are then chosen or designed. These materials are called assessment tools. In general, the term **assessment tool** is used to describe a document that contains both the instrument and the instructions for gathering and interpreting evidence:

- instruments/s – the specific questions or activity developed from the selected assessment method/s to be used for the assessment. (A profile of acceptable performance and the decision making rules for the assessor may also be included)
- procedures – the information/instructions given to the candidate and/or the assessor regarding conditions under which the assessment should be conducted and recorded.

For example, if the evidence gathering technique being used is a workplace observation followed by a brief interview, then the assessment tool might consist of:

- instructions identifying the activities to be undertaken by the candidate, the key points to be observed and the performance issues to be considered by the assessor
- a proforma which includes a checklist for the key observation points and decision criteria, and a series of questions and checklist for responses on required knowledge for the interview.

Other assessment materials might include information on projects, case studies, simulation activities, checklists for third party evidence, self-assessment forms or portfolio requirements, (see Assessment instruments and procedures/instructions on pages 61-66 and *Designing assessment tools for quality outcomes in VET (2008)*).

All assessment materials should be flexible, fair, safe and cost-effective (see Exemplars for assessment on pages 45-60 and *Reasonable adjustment: a practical guide to reasonable adjustment in assessment of candidates with disability in VET (2008)*).

Assessment strategies and tools need to be developed in consultation with industry and tested on an appropriate sample of candidates if possible or reviewed prior to use.

### **Evidence matrix**

Once assessment methods and tools are selected it may be useful to do a mapping exercise to ensure all the evidence gathered through these tools will meet the critical and mandated requirements of the unit(s) of competency. This is called an evidence matrix and the mapping, if done accurately, will help the assessor ensure evidence collected will be valid and sufficient.

### **Assessment plans**

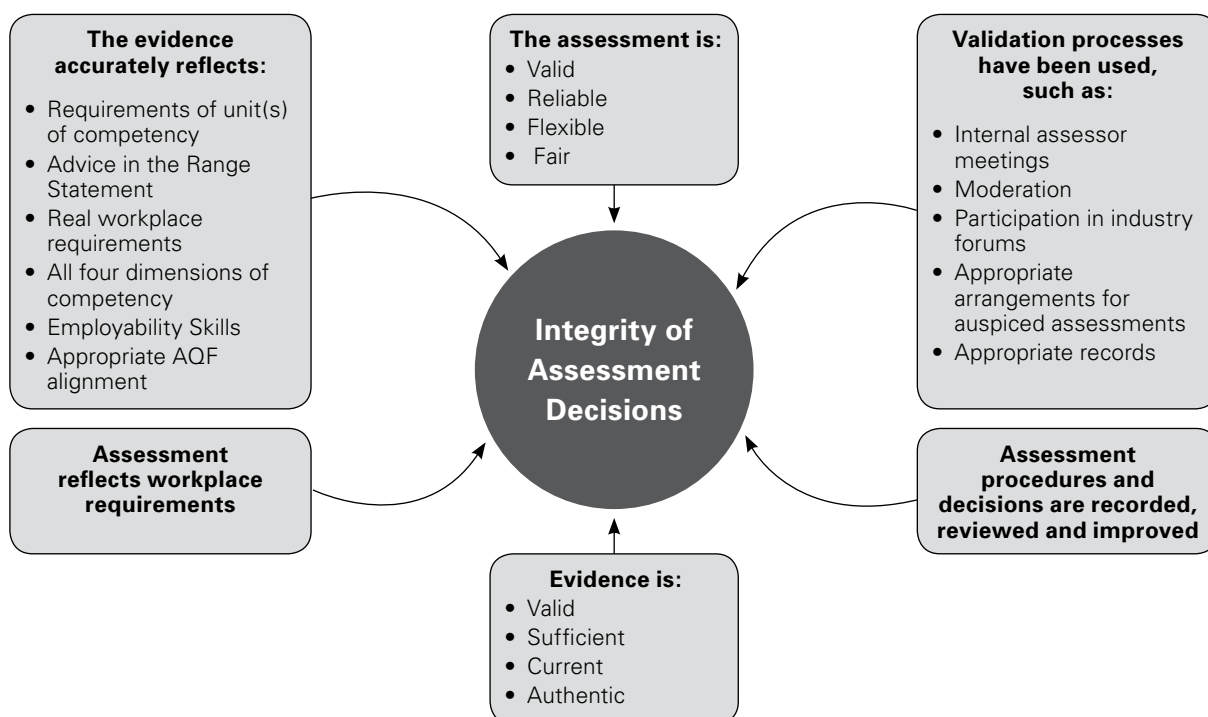
It is at this stage that an **Assessment plan** can be developed (see Assessment Plan Exemplar on page 39). Assessment plans are provided to candidates at the commencement of the training or assessment process. Assessment plans can also be referred to in the case of an appeal by the candidate.

Assessment plans should contain the following information:

- What will be assessed (ie units of competency)
- How assessment will occur (ie what methods will be used)
- When assessment will occur
- Where assessment will occur (ie the context of the assessment)
- The criteria for decision making (ie those aspects that will guide judgements)
- Where appropriate, any supplementary criteria used to make a judgement on the level of performance.

### Ensuring the integrity of the assessment decision

Figure 8 demonstrates the main components necessary to ensure that any assessment decision is sound. Assessors use their expertise and appropriate assessment tools to synthesise the evidence before them in a systematic way and holistically relate it to the unit(s) of competency requirements. While the process of holistic assessment is encouraged, assessors must be confident that a candidate is demonstrating competence against the full unit(s) of competency. The assessor or assessment team must possess the relevant vocational competencies being assessed.



**Figure 8: Factors maximising the integrity of assessment decisions**

Confidence in assessment decisions is enhanced when validation processes are used. The processes in Figure 8 provide some examples for the purpose of illustration only. To maintain the quality and consistency of assessments, all RTOs should have established processes for validation. Many industries also have industry specific moderation or information sharing forums.

## Documenting the Process Adequately

Figure 9 notes some of the documentation that might result from the processes noted above (see Self audit exemplars on pages 50-52). Some examples of these documents are provided in Section 4 and further examples can be found in the resources in Section 5.

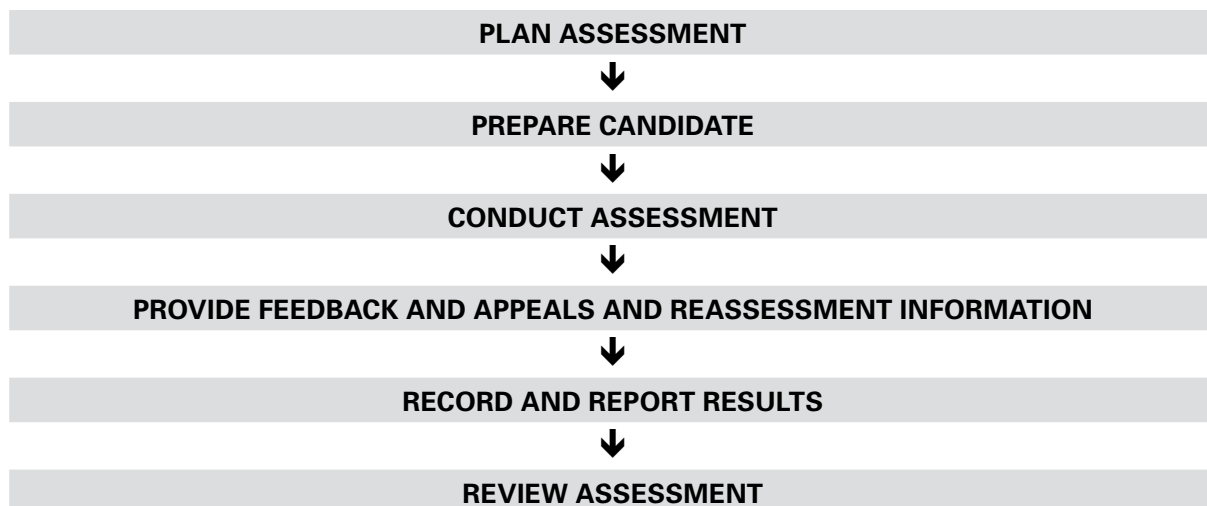
DOCUMENTATION	PURPOSE
<b>Copies of relevant Training Package</b>	To be available to assessors for reference at all times. Currency should be verified through the National Training Information Service (NTIS).
<b>Competency profile</b>	Prepared by assessor to assist in determining evidence requirements. See pages 34-35.
<b>Materials, checklists or tools for collecting and analysing evidence</b>	Developed or adapted by assessor to be used in the actual assessment activity. See pages 45-66.
<b>Assessment Plan</b>	Prepared by assessor and to be given to candidate in advance. See pages 39, 54.
<b>Record of evidence presented and samples of evidence collected</b>	Collected and documented by assessor to corroborate assessment result, used in validation processes and in case of an appeal. See pages 21, 28-30, 40.
<b>Record and reporting of assessment decision</b>	Documented by assessor, qualification/ Statement of Attainment issued by RTO, results to be supplied to candidate by RTO. See pages 28-30, 41-44.
<b>Feedback checklist or pro forma for candidate</b>	To be completed and given to candidate during feedback discussion by the assessor. See page 29.
<b>Appeals information</b>	To be provided to candidate at the beginning of the process by assessor or delegated person within the RTO and during feedback discussion. See pages 29-30.

**Figure 9: Assessment process documentation**

## Planning and Conducting the Assessment Activity

With the development work done, the assessor can now plan and conduct the assessment activity.

Figure 10 demonstrates the steps likely to occur in planning and then conducting an assessment activity.



**Figure 10: Steps in planning and conducting an assessment**

When **planning** an assessment activity, the assessor needs to ensure:

- the candidate is prepared for the assessment and understands the process to be applied
- the assessment tools or materials have been checked and trialled with an appropriate sample of people or reviewed where trials are not undertaken
- assessment procedures have been reviewed to ensure that the tasks to be performed reflect workplace requirements with appropriate personnel in the industry/workplace or RTO
- the time and place for assessment have been agreed with the candidate and other relevant parties
- the needs of the candidate have been determined and any reasonable adjustments have been made to the assessment (see Guidelines for assessing distance learners on page 57, the Checklist for special needs of candidates on page 59 and the *Troubleshooting guide: Assessment in VET (2008, Sect 2.4)* and *Reasonable adjustment: a practical guide to reasonable adjustment in assessment of candidates with disability in VET (2008)*)
- all appropriate personnel are advised of the assessment.

When **preparing** the candidate for assessment, the assessor needs to ensure:

- scope, context and purpose of assessment are agreed with the candidate
- the candidate has been able to understand the Assessment Plan and any other appropriate documentation
- the relevant performance requirements are provided and explained to the candidate
- the assessment procedure and expectations of the candidate are clarified and agreed between candidate and assessor
- any legal or ethical responsibilities associated with the assessment are explained to the candidate and other relevant parties

- the appeals process is explained to the candidate
- information is conveyed using appropriate language and techniques to communicate effectively with the candidate and other relevant parties
- the need for any additional evidence gathering is identified and the candidate informed.

When **conducting** the assessment activity, the assessor needs to ensure:

- the assessment is conducted in accordance with the Assessment Plan
- evidence specified in the assessment procedure is gathered using the agreed tools or materials
- evidence is gathered in accordance with reasonable or allowable adjustments where applicable
- evidence is evaluated in terms of validity, sufficiency, currency and authenticity
- evidence is evaluated according to the unit(s) of competency, all four dimensions of competency, the facets of Employability Skills, and the ability to transfer and apply skills and knowledge to new contexts if appropriate
- assistance from more experienced assessors or industry experts is sought if appropriate
- the assessment decision is made in accordance with the specified criteria
- the decision is recorded appropriately, in accordance with RTO and other regulating processes.

When providing **feedback** the assessor needs to ensure:

- clear and constructive feedback is given to the candidate using appropriate language and strategies
- feedback includes guidance on overcoming gaps in competency or further goals or training opportunities if appropriate
- the candidate is given information on reassessment opportunities and the appeals process
- any assessment decision dispute is reported to the appropriate personnel within the RTO.

RTOs should have an **Appeals and Complaints process** which allows candidates to challenge an assessment decision and enables them to be reassessed. The process should facilitate effective resolution of complaints and appeals. Some aspects for RTOs to consider when developing appeals processes are:

- Is the candidate clearly informed in a timely way about how to complain or appeal?
- Does the candidate have an opportunity to present their case?
- Does the candidate have access to an independent arbiter if this is needed?
- Is the candidate clearly informed of the outcomes of the complaint or appeal?
- Does the RTO have complaints and appeals resolved within realistic and fair timelines?

A reasonable non-refundable fee maybe charged by the RTO in order to discourage frivolous appeal but not high enough to prohibit appeals.

When **recording** results, the assessor needs to ensure:

- assessment results are recorded accurately and follow RTO record keeping policies and procedures
- confidentiality of assessment outcomes is maintained
- appropriate documentation (eg Training Record Book for Apprentices and Trainees) is completed.

When **reviewing** the assessment activity, the assessor needs to ensure:

- the candidate's feedback on the assessment activity is sought
- both positive and negative features experienced in conducting the assessment are conveyed to those responsible for the assessment procedure
- suggestions for improving the assessment process are made or changes are made to the assessment process and materials.
- appropriate validation processes are implemented.



## Section 4: Exemplar Materials

### **Introduction**

This section provides selected examples of assessment-related materials, checklists and tools that illustrate the practices discussed in previous sections. These materials would need to be contextualised for use in different industries, qualification levels and workplaces.

Additional examples and checklists will be found in the resources noted in Section 5.

The Department would like to acknowledge the Department of Education, Employment and Workplace Relations, and VETASSESS for provision of these exemplars.

Some sample assessment-related instruments and procedures/instructions are adapted from the Training Package Assessment Materials Kit. The Kit was originally available in hard copy or on CD but is now also accessible and downloadable on-line from the Resource Generator at [www.resourcegenerator.gov.au](http://www.resourcegenerator.gov.au). Page references for the Kit source documents are provided for both the on-line and hard copy publications.

## 1. Four dimensions of competency

This example demonstrates how a unit of competency covers all four dimensions of competency. The extract from the unit of competency is reproduced in the standard format first (*Italicised terms would be elaborated in the range statement*). Then the unit is analysed to show all four dimensions of competency.

The unit CSCSAS303A Conduct searches is from the CSC07 Correctional Services Training Package. This unit of competency covers the ability to search people and property as part of a security role in a correctional services facility.

ELEMENTS	PERFORMANCE CRITERIA
1. <b>Search environment and property</b>	1.1 Define the <i>search operation and task information</i> and communicate this to relevant people. 1.2 Use communication strategies to promote cooperation and effective search outcomes. 1.3 Establish the security of the <i>environment and property according to search procedures and safety considerations</i> . 1.4 Identify and use correct <i>search equipment</i> according to organisational procedures. 1.5 Conduct search according to standard operating procedures to ensure <i>thorough and systematic process</i> is used. 1.6 Seize and record unauthorised items and secure these according to procedures. 1.7 Return authorised items in the condition found. 1.8 Complete reports promptly, accurately and in the required format.
2. <b>Search people</b>	2.1 Monitor offenders and their contacts to detect unauthorised concealment. 2.2 Inform relevant people of the purpose and procedures to be used in searches clearly and accurately. 2.3 Ensure <i>searching of people</i> complies with <i>organisational policies and procedures</i> and principles of humane care. 2.4 Secure unauthorised items according to procedures and concern for the safety and welfare of all involved. 2.5 Provide clear, accurate and comprehensive information to relevant people.

**Identifying the Four Dimensions of Competency in CSCSAS303A conduct searches**

TASK SKILLS	TASK MANAGEMENT SKILLS
<i>This requires performance of the task[s] to the required standard as described in the unit of competency and expected in the workplace.</i>	<i>Captures the skills used as people plan and integrate a number of potentially different tasks to achieve a complete work outcome.</i>
Assessor needs to collect evidence that the candidate can do the individual actions as well as the whole task.	Candidates should provide evidence that they can work efficiently to meet deadlines, handle a sequence of interrelated tasks and progress smoothly between tasks.
CSCSAS303A Conduct searches – the task skills involve using search techniques and equipment for a range of activities and seizing and reporting/recording unauthorised items.	CSCSAS303A Conduct searches – the task management skills involve: <ul style="list-style-type: none"> <li>• preparing for a search procedure and, communicating this to others</li> <li>• monitoring and communicating actions to those being searched while conducting the search activity.</li> </ul>
CONTINGENCY MANAGEMENT SKILLS	JOB/ROLE ENVIRONMENT SKILLS
<i>The requirement to respond to irregularities and breakdowns in routines.</i>	<i>The requirement to deal with the responsibilities and expectations of the work environment.</i>
Candidates should show evidence of dealing with contingencies, eg: breakdowns, irregularities, imperfections or the unknown.	The capacity to work with others and adapt to different situations is central to successful performance.
<p>CSCSAS303A Conduct searches – contingencies could include:</p> <p>Personal safety issues arising when a search impacts negatively on the offenders or if resistance is offered.</p> <p>Questioning during assessment could indicate how the person would deal with this situation if it arose:</p> <p>eg</p> <ul style="list-style-type: none"> <li>• What would you do if an offender refused to be searched by another of your team members and resisted his attempt to do so?</li> </ul> <p>What would you do if you found an illegal item and an offender tried to take it from you and destroy it?</p>	<p>CSCSAS303A Conduct searches – candidates must undertake this activity under strict procedures and protocols set out in the correctional facility standards operating procedures (SOPs). [element 1, performance criteria 1.3,1.4.1.5 &amp; 1.6 and element 2, performance criteria 2.2 &amp; 2.3]</p> <p>It is essential that offenders are treated in a humane way during search procedures to maintain the stability of the facility. [element 2, performance criterion 2.3]</p>

*Adapted from Guide 1: Training Package Assessment Materials Kit, Page 18, © DETYA 2001.  
Hard copy: Guide 1, Page 26.*

## 2. Clustering units of competency for assessment

This example shows how a number of units of competency can be clustered to reflect a real work activity or set of complementary skills.

In the assessment process for several Diploma qualifications in the HLT07 Health Training Package, candidates provide evidence of competency for a number of units of competency in a common activity. Many Training Packages now specifically identify clusters of units as Skill Sets. For example, to provide client safety necessary to outcomes in a range of qualifications at Diploma and Advanced Diploma levels they draw on the following competencies:

- HLTHIR501A Maintain an effective health work environment
- HLTHIR505B Provide leadership in promoting effective work practices in health
- HLTHIR506B Implement and monitor compliance with legal and ethical requirements
- HLTOHS500A Manage OHS processes
- HLTOHS600A Improve OHS processes
- HLTHIR601A Develop and implement strategies to enhance client safety.

An assessor may use an assessment activity, involving observation and questioning, to gather evidence for these units of competency where they apply to a qualification or as a stand alone Skill Set.

*Adapted from Guide 1: Training Package Assessment Materials Kit, Chapter 2, Page 8, © DETYA 2001. Hard copy: Page 16.*

## 3. Competency profile

These examples show two different ways in which a competency profile can be developed.

**Competency profile:** PMLDATA200A Record and present data

*The activity is recording and presenting data in testing of construction materials*

A laboratory assistant is given 20 soil samples and asked to test their moisture content by weighing each sample, placing them in an oven for 24 hours and then reweighing them. The assistant performs the tests in accordance with the standard method and then calculates the % water content by dividing the weight loss by the wet weight and multiplying by 100. He/she checks the results and notices that they are consistently less than previous results recorded for soils at the same site. The assistant identifies the discrepancy and confirms that the oven operated at the required temperature but also notes that the previous computer calculation of the moisture content divided the weight loss by the wet weight instead of the dry weight. The assistant recognises this and so recalculates the moisture content for the 20 samples and notes that the results are now consistent with previous results of other samples and is accurate. The assistant then enters the correct results into the Laboratory Information Management System (LIMS).

*Adapted from Guide 1: Training Package Assessment Materials Kit, Page 23 © DETYA 2001. Hard copy: Page 31.*

**Competency profile:** TAADEL402B Facilitate group-based learning

A COMPETENT PERSON CAN:	A PERSON WHO IS NOT YET COMPETENT MAY:
<p>Plan training sessions and deliver training to a group based on:</p> <ul style="list-style-type: none"> <li>• a cluster of units of competency</li> <li>• the group’s identified training needs.</li> </ul> <p>Deliver training:</p> <ul style="list-style-type: none"> <li>• using a range of appropriate delivery methods, learning materials, technology and equipment which will facilitate learning</li> <li>• supporting and monitoring participants in the group</li> <li>• providing opportunities for practice in skills development</li> <li>• considering and making adjustments for the characteristics of learners, particularly language and literacy needs</li> <li>• informing learners about the objectives, expectations and requirements of the training and assessment</li> <li>• motivating individual learners and ensuring effective group participation and management</li> <li>• reviewing and evaluating the effectiveness of the training delivery, including seeking feedback from learners in the group.</li> </ul>	<p>Plan training sessions that are not based on an analysis of the training needs of the group or on appropriate clusters of units of competency</p> <p>Deliver training using a limited range of delivery methods and learning materials which may not:</p> <ul style="list-style-type: none"> <li>• take into account the needs of learners in the group or availability of appropriate learning materials, technology or equipment</li> <li>• provide adequate opportunities or time for skills development through practice</li> <li>• adequately inform learners about the objectives, expectations and requirements of the training and assessment for the session</li> <li>• effectively manage the group dynamics and possible different. learning styles</li> <li>• give learners useful feedback on their progress</li> <li>• get feedback from learners or use it to improve the session plan</li> <li>• engage in appropriate self-evaluation or not use it effectively to improve session planning or future delivery.</li> </ul>

*Adapted from Guide 1: Training Package Assessment Materials Kit, Page 24 © DETYA 2001.*

*Hard copy: Page 31*

#### 4. Evidence requirements

The following two examples list the evidence required and possible assessment methods for assessing two different units of competency. The first is in a manufacturing context and the second is in a business context.

**Evidence requirements for Unit of Competency:** CPCCSH3001A Set out and assemble cabinets, showcases, wall units, counters and workstations

EVIDENCE REQUIREMENTS:	POSSIBLE EVIDENCE GATHERING TECHNIQUE:
<ul style="list-style-type: none"> <li>• Materials are selected and prepared to design requirements for components.</li> <li>• Length and joint details are transferred from set-out to component material and each checked in preparation for machining.</li> <li>• Set-out material is marked for appropriate identification of components.</li> </ul>	<p>A work related practical task in a simulated environment where a number of different cabinetry specification are provided and the candidate is required to select the necessary materials from a supplied inventory and mark them out to specification in preparation for machining components.</p>
<ul style="list-style-type: none"> <li>• Drawer components are assembled to specifications, with bottoms fitted and fixed.</li> <li>• Runner types for the drawers are determined and installed to specified dimensions and manufacturer specifications.</li> <li>• Drawers are installed with specified clearances and prepared for installation.</li> </ul>	<p>A workplace or work related observation of performance where pre-cut components are assembled in correct order and with appropriate techniques used to ensure the finished product is to specifications and fit for purpose.</p>

**Targeting evidence for Unit of Competency:** BSBITU303A: Design and produce text documents

**Unit of Competency:**

**Candidate's name:**

EVIDENCE REQUIREMENTS:	POTENTIAL SOURCES OF EVIDENCE
Produce a range of business documents to meet professional standards and organisational needs.	<ul style="list-style-type: none"> <li>• View documents the candidate has recently produced.</li> <li>• Candidate produces one or more documents to specific requirements.</li> <li>• Candidate is aware of work cycles and employer requirements for business documents.</li> <li>• Check with supervisor or other clients to verify the work samples are the candidate's own work.</li> </ul>
Documents are designed to suit purpose, audience and information requirements of the task.	<ul style="list-style-type: none"> <li>• Candidate explains how the designs for documents were worked out.</li> <li>• View documents the candidate has recently produced and match with the audience for the document.</li> <li>• Ask supervisor for feedback about design efficiency of candidate's work.</li> </ul>
<p>Use software features to develop design style sheets and automatic functions that ensure consistency of design and accurate and consistent document layout.</p> <p>Document files are named and stored electronically and in hard copy as required in accordance with organisational requirements.</p>	<ul style="list-style-type: none"> <li>• Candidate can explain the use and advantages of specific software features.</li> <li>• Candidate can demonstrate specific software features used appropriately in a variety of document layouts.</li> <li>• View electronic files with document layout and embedded style features the candidate has produced.</li> <li>• View computer and hardcopy filing systems to see how candidate organises and stores files.</li> <li>• Ask supervisor for feedback about how candidate follows organisational requirements for document storage.</li> </ul>
Software applications are exited without information loss/damage and tasks are self-managed with appropriate on-line and other help resources used for solving problems.	<ul style="list-style-type: none"> <li>• Candidate closes at least two active software applications and correctly saves data from each.</li> <li>• Candidate lists self-help resources that can be accessed and their use.</li> <li>• Candidate demonstrates use of an online help resource for a given problem.</li> </ul>
Safe work practices are used to ensure ergonomic, work organisation, energy and resource conservation requirements.	<ul style="list-style-type: none"> <li>• Observe candidate's work station.</li> <li>• Candidate describes and points out application of safe work procedures.</li> </ul>

*Adapted from Guide 1: Training Package Assessment Materials Kit, Chapter 4, Page 9 © DETYA 2001. Hard copy: Page 45*

## 5. Evidence matrix

The following is an Evidence Matrix with example entries for three tools for assessing a unit of competency from the MCM04 Competitive Manufacturing Training Package.

### Unit of competency/Skill sets/Cluster of units (names and codes):

MCMT671A Develop and manage sustainable environmental practices

Unit Element	Critical aspects of evidence	Tool 1 Oral questions	Tool 2 Project	Tool 3 Simulation activity
<p><b>Element 1</b> Analyse resource use</p> <p><b>1.1</b> Identify all resource consuming processes</p> <p><b>1.2</b> Determine quantity and nature of resource consumed</p> <p><b>1.3</b> Analyse resource flow through different parts of the process</p>	<p>Evidence that a full analysis of all the materials and resources used in the relevant manufacturing process was conducted as the initial stage of the activity.</p>	<p><i>Question 1</i></p> <p>What could be common causes of low efficiency of materials used in a manufacturing process?</p>	<p>Choose and study a complex manufacturing process in your industry sector and develop a plan for more effective and sustainable resource use.</p> <p>Specifically identify production waste due to:</p> <ul style="list-style-type: none"> <li>Excess or early production schedules</li> <li>delays</li> <li>movement and transport of materials</li> <li>inventory control</li> <li>Inefficient processes</li> <li>defective items.</li> </ul>	<p>A detailed 4 week production schedule for an automotive component manufacturing process is provided.</p> <p>Analyse the resources used, the production process and equipment, projected component output and necessary waste estimates to develop:</p> <ul style="list-style-type: none"> <li>a more sustainable resource use</li> <li>a strategy for the process with accost/benefit analysis and</li> <li>a plan to implement changes</li> </ul>
<p><b>Element 2</b> Develop resource conservation plans</p> <p><b>2.1</b></p> <p><b>2.2</b></p> <p><b>2.3</b></p> <p><b>2.4</b></p> <p><b>2.5</b></p> <p><b>etc</b></p>	<p>Proposed improvements made to maximise sustainability in the process must show how alternatives were considered and the best option chosen.</p>	<p><i>Question 2</i></p> <p>How would you rank proposals for more effective use of limited resources in a manufacturing process based on benefit to cost?</p>	<p>Specifically identify production waste due to:</p> <ul style="list-style-type: none"> <li>Excess or early production schedules</li> <li>delays</li> <li>movement and transport of materials</li> <li>inventory control</li> <li>Inefficient processes</li> <li>defective items.</li> </ul>	<p>A detailed 4 week production schedule for an automotive component manufacturing process is provided.</p> <p>Analyse the resources used, the production process and equipment, projected component output and necessary waste estimates to develop:</p> <ul style="list-style-type: none"> <li>a more sustainable resource use</li> <li>a strategy for the process with accost/benefit analysis and</li> <li>a plan to implement changes</li> </ul>



## 6. Assessment plan template

This is a template for an Assessment Plan with example content of how an actual Assessment Plan might look.

### Assessment plan

- Assessment task:** Produce a Workplace OHS Induction Kit
- Assessment method:** Group project
- Assessor/s:** Jane Assessor (working with others to assess the Kit)
- Date of assessment:** 3 March 2008

Units of competency/elements to be assessed:

1. BSBINM301A *Organise workplace information*
  - Gather information on OHS requirements/practices for the Kit from appropriate sources
  - Determine suitability of information for Induction Kit purpose
2. BSBITU303A *Design and produce text documents*
  - Design user-friendly Kit documentation suited to the intended audience
  - Produce final documentation proofed and reviewed
3. BCRT402A *Collaborate in a creative process*
  - Work collaboratively with others in the Kit design and production

#### Brief description of task:

Candidates work in teams of three to create an Induction Kit for beginning workers in the industry detailing the OHS practices that are to be followed in a workplace.

Documents from the workplace or work placement and research are to be used to develop the Kit. Assessment will be on the content and layout of the finished product and also the teamwork demonstrated during the development of the product

#### Resources required:

Access to workstation, application software, printer, organisation style guide, bank of images (eg for Kit illustration), documents containing relevant OHS information which may be copied and pasted.

#### Instructions for candidates:

Students receive detailed specifications of the content to be included in the Induction Kit and the style to be used.

*From Guide 10: Quality Assurance Guide for Assessment, Part 4, Page 12 © DETYA 2001.*

*Hard copy: Page 18*

## 7. Recording Evidence

### PRO-FORMA FOR RECORDING ASSESSMENT EVIDENCE

RTO Name: \_\_\_\_\_

Candidate Name: \_\_\_\_\_

Assessed on (date): \_\_\_\_\_ By (Assessor Name): \_\_\_\_\_

Against the following unit(s) of competency: (provide code and title for each unit)

\_\_\_\_\_

\_\_\_\_\_

and has been assessed as having acquired the skills and knowledge for the following qualification/  
Statement of Attainment: (provide qualification code and title and statement of Attainment title)

\_\_\_\_\_

\_\_\_\_\_

On the basis of the following evidence:

<b>Portfolio of evidence</b>	<b>Comment</b>
<b>Skills demonstration</b>	<b>Comment</b>
<b>Video/audio</b>	<b>Comment</b>
<b>Certificates</b>	<b>Comment</b>
<b>Reference:</b>	<b>Comment</b>
<b>Other:</b>	<b>Comment</b>

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

*Assessor*

## 8. Reporting

The Australian Qualifications Framework provides suggested formats for both qualifications and Statements of Attainment. These are reproduced below. Further details on reporting can be found in the *Australian Qualifications Framework Implementation Handbook*, Fourth Edition 2007.

### Suggested Form: Qualifications

<p style="text-align: center;"><b>NAME AND LOGO OF ISSUING BODY</b> (For VET sector name of RTO and RTO code.)</p> <p style="text-align: center;">This is to certify that</p> <p style="text-align: center;"><i>JANE SMITH</i></p> <p style="text-align: center;">has fulfilled the requirements for</p> <p style="text-align: center;"><b>CERTIFICATE IV</b></p> <p style="text-align: center;">in</p> <p style="text-align: center;"><b>INDUSTRY DESCRIPTOR</b> eg <i>METALS AND ENGINEERING</i></p> <p style="text-align: center;">(OCCUPATION STREAM) (eg <i>FABRICATION</i>)</p> <p style="text-align: center;">Dated <i>30 September 2007</i></p> <p style="text-align: center;">Authorised Signatory</p> <p style="text-align: center;">Issuing Body</p> <p style="text-align: center;">Nationally Recognised Training logo (for VET sector) State/Territory Training Authority logo (for VET sector) achieved through New Apprenticeship arrangements (as relevant) State/Territory Statutory Authority logo (for schools sector) Higher Education Institution logo (for HE sector) State/Territory Higher Education Authority logo (as relevant)</p> <p style="text-align: center;">(Where relevant: This qualification has been delivered and assessed in [insert language])</p> <p style="text-align: center;">The qualification certified herein is recognised within the Australian Qualifications Framework</p>
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*From AQF Implementation Handbook, Fourth Edition, 2007, Page 76*

**Suggested form: Statement of Attainment – generic**

**STATEMENT OF ATTAINMENT**

**A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more units of competency from nationally recognised qualification(s)/course(s)**

**NAME OF RTO and RTO CODE**

**This is a statement that**

***JANE SMITH***

**has attained**

**[list code and title of unit(s) of competency]**

**(Optional: These competencies form part of the  
[insert code and title of qualification(s)/course(s)],**

**OR**

**These competencies were attained in completion of [insert code]  
Course in [insert full title—note this is only for accredited courses titled ‘Course in ...’],**

**OR**

**These competencies have been identified as meeting  
[insert brief statement of enterprise need] by [insert enterprise]. )**

**(Where relevant: These competencies have been delivered and assessed in  
[insert language].)**

**Dated 30 September 2007**

**Authorised Signatory**

**Issuing Body**

**Nationally Recognised Training logo**

**State/Territory Training Authority logo (optional)**

**This Statement of Attainment is recognised within the  
Australian Qualifications Framework**

*From Australian Qualifications Framework Implementation Handbook, Fourth Edition, 2007, p. 78*

**Suggested form: Statement of Attainment – Training Package Skill Set that meets a licensing or regulatory requirement**

<p style="text-align: center;"><b>STATEMENT OF ATTAINMENT</b></p> <p>A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more units of competency from nationally recognised qualification(s)/course(s)</p> <p style="text-align: center;"><b>NAME OF RTO AND RTO CODE</b></p> <p style="text-align: center;">This is a statement that <b>JANE SMITH</b> has attained <i>Marriage Celebrant Skill Set</i> <i>CHCMCEL401A Plan, conduct and review a marriage ceremony</i></p> <p>This competency from the CHC02 <i>Community Services Training Package</i> meets the competency requirement of the <i>Attorney General's Department for registration as a Marriage Celebrant.</i></p> <p>(Optional: These competencies form part of the [insert code and title of qualification(s)])</p> <p>(Where relevant: These competencies have been delivered and assessed in [insert language].)</p> <p style="text-align: center;">Dated <i>30 September 2007</i></p> <p style="text-align: center;">Authorised Signatory Issuing Body</p> <p style="text-align: center;">Nationally Recognised Training logo State/Territory Training Authority logo (optional)</p> <p style="text-align: center;">This Statement of Attainment is recognised within the Australian Qualifications Framework</p>
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*From Australian Qualifications Framework Implementation Handbook, Fourth Edition, 2007, Page 79*

**Suggested form: Statement of Attainment – Training Package Skill Set that meets a defined industry need**

**STATEMENT OF ATTAINMENT**

**A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more units of competency from nationally recognised qualification(s)/course(s)**

**NAME OF RTO AND RTO CODE**

**This is a statement that**

***JANE SMITH***

**has attained**

***Clinical Coding Skill Set***

***HLTCC301A Produce coded clinical data***

***HLTCC401A Undertake complex clinical coding***

***HLTCC402A Complete highly complex clinical coding***

**These units from the *Health Training Package (HLT07)* meet industry requirements for *clinical coding in the health industry* (Optional: These competencies form part of the [insert code and title of qualification(s)])**

**(Where relevant: These competencies have been delivered and assessed in [insert language].)**

**Dated *30 September 2007***

**Authorised Signatory**

**Issuing Body**

**Nationally Recognised Training logo**

**State/Territory Training Authority logo (optional)**

**This Statement of Attainment is recognised within the Australian Qualifications Framework**

*From Australian Qualifications Framework Implementation Handbook, Fourth Edition, 2007, Page 80*

### **Exemplars for assessment materials**

This set of exemplar material contains the following checklists and guidelines:

1. Checklist for principles of assessment – validity, reliability, flexibility and fairness
2. Self-audit format
3. Workplace assessment checklist
4. Assessment planning guidelines
5. Guidelines for assessing distance learners
6. Checklist for special needs of candidates.

## 1. Checklist for validity, reliability, flexibility and fairness

Use this checklist to assist you to design assessment tools and strategies. Gauge your assessment against the following statements, and provide an explanation of your decision.

VALIDITY	Yes/No	Comment
1. The assessment tasks are based on realistic workplace activities and contexts.	Y/N	
2. The evidence relates directly to the units of competency being assessed.	Y/N	
3. The instrument will assess the candidate's ability to meet the level of performance required by the unit(s) of competency, including where reasonable adjustments are made.	Y/N	
4. The assessment tasks have been designed to allow holistic and integrated assessment of knowledge, skills and attitudes.	Y/N	
5. More than one task and source of evidence will be used as the basis for judgement, with evidence drawn from a variety of performances over time where practical.	Y/N	
6. Different sources of evidence of knowledge and skills that underpin the unit of competency will be considered in the assessment.	Y/N	
7. The purpose, boundaries and limitations of the interpretation of evidence have been clearly identified.	Y/N	
8. The methods and instruments selected are appropriate for the assessment approach specified by the industry (where applicable).	Y/N	
9. Where practical, the methods and processes for assessment have been validated by another person with expertise in the competencies being assessed.	Y/N	



GUIDELINES FOR ASSESSING COMPETENCE IN VET

<b>RELIABILITY</b>	<b>Yes/No</b>	<b>Comment</b>
1. Critical aspects have been identified and sampling will be used to ensure that these are assessed.	<b>Y/N</b>	
2. Assessment exemplars and checklists have been prepared for use by assessors.	<b>Y/N</b>	
3. Guides for observing and recording evidence are based on units of competency.	<b>Y/N</b>	
4. Clear guidelines are available to ensure that assessors make consistent decisions over time and with different candidates.	<b>Y/N</b>	
5. Where multiple assessors are involved in conducting parallel assessment events, agreed strategies are used.	<b>Y/N</b>	
6. Consistent instructions to candidates and procedures for undertaking assessment are available to all assessors.	<b>Y/N</b>	
7. Where work samples are to be used as evidence, candidates will receive specific guidelines on requirements, including information about ensuring authenticity and currency of the evidence.	<b>Y/N</b>	
8. Where a unit or units of competency are to be assessed in different situations, the situations are comparable.	<b>Y/N</b>	

<b>FLEXIBILITY</b>	<b>Yes/No</b>	<b>Comment</b>
1. The assessment approach can be adapted to meet the needs of all candidates and workplaces.	<b>Y/N</b>	
2. Where practical and appropriate, assessment will be negotiated and agreed between the assessor and the candidate.	<b>Y/N</b>	
3. Candidates will be able to have their previous experience or skills recognised.	<b>Y/N</b>	
4. The assessment strategy adequately covers both the on- and off-the-job components of the training.	<b>Y/N</b>	

<b>FAIRNESS</b>	<b>Yes/No</b>	<b>Comment</b>
1. Candidates will be given clear and timely information on assessment.	<b>Y/N</b>	
2. Information for candidates will cover assessment methods, procedures, the criteria against which they will be assessed, when and how they will receive feedback and the mechanism for appeal.	<b>Y/N</b>	
3. Candidates will be included in discussions on the choice of assessment methods and timing.	<b>Y/N</b>	
4. Candidates will be made aware of their responsibilities with regard to assessment.	<b>Y/N</b>	
5. The assessment approach chosen caters for the language, literacy and numeracy needs of all candidates, while the integrity of the qualification is maintained.	<b>Y/N</b>	
6. The special geographic, financial or social needs of candidates have been considered in the development and conduct of the assessment.	<b>Y/N</b>	

GUIDELINES FOR ASSESSING COMPETENCE IN VET

FAIRNESS	Yes/No	Comment
7. Reasonable adjustments are made so that candidates are provided with the opportunity to demonstrate competence, while the integrity of the qualification is maintained.	Y/N	
8. Opportunities for feedback and review of all aspects of assessment will be provided to candidates.	Y/N	
9. There are mechanisms for appeal against assessment processes and decisions and these will be provided to candidates prior to assessment.	Y/N	

*Adapted from Guide 10: Quality Assurance Guide for Assessment, Appendix G, Pages 6-8 © DETYA 2001. Hard copy: Guide 10, Page 72—74*

## 2. Self-audit format

### Internal audit checklist

**RTO name:** Insert the name of the RTO.

**Qualification(s):** Insert the scope of the sample audited, ie title of qualifications.

**Units of competency:** Insert the scope of the sample audited, ie title of units of competency reviewed.

**People interviewed:** Insert the names of people interviewed in the process. This may be contact staff, assessors and/or candidates.

**Sites visited:** Insert the names of the sites visited.

**Date(s) of audit:** Insert the dates on which the audit was undertaken.

### Audit summary:

*Use this space to summarise the review, eg areas for improvement, the possible action to be taken (recommendations), the person responsible for action and the possible timeline.*

---

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Reviewer(s): \_\_\_\_\_ Date: \_\_\_\_\_

*From Guide 10: Quality Assurance Guide for Assessment, Appendix L Page 7, © DETYA 2001.  
Hard copy: Guide 10, Page 81*

### Internal audit checklist

Evidence to be sourced	Yes/No	Action
<b>Procedure/Guideline information</b>		
<ol style="list-style-type: none"> <li>Evidence of information to assessors (eg process, roles and responsibilities).</li> <li>Evidence of information to candidates (eg assessment process, rights and responsibilities) is:                             <ul style="list-style-type: none"> <li>clear and unambiguous</li> <li>accurate</li> <li>provided prior to enrolment/assessment.</li> </ul> </li> </ol>		
<b>Assessment</b>		
<p>Evidence of discussion on and validation of:</p> <ul style="list-style-type: none"> <li>assessment plans (evidence of industry/enterprise consultation, adherence to principles of validity, reliability, fairness and flexibility)</li> <li>assessment tools (evidence of industry/enterprise consultation)</li> <li>samples of evidence provided (where feasible)</li> <li>assessment outcomes recorded.</li> </ul>		
<b>Validation</b>		
<p>Evidence of validation:</p> <ul style="list-style-type: none"> <li>regular validation activities (eg minutes of validation meetings, summary of outcomes, action taken)</li> <li>evaluation of feedback from candidates</li> <li>industry/enterprise participation (if required).</li> </ul>		
<b>Assessor qualifications</b>		
<p>Profiles of assessors that include:</p> <ul style="list-style-type: none"> <li>assessment qualifications</li> <li>industry/technical qualifications</li> <li>relevant current industry experience</li> <li>unit(s) of competency they can assess</li> <li>professional development activities.</li> </ul>		
<b>Access and equity</b>		
<p>Evidence of:</p> <ul style="list-style-type: none"> <li>access and equity requirements being addressed in assessment documentation/strategies</li> <li>support available in the assessment process where applicable.</li> </ul>		

Evidence to be sourced	Yes/No	Action
------------------------	--------	--------

**Record keeping**

1. A secure system that includes:
  - enrolment details
  - assessment outcomes
  - information on appeals/grievances
  - qualifications/Statements of Attainment issued.
2. Adequate procedure for the transfer of data to relevant authorities to ensure integrity of the information (eg partnerships arrangements, State/Territory requirements).
3. An appropriate procedure for archiving data.

**Marketing information**

Marketing material is accurate and ethical.

**Statements of Attainment/Qualifications**

1. Statements of Attainment/qualifications:
  - issued regularly
  - accurate.
2. Evidence of national recognition.

**Resources**

1. Appropriate learning and assessment:
  - resources
  - equipment
  - facilities.
2. Compliance with all relevant legislative requirements.

**Quality assurance strategies**

Processes for:

- monitoring assessment outcomes
- results of surveys/evaluations of assessment conducted and acted upon.

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*Adapted from Guide 10: Quality Assurance Guide for Assessment, Appendix L, Pages 8–9 © DETYA 2001. Hard copy: Guide 10, Pages 82–83*

### 3. Workplace assessment checklist

**Name of enterprise:**

---

**Address:**

---

**Phone:**

**Email:**

---

**Facsimile:**

**Mobile:**

---

**Workplace supervisor:**

---

**Candidate:**

---

**Qualification/Skill Set(s)**

---

- Contract of training – Training Package and training program outline
  - Communication arrangements between workplace, NAC and RTO
  - RTO assessor role
  - Contact details for RTO assessor
  - Workplace supervisor role – evidence collection, training supervision
  - Assessor qualifications
  - On-the-job assessment arrangements
  - Off-the-job assessment arrangements
  - RTO assessment quality assurance arrangements
  - Use of technical experts in on-the-job assessments
  - Opportunities for collection of workplace evidence
  - Assessment recording and reporting arrangements
  - Reassessment and appeals process
  - Protocols for RTO staff to follow when visiting/contacting workplace
  - Special requirements of the workplace and/or the assessment.
- 

*Adapted from Guide 1: Training Package Assessment Materials Kit, Chapter 3, Page 11 © DETYA 2001. Hard copy: Guide 1, Page 39*

#### 4. Assessment planning guidelines

Assessment Planning Checklist – to assist in the planning of assessment activities

<b>Unit(s) of competency to be assessed:</b>	
<p><b>Date:</b></p>	
<p>Collect and analyse information</p> <p><b>Collect industry/training documentation, including:</b></p> <p><input type="checkbox"/> Training Package and/or units of competency</p> <p><input type="checkbox"/> assessment guidelines, resources</p> <p><input type="checkbox"/> curriculum</p> <p><input type="checkbox"/> other relevant documents</p> <p><b>Define industry/training requirements, including:</b></p> <p><input type="checkbox"/> type of enterprise</p> <p><input type="checkbox"/> partnership preferences</p> <p><input type="checkbox"/> cost structure for assessment</p>	<p>Comment:</p>
<p>Identify the purpose and what will be assessed</p> <p><b>Identify why candidates will present for assessment:</b></p> <p><input type="checkbox"/> RPL</p> <p><input type="checkbox"/> award of qualification, Statement of Attainment, licensing skill set</p> <p><b>Define what to assess, by:</b></p> <p><input type="checkbox"/> analysing unit(s) of competency, and evidence requirements</p> <p><input type="checkbox"/> determining how best to cluster competencies to be assessed</p> <p><input type="checkbox"/> collecting logbooks and other third party evidence</p>	<p>Comment:</p>
<p>Determine where assessment will take place</p> <p><b>Determine where assessment will be carried out:</b></p> <p><input type="checkbox"/> assessment entirely off-the-job</p> <p><input type="checkbox"/> assessment of underpinning knowledge/skills off-the-job, targeted assessment in the workplace</p> <p><input type="checkbox"/> assessment integrated on- and off-the-job</p> <p><input type="checkbox"/> assessment entirely in the workplace</p>	<p>Comment:</p>



<p>Identify how to assess</p> <p><b>Identify techniques for collecting evidence including:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> observation of performance</li> <li><input type="checkbox"/> questioning – oral or written</li> <li><input type="checkbox"/> (integrated) project work</li> <li><input type="checkbox"/> group work/task</li> <li><input type="checkbox"/> written tests</li> <li><input type="checkbox"/> critical incident scenarios</li> <li><input type="checkbox"/> samples of work, log of experience, portfolio, journal, workbook</li> <li><input type="checkbox"/> certificates, documents, study records</li> <li><input type="checkbox"/> surveys, reports from others</li> <li><input type="checkbox"/> role play</li> <li><input type="checkbox"/> simulation</li> </ul> <p><b>Consider other techniques, including:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> self-assessment</li> <li><input type="checkbox"/> peer assessment</li> </ul>	<p>Comment:</p>
<p>Determine how evidence will be collected and recorded including:</p> <p><b>Determine evidence gathering tools:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> a record</li> <li><input type="checkbox"/> performance checklist with comments</li> <li><input type="checkbox"/> knowledge checklist</li> <li><input type="checkbox"/> checklist for integrated assessment</li> <li><input type="checkbox"/> evaluation/marking guide – for reports/projects</li> <li><input type="checkbox"/> list of questions – written and/or oral</li> <li><input type="checkbox"/> self and peer assessment reports</li> <li><input type="checkbox"/> evaluation guide and annotated models for work samples and/or performance</li> <li><input type="checkbox"/> other proformas/templates</li> </ul> <p><b>Set up administrative procedures for:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> RPL</li> <li><input type="checkbox"/> provision of feedback</li> <li><input type="checkbox"/> recording and reporting of results</li> <li><input type="checkbox"/> process for review and continuous improvement</li> </ul>	<p>Comment:</p>

<p>Determine how evidence will be collected and recorded including:</p> <p><b>Determine who will provide information for record keeping by the assessor/RTO:</b></p> <p><input type="checkbox"/> candidate</p> <p><input type="checkbox"/> supervisor/mentor/trainer</p> <p><input type="checkbox"/> assessor</p> <p><input type="checkbox"/> other person</p> <p><b>Define the type and level of integration:</b></p> <p><input type="checkbox"/> integration of aspects of work performance</p> <p><input type="checkbox"/> holistic tasks, projects</p> <p><input type="checkbox"/> integration of on- and off-the-job performance</p> <p><b>Where partnership arrangements exist, set up agreements that define who will make assessment judgments:</b></p> <p><input type="checkbox"/> RTO alone</p> <p><input type="checkbox"/> RTO in partnership with industry</p> <p><input type="checkbox"/> RTO in partnership with school(s)</p>	<p>Comment:</p>
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*Adapted from Guide 10: Quality Assurance Guide for Assessment, Appendix D, Pages 6 – 7 DETYA 2001. Hard copy: Guide 10, Pages 68–69*

## 5. Guidelines for assessing distance learners

Many assessors believe that the possible methods of assessment for distance learners are very limited. However, this is not necessarily the case. Distance learners, whether learning through on-line training or some other form of learning, can undertake many of the assessment activities undertaken by other candidates. However, assessors will need to develop a number of strategies to make this work, including using third party evidence, authenticating evidence more carefully, and enlisting the support of workplace assessors where appropriate.

The following table notes assessment methods suitable for distance learners and the issues to consider when assessing distance learners.

EVIDENCE GATHERING TECHNIQUE	ISSUES TO CONSIDER FOR DISTANCE LEARNERS
<b>Observations</b>	<ul style="list-style-type: none"> <li>• Involve third party to undertake observation using observation tool.</li> <li>• Supplement with oral questioning (by phone) or other forms of evidence.</li> <li>• Assessor can travel to candidate for observation/verification and feedback on a range of evidence collection.</li> <li>• Use of ICT, eg web cam, blogs.</li> </ul>
<b>Simulations</b>	<ul style="list-style-type: none"> <li>• Provide written case study for short answer responses and oral questioning.</li> <li>• Use video camera or video internet technology if available for role plays or simulations.</li> </ul>
<b>Questioning</b>	<ul style="list-style-type: none"> <li>• Use computer technology, written answers or phone.</li> <li>• Authenticate written answers through use of third party and/or phone discussions.</li> </ul>
<b>Review of products</b>	<ul style="list-style-type: none"> <li>• Work samples or products can be posted to assessor.</li> <li>• Draft versions can be sent in advance to assist with authentication.</li> </ul>
<b>Portfolio</b>	<ul style="list-style-type: none"> <li>• Portfolio evidence can be posted or emailed to assessor.</li> <li>• Proposed content and layout can be sent in advance to assist with authentication.</li> </ul>
<b>Third party feedback</b>	<ul style="list-style-type: none"> <li>• Can be used through phone, post or email with third party.</li> </ul>
<b>Structured activities</b>	<ul style="list-style-type: none"> <li>• Presentations can be made to workplace or community and then video sent to assessor.</li> <li>• Candidates can negotiate with workplace supervisor to undertake specified project team activities.</li> </ul>

EVIDENCE GATHERING TECHNIQUE	ISSUES TO CONSIDER FOR DISTANCE LEARNERS
<b>Knowledge based tests</b>	<ul style="list-style-type: none"><li>• These can be undertaken on-line with additional evidence collected to establish authenticity.</li><li>• Third party can be involved to establish authenticity and ensure candidate completes test in appropriate time and environment.</li><li>• Short answer 'open book' tests can be undertaken, supplemented by other forms of evidence to show consistency of competency over time.</li></ul>
<b>Self-assessment</b>	<ul style="list-style-type: none"><li>• Increased use of formative assessments, such as on-line self-assessments, can be used to better establish the candidates readiness for assessment and to enhance the assessor's ability to establish authenticity of evidence collected for the assessments.</li></ul>

*Developed by Nexus Strategic Solutions, © WA Department of Training 2001*

## 6. Checklist for special needs of candidates

Assessment procedures, tools and materials can be adapted to ensure that the needs and situation of specific candidates are met. These adaptations are reasonable provided they do not compromise any of the principles of assessment, rules of evidence or other requirements for high quality assessments.

In order to ensure that a candidate's special needs are addressed, the following questions could be asked. If any of the answers are yes, further action to customise the assessment needs to be taken.

- Does the candidate live in a remote location and will this create any barriers in relation to the assessment procedure or assessment methods? For example:
  - Some communities do not have access to certain workplace equipment.
  - Candidates in custodial situations may require assessments to be reworked to enable them to demonstrate their competencies in their particular situation.
  - If a candidate has to travel to a metropolitan area for an assessment, the additional costs and stress involved in this needs to be considered.
- Does the candidate speak a language other than English or a dialect other than standard English?
- Does the assessment procedure require the candidate to use language, literacy or numeracy skill beyond those required for performance in the workplace?
- Does the assessment involve anything that may be contrary to, or uncomfortable because of, a candidate's cultural background? For example:
  - Indigenous people may feel more comfortable with group learning than individual learning, and may not feel comfortable with assessment procedures involving competitive behaviour.
  - Candidates from some cultural backgrounds may not understand assessments based on hypothetical situations or role plays.
  - Some candidates may benefit from the presence of a support person while being assessed (eg someone from their family or their community).
  - Candidates from some backgrounds may have sensitivities in relation to 'men's' and 'women's' business and require certain assessments to occur in gender-segmented environments (eg oral questioning about sexual health may need to be done by an assessor of the same gender as the candidate).
  - Candidates from some cultural backgrounds may not consider it appropriate to make 'an educated guess' and therefore fail to complete certain types of knowledge based tests like multiple choices or true/false tests.
  - Candidates from some cultural backgrounds may view it as appropriate to under-assess their level of skills and therefore perform badly in certain types of assessments such as self-assessments or oral questioning.
  - Candidate's religious beliefs may not allow them to undertake certain activities.
- Does the assessment procedure involve assessing the candidate in front of others in a situation that may be stressful (eg women in a male environment)?

- Does the candidate have a disability which may require some adjustments? For example:
  - A candidate with a learning disability may need additional time for assessment activities such as knowledge based tests.
  - A candidate with a sensory impairment may need additional lighting or translation or special technology to communicate or demonstrate certain knowledge and skills.
  - A candidate with a physical disability or mobility limitations may require an assistant or adjusted equipment in certain environments.
  - A candidate with a psychiatric disability or mental health problem may require additional explanation or discussion in advance of an assessment in order to defuse any additional stress assessment may cause.
  - A candidate with an intellectual disability may be uncomfortable being assessed in an unfamiliar environment.
- Is the candidate returning to the workforce and requiring adjustments? For example:
  - A candidate may have underpinning knowledge and skills, but needs to incorporate recent technological changes.
  - A candidate may be intimidated by using technology, (eg online resources).
- Is the candidate an older person? For example:
  - A candidate may have sound knowledge and skills, but may resent having to demonstrate these for assessment by a younger person.
  - A candidate may be suspicious of the need for assessment and of who receives the results.
  - A candidate may have had limited educational opportunities and therefore be uncomfortable with assessment procedures in general.
- Is the candidate from a different cultural background? For example:
  - A candidate may be a displaced person and their life experiences will need to be considered.
  - The culture of a candidate may lead to the candidate indicating that they understand an instruction, when in fact they do not.
  - A candidate may be intimidated by and not experienced in using technology, (eg online resources).

*Adapted from original by Nexus Strategic Solutions, © WA Department of Training 2001*

## **Assessment instruments and procedures/instructions**

For detailed information and further examples of assessment tools for all assessment methods see *Designing assessment tools for quality outcomes in VET* (2008).

This set of assessment instruments and procedures/instructions provides samples for the following types of assessment methods:

1. direct observation
2. oral questioning
3. structured assessment activity
4. evidence compiled by candidate.

### **1. Direct observation**

#### **Supporting questions for a cluster of units of competency**

##### **Unit(s) of Competency Cluster**

The following questions to support an observation are based on a cluster of units from the Correctional Services Training Package (CSC07). These are:

CSCORG202A	Communicate effectively
CSCORG301A	Prepare reports
CSCSAS201A	Maintain security
PSPOHS301A	Contribute to workplace safety
CSCOFM308A	Promote cooperative behaviour
CSCORG303A	Conduct interviews
CSCOFM305A	Supervise offenders
CSCSAS206A	Respond to medical emergencies

Any observation checklist should be supported by a list of performance questions such as those illustrated in the next example which are derived from the Evidence Guides in the eight units of competency.

**Questions to support an observation checklist – Correctional Services**

<b>Candidate name:</b>	Joan Wilson
<b>Assessor name:</b>	Ralph Scott
<b>Units of competency:</b>	<ul style="list-style-type: none"> <li>• CSCORG202A Communicate effectively</li> <li>• CSCORG301A Prepare reports</li> <li>• CSCSAS201A Maintain security</li> <li>• PSPOHS301A Contribute to workplace safety</li> <li>• CSCORG303A Conduct interviews</li> <li>• CSCOFM305A Supervise offenders</li> <li>• CSCSAS206A Respond to medical emergencies</li> </ul>
<b>Name of workplace:</b>	Sandy Bay Facility
<b>Date of assessment:</b>	3 March 2008

<b>Questions to be answered by the candidate:</b>	<b>Satisfactory response</b>	
	Yes ✓	No ✗
Q1. What would you do if you lost contact with other officers during a critical search situation? (contingency management skills)	✓	
<i>Response:</i> Immediately radio to other search team officers and supervisor informing them of my location, current situation and requesting assistance.		
Q2. What are the procedures and policies for responding to a medical emergency with an offender? (job/role environment skills)		✗
<i>Response:</i> Check the offender’s vital signs, assess the nature of the medical condition, attempt resuscitation if necessary and then call for assistance.		
Q3. What are your functions and how do you manage them when you assist with interviews and also have to report on the outcomes? (task management skills)	✓	
<i>Response:</i> My primary functions are recording interview responses, cooperate with and assist the interviewing officer with details about the interviewee as required. I simultaneously draft interview outcomes for reporting to supervisors for further action.		
Q4.		
<i>Response:</i>		
The candidate’s knowledge	Satisfactory	Not Satisfactory ✓

**Feedback to candidate:**

Task skills are satisfactory and candidate is able to identify how to manage most unusual circumstances that may arise. However, the candidate has insufficient knowledge of the correct procedures for responding to a medical emergency with an offender and this could jeopardise their safety and well being.

<b>Candidate signature:</b>	
<b>Assessor signature:</b>	

*Adapted from Guide 1: Training Package Assessment Materials Kit, Appendix D, Page 18 © DETYA 2001. Hard copy: Guide 1, Page 186*



## 2. Oral questioning

Sample completed recording sheet for oral questioning

### Oral/interview questions

**Candidate:** Jenny Ngo

**Unit(s):** CHCAC3C Orientation to aged care work

**Element 2:** Demonstrate commitment to quality care for aged people

**Workplace/RTO:** Pennyroyal Centre

**Conditions:** Questions following observation at workplace

Oral/interview questions		Satisfactory response
Questions on regulations and procedures	Q1. What does duty of care in the context of service delivery to aged care clients mean?	Y
	Q2. Who do you have a duty of care to?	Y
Application of underpinning knowledge	Q3. What is your understanding of the individuality of ageing?	N
	Q4. What actions have you taken over the last week that indicate you have encouraged and supported aged care clients?	Y
Extension/probing question	Q5. Give me an example of an action that could occur in this centre that you think would not show that appropriate empowerment of aged care clients is occurring?	N
Contingency question	Q6. What would you do if you saw inappropriate attitudes by others toward aged care clients occurring at this centre?	Y

The candidate's knowledge                      Satisfactory                      Not Satisfactory ✓

Signed by the assessor:

Date:

### Feedback to candidate:

The candidate has a good appreciation and understanding of the duty of care required in an aged care environment and can recall specific actions that indicate clients are encouraged and supported.

The candidate has limited understanding of the individuality of ageing and cannot cite examples of actions that empower aged care clients to indicate underpinning for competent performance in this regard.

### Acceptable answers are:

Q1: Taking steps to reduce the possibility of risk or harm to a person without taking away the person's right to make an informed decision.

Q2: Customers, self, co-workers, others around you at work, other service providers.

etc.

*Adapted from Guide 1: Training Package Assessment Materials Kit, Chapter 5, Page 31, © DETYA 2001. Hardcopy: guide 1, Page 75*

### 3. Structured assessment activity

#### Sample Workplace Project

##### **Project instructions**

This project will allow you to demonstrate competency for the Unit of Competency CHCFC11C Stimulate children's development. It addresses the three unit Elements:

- Element 1 Create a stimulating, positive and developmentally appropriate environment to foster development, play and leisure
- Element 2 Actively guide and encourage children to undertake a variety of developmentally appropriate activities
- Element 3 Facilitate children's play and leisure

##### **How to prepare**

In consultation with your supervisor, assist in setting up the physical environment for a group of children in age groups: 0-2, 3-5 OR 6-12. This should remain set up for one week.

You will have to consider the placement of furniture and equipment, the accessibility of toys and play materials, visual stimulation, lighting, ventilation and other relevant factors.

Readings that can help you with this project are:

- Introduction to Play and Leisure, Units 2 and 3
- Play and Development, Units 4 and 5.

##### **How to perform**

Your environment, as well as your interactions with the children, must show that you can organise experiences for children that are safe, stimulating and positive and that encourage the children to be involved in experiences.

This project enables you to demonstrate your understanding of the issues and procedures as well as your practical skills on-the-job.

##### **Evidence gathering**

###### **1. Self-assessment**

At the end of the week, evaluate the environment you have set up by answering the following questions:

- How would you determine that the play and leisure environment was safe?
- What steps were taken to make the environment non-threatening?
- How is the environment stimulating for the client group?
- Does the environment challenge the client group?
- What is an appropriate range of experiences sufficient for the child to make choices?
- How do your interactions with children support children's play?

You should provide examples that illustrate your answers.

###### **2. Observation**

Your work for this project will also be observed over the week by your supervisor.

*Adapted from Guide 1: Training Package Assessment Materials Kit, Chapter 5, Page 46, © DETYA 2001. hardcopy: guide 1, Page 90*

## 4. Evidence compiled by candidate

### Sample Portfolio instructions

<b>Portfolio for:</b>	BSBITU306A Design and produce business documents
<b>Due date:</b>	3 March 2008
<b>Description of the portfolio:</b>	A collation of relevant business documents designed by the candidate

#### General overview

The portfolio should include samples of non-confidential business documents you have produced or edited within the last six months. Supporting materials must also be included. Wherever possible, you must include both hard copy and electronic files of work samples.

#### Assessment criteria

Documents will be checked for:

- appropriate style and layout
- use of software features for consistency and efficient production such as font styles, text formatting, style sheets and tables
- appropriate use of basic graphic elements including logos, rules and shading.

#### Presentation of the portfolio

Each work sample in your portfolio will need to be supported by a statement which outlines:

- the purpose of the document and the audience and organisational requirements you had to consider
- how the document relates to the requirements of the unit of competency
- how the design and layout of the document were determined
- the reasons why specific equipment and software features were used
- the resources you used in preparing the documents.

#### Portfolio contents

Contents will include:

- paper and electronic files that you have produced or edited
- related planning notes and requirements you followed for the design of the documents
- letters from supervisors or clients that verify your involvement with the production of the documents
- work samples and/or statements of achievement from any relevant learning exercises, including computer based tutorials and courses.

#### Progress and feedback

This portfolio should be ongoing, to include samples of work you do over the period of this assessment as it will be checked as you progress through this assessment. Feedback about the quality of your evidence will be given before the final due date.

The final presentation will be on the agreed date.

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*Adapted from Guide 1: Training Package Assessment Materials Kit, Chapter 5, Page 56, © DETYA 2001.  
Hard copy: Guide 1, Page 94*

**Sample portfolio evaluation form**

**Evaluation of portfolio contents**

<b>Name of candidate:</b>	Susanne Squires
<b>Unit(s):</b>	PMLORG600B Supervise laboratory operations in work/function area
<b>Workplace:</b>	Labskill
<b>Name of assessor:</b>	Mario Agento

<b>Requirements of the unit of competency</b>	<b>Yes</b>	<b>No</b>
The contents of the portfolio provided satisfactory evidence of the candidate's ability to:		
• achieve outcomes consistent with plans/budgets	✓	
• implement safe working arrangements		✓
• contribute proposals and ideas for quality improvements	✓	
• contribute to the company's quality system	✓	
• revise operational plans to reflect essential variations	✓	
• make decisions that are appropriate	✓	
• optimise resource usage in terms of the operational plans		✓

**Following analysis of the evidence, the following issues require clarification during interview:**

- obtain more detail on previous job role (see resume)
- clarify extent of involvement in QA Committee
- explain lower laboratory productivity in latest quarterly operational report
- query issue on minor safety breach noted in laboratory audit report
- training plan for laboratory staff appear to have no needs analysis.

**Additional evidence is required in the following area:**

- budgeting laboratory functions (annual and quarterly reports)
- written communication with peers and supervisors (letters and memos)
- implementing safe working arrangements (proposals and reports)
- motivating and counselling laboratory personnel (third party report from team member).

**Signed by the assessor:**

**Date:**

*Adapted from Guide 1: Training Package Assessment Materials Kit, Appendix D Page 26, © DETYA 2001.  
Hard copy: Guide 1, Page 100*

## Section 5: Resources Guide

### **Introduction**

This section provides a guide to useful resources for trainers, assessors and other parties involved in competency based assessments.

The resources are noted under three different headings:

- Websites providing ongoing information relevant to assessment
- Resources on particular aspects of assessment
- Organisations providing information or assistance on assessment.

### **Websites providing ongoing information relevant to competency based assessment**

[www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au) WA Department of Education and Training website includes policies, information on training and professional development activities and useful links (eg to ITABs, ITCs).

[www.tac.wa.gov.au](http://www.tac.wa.gov.au) the website of the Training Accreditation Council, the Registering and Course Accrediting body in WA.

[www.ntis.gov.au](http://www.ntis.gov.au) comprehensive national training information website, which includes information on Training Packages, Registered Training Providers and other key information.

[www.aqf.edu.au](http://www.aqf.edu.au) the Australian Qualifications Framework website.

[www.deewr.gov.au](http://www.deewr.gov.au) the website of the Department of Education, Employment and Workplace Relations.

[www.ibsa.org.au](http://www.ibsa.org.au) the website of Innovation and Business Skills Australia (IBSA), the Industry Skills Council responsible for maintaining the Training and Assessment Training Package.

### **Resources on particular aspects of assessment**

- *Troubleshooting guide: Assessment in VET (2008)*
- *Recognition of prior learning: An assessment resource for VET practitioners (2008)*
- *Designing assessment tools for quality outcomes in VET (2008)*
- *Reasonable adjustment: a practical guide to reasonable adjustment in assessment of candidates with disability in VET (2008)*
- *A guide to continuous improvement of assessment in VET (2008)*

All available from [www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au) (a Department website).

### **Training Package assessment materials kit**

A project resulting in ten guides for assessors and those managing assessment processes within the VET sector. User-friendly documents including templates, examples and case studies, many used in these Guidelines.

The kit can be downloaded from the Resource Generator at [www.resourcegenerator.gov.au](http://www.resourcegenerator.gov.au) and is available in hard copy and CD format from Australian Training Products (ATP) [www.atpl.net.au](http://www.atpl.net.au). Guide 11 is only available at [http://www.dest.gov.au/sectors/training\\_skills/publications\\_resources/profiles/anta/profile/learning\\_assessment\\_strategies\\_pt\\_2\\_resource\\_guide.htm](http://www.dest.gov.au/sectors/training_skills/publications_resources/profiles/anta/profile/learning_assessment_strategies_pt_2_resource_guide.htm).

The eleven guides in the kit are:

Guide 1: Training Package assessment materials kit

Guide 2: Assessing competencies in higher qualifications

Guide 3: Recognition resource

Guide 4: Kit to support assessor training

Guide 5: Candidate's Kit: Guide to assessment in New Apprenticeships

Guide 6: Assessment approaches for small workplaces

Guide 7: Assessment using partnership arrangements

Guide 8: Strategies for ensuring consistency in assessment

Guide 9: Networking for assessors

Guide 10: Quality assurance guide for assessment

Guide 11: Learning and assessment strategies.

### **Designing tests: Guidelines for designing knowledge based tests for Training Packages**

Useful and clear advice for writing knowledge based tests of all sorts, developed by the WA Department of Training and VETASSESS.

*Available from* VETASSESS at [www.vetassess.com.au](http://www.vetassess.com.au) or, the Department at [www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au).

### **Building Diversity and the AQTF**

Policy and guidance on providing training relevant to a diverse range of clients.

*Available from:* [www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au).

### **Training Package Development Handbook**

Policy and guidance for those developing Training Packages, including the assessment information required to be included in Training Packages.

Internet: DEEWR at: [www.tpdh.deewr.gov.au](http://www.tpdh.deewr.gov.au).

### **Using Training Packages: from Training Package to Learning Program**

User-friendly explanation of the components of Training Packages and how to interpret them for training delivery and assessment purposes.

*Available from:* [www.tac.wa.gov.au/Accrediting](http://www.tac.wa.gov.au/Accrediting).

### **RPL National Principles**

A set of principles for effective Recognition of Prior Learning developed by the AQF Advisory Board in 2004.

*Available from:* [www.aqf.edu.au](http://www.aqf.edu.au).

### **TAA40104 Certificate IV in Training and Assessment**

Qualification required by VET assessors.

*Available from:* [www.ntis.gov.au/?/trainingpackage/TAA40104/qualification](http://www.ntis.gov.au/?/trainingpackage/TAA40104/qualification)

### **WA Department of Education and Training**

VET Teaching and Learning

151 Royal Street, East Perth 6004

W: [www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au)

T: (08) 9264 4681

F: (08) 9264 4688

### **Department of Education, Employment and Workplace Relations (DEEWR)**

DEEWR is a new department created in 2007 to bring together the roles and responsibilities of the previous Department of Education, Science and Training (DEST) and the Department of Employment and Workplace Relations (DEWR). The department is responsible for policy, national strategies and Commonwealth funding for all education and training sectors.

GPO Box 9880

Canberra City ACT 2601

W: [www.deewr.gov.au](http://www.deewr.gov.au)

T: 1300 363 079

### **Australian Training Products**

Australian Training Products is a specialist publisher and distributor, focussed on providing training materials to the vocational education and training sector.

W: [www.atpl.net.au](http://www.atpl.net.au)

T: (03) 9832 8100

F: (03) 9832 8199

E: [sales@atpl.net.au](mailto:sales@atpl.net.au)

### **Vocational Education and Training Assessment Services (VETASSESS)**

VETASSESS is a provider of assessment and educational consultancy services to the vocational education and training sector. It has a range of assessment tools and publications.

Level 4, 478 Albert Street

EAST MELBOURNE VICTORIA 3002

W: [www.vetassess.com.au](http://www.vetassess.com.au)

T: (03) 9655 4801

F: (03) 9654 3385

E: [vetasses@vetassess.com.au](mailto:vetasses@vetassess.com.au)

## **Industry Skills Councils (ISCs)**

There are ten Industry Skills Councils covering all major industry sectors. The ten ISCs are:

*(NOTE: at the time of printing all details listed below for ISCs are correct. Details of activities for all ISCs can be found at: [www.isc.org.au](http://www.isc.org.au)).*

### **Agri-Food Industry Skills Council**

Training Packages: Animal Care and Management; Amenity Horticulture; Australian Meat; Conservation and Land Management; Food Processing; Racing; Ricegrowers' Cooperative Limited; Rural Production; Seafood, Sugar Milling.

Physical Address

Level 1, John McEwen House

7 National Circuit

BARTON ACT 2600

Postal Address

PO Box 5450

KINGSTON ACT 2604

W: [www.agrifoodskills.net.au](http://www.agrifoodskills.net.au)

T: (02) 6163 7200

F: (02) 6163 7299

E: [reception@agrifoodskills.net.au](mailto:reception@agrifoodskills.net.au)

### **Community Services & Health Industry Skills Council**

Training Packages: Health; Community Services.

Physical Address

Level 7, 1 Oxford Street

DARLINGHURST NSW 2010

Postal Address

GPO Box 9848

SYDNEY NSW 2001

W: [www.cshisc.com.au](http://www.cshisc.com.au)

T: (02) 9263 3589

F: (02) 9263 3599

E: [admin@cshisc.com.au](mailto:admin@cshisc.com.au)

### **Construction and Property Services Industry Skills Council**

Training Packages: Asset Maintenance; Asset Security; General Construction; Off-site Construction; Plumbing and Services; Property Development and Management.

Physical Address

Suite 4, 7 Beissel Street

BELCONNEN ACT 2617

Postal Address

PO Box 151

BELCONNEN ACT 2616

W: [www.cpsisc.com.au](http://www.cpsisc.com.au)

T: (02) 6253 0002

F: (02) 6253 0004

E: [info@cpsisc.com.au](mailto:info@cpsisc.com.au)



**ElectroComms and EnergyUtilities Industry Skills Council Ltd  
(EE-Oz Training Standards)**

Training Packages: Electrotechnology; Gas; Generation; Lifts; Transmission and Distribution.

Physical and Postal Address:

Ground Floor, 68 Campbell Street  
SURRY HILLS NSW 2010

W: [www.ee-oz.com.au](http://www.ee-oz.com.au)

T: (02) 9280 2566

F: (02) 9280 1600

E: [ee-oz@ee-oz.com.au](mailto:ee-oz@ee-oz.com.au)

**Government and Community Safety Industry Skills Council**

Training Packages: Correctional Services (CSC01), Local Government (LGA04), Public Safety (PUA00), Public Sector (PSP04), Water Industry (NWP01).

Physical Address:

Government Skills Australia  
Level 2, 47-49 Waymouth Street,  
ADELAIDE, South Australia, 5000

W: [www.gsaisc.net.au](http://www.gsaisc.net.au)

T: (08) 8410 3455

F: (08) 8410 2842

E: [info@gsaisc.net.au](mailto:info@gsaisc.net.au)

Postal Address:

PO Box 2146  
GPO ADELAIDE South Australia, 5001

**Innovation and Business Industry Skills Council (Innovation and Business Skills Australia)**

Training Packages: Business Services; Entertainment, Film/ TV, Radio and Multimedia; Financial Services; Information Technology; Museum and Library/ Information Services; Music; Printing and Graphic Arts; Telecommunications; Training and Assessment; Visual Arts, Craft and Design.

Physical and Postal Address:

Level 2, Building B  
192 Burwood Road  
HAWTHORN Vic 3122

W: [www.ibsa.org.au](http://www.ibsa.org.au)

T: (03) 9815 7000

F: (03) 9815 7001

E: [reception@ibsa.org.au](mailto:reception@ibsa.org.au)

**Manufacturing Industry Skills Council**

Training Packages: Aeroskills; Competitive Manufacturing Training Package; Chemical Hydrocarbons and Oil Refining; Furnishing; Laboratory Operations; Plastics, Rubber and Cablemaking; Manufactured Mineral Products; Metal and Engineering; Textiles, Clothing and Footwear.

Physical Address

Level 7, 80 Arthur Street  
NORTH SYDNEY NSW 2060

W: [www.mskills.com.au](http://www.mskills.com.au)

T: (02) 9955 5500

F: (02) 9955 8044

E: [info@mskills.com.au](mailto:info@mskills.com.au)

Postal Address

PO Box 289  
NORTH SYDNEY NSW 2059

### **Resources and Infrastructure Industry Skills Council**

Training Packages: Civil Construction; Coal; Drilling; Extractive; Metalliferous

Physical and Postal Address

Suite 2, Level 7, 36 Carrington St  
SYDNEY NSW 2000

W: [www.riisc.com.au/](http://www.riisc.com.au/)

T: (02) 9299 3014

F: (02) 9299 3015

E: [riisc@riisc.com.au](mailto:riisc@riisc.com.au)

### **Services Industry Skills Council**

Training Packages: Beauty; Caravans; Community Pharmacy; Community Recreation; Fitness; Floristry; Funeral Services; Hairdressing; Hospitality; Outdoor Recreation; Retail; Sport; Tourism; Wholesale; Woolworths

Physical Address

Level 10, 171 Clarence St  
SYDNEY NSW 2001

W: [www.serviceskills.com.au](http://www.serviceskills.com.au)

T: (02) 8243 1210

F: (02) 8243 1299

E: [info@serviceskills.com.au](mailto:info@serviceskills.com.au)

Postal Address

GPO Box 4194  
SYDNEY NSW 2001

### **Transport & Logistics Industry Skills Council**

Training Packages: Aviation; Maritime, Transport and Distribution

Physical and Postal Address

Level 3, 33 Walsh Street  
WEST MELBOURNE VIC 3003

W: [www.tlisc.com.au](http://www.tlisc.com.au)

T: (03) 9320 4242

F: (03) 9320 4243

E: [tlisc@tlisc.com.au](mailto:tlisc@tlisc.com.au)

## **WA Industry Training Councils**

### **(ITCs)/Industry Training Advisory Bodies (ITABs)**

*(NOTE: at the time of printing all details listed below for WA ITCs/ITABs are correct.)*

### **Arts, Sport & Recreation Industry Training Council**

Suites 8-9

WA Sports Lotteries House Stephenson Avenue (PO Box 57, CLAREMONT 6910)  
MOUNT CLAREMONT WA 6010

W: [www.futurenow.org.au](http://www.futurenow.org.au)

T: (08) 9285 8555

F: (08) 9285 8755

E: [info@futurenow.org.au](mailto:info@futurenow.org.au)

**Automotive Training Australia (WA) Inc**

Suite 5, 5 Hasler Road  
OSBORNE PARK WA 6017  
W: [www.automotivetraining.org.au](http://www.automotivetraining.org.au)  
T: (08) 9244 8111  
E: [dhicks@autoitc.com.au](mailto:dhicks@autoitc.com.au)

**Building and Construction Industry Training Council**

First Floor 1152 Hay Street  
WEST PERTH WA 6005  
W: [www.bcitcwa.com.au](http://www.bcitcwa.com.au)  
T: (08) 9485 0723  
F: (08) 9481 5226  
E: [bcitcwa@bcitcwa.com.au](mailto:bcitcwa@bcitcwa.com.au)

**Community Services, Health and Education Industry Training Council**

1st Floor, 1152 Hay Street (PO Box 1806, WEST PERTH 6872)  
WEST PERTH WA 6005  
W: [www.csheitc.org.au](http://www.csheitc.org.au)  
T: (08) 9481 4211  
F: (08) 9481 5226  
E: [ian@csheitc.org.au](mailto:ian@csheitc.org.au)

**Finance, Property and Business Skills WA**

Suite 5, 1152 Hay St  
WEST PERTH WA 6005  
T: (08) 9226 4717  
F: (08) 9481 5226  
E: [info@fpbsitc.com.au](mailto:info@fpbsitc.com.au)

**Hospitality and Tourism Industry Training Council**

Suite 33, 4 Ventnor Avenue (PO Box 1794, WEST PERTH WA 6872)  
WEST PERTH WA 6005  
W: [www.wahtitc.com.au](http://www.wahtitc.com.au)  
T: (08) 9322 9922  
F: (08) 9322 9933  
E: [admin@wahtitc.com.au](mailto:admin@wahtitc.com.au)

**Light Manufacturing Industry Training Council**

Suite 4, 207 Balcatta Road (PO BOX 577, BALCATTWA WA 6914)

BALCATTWA WA 6021

W: [www.lmitc.com.au](http://www.lmitc.com.au)

T: (08) 9240 1048

F: (08) 9240 1035

E: [jillian@lmitc.iinet.net.au](mailto:jillian@lmitc.iinet.net.au)

**Metals, Manufacturing and Services Industry Training Council**

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## Section 6: Acronyms and Glossary of Terms

### Acronyms Used:

AQF	Australian Qualifications Framework
AQTF	Australian Quality Training Framework
CBA	Competency Based Assessment
ITAB	Industry Training Advisory Body
ISC	Industry Skills Council
ITC	Industry Training Council
NRT	Nationally Recognised Training
NSF	National Skills Framework
NTF	National Training Framework
RCC	Recognition of Current Competencies
RPL	Recognition of Prior Learning
RTO	Registered Training Organisation
TPO	Training Program Outline
VET	Vocational Education and Training

### Glossary of Terms

#### Accreditation

Accreditation means the process of formal recognition of a course by the State or Territory course accrediting body in line with the AQTF 2007 Standards for State and Territory Registering/Course Accrediting Bodies.

*From AQTF 2007 Standards for State and Territory Registering/Course Accrediting Bodies.*

#### Accredited course

A structured sequence of vocational education and training that has been accredited by a state or territory course-accrediting body and leads to an Australian Qualifications Framework qualification or statement of attainment.

*From AQTF 2007 Standards for State and Territory Registering/Course Accrediting Bodies.*

#### Appeal process

A process whereby a client of an RTO, or other interested party, may dispute a decision made by the RTO. The decision made by the RTO may be an assessment decision or may be about any other aspect of the RTO's operations.

*From AQTF 2007 Users' guide to the Essential Standards for Registration.*

### **Assessment**

Assessment means the process of collecting evidence and making judgements on whether competence has been achieved to confirm that an individual can perform to the standard expected in the workplace as expressed in the relevant endorsed industry/enterprise competency standards or the learning outcomes of an accredited course.

*From AQTF 2007 Users' guide to the Essential Standards for Registration.*

### **Assessment context**

The environment in which the assessment will be carried out. This will include physical and operational factors, the assessment system within which assessment is carried out, opportunities for gathering evidence in a number of situations, the purpose of the assessment, who carries out the assessment and the period of time during which it takes place.

*From TAA04 Training and Assessment Training Package.*

### **Assessment guidelines**

Assessment guidelines are an endorsed component of a Training Package which underpins assessment and which sets out the industry approach to valid, reliable, flexible and fair assessment. Assessment guidelines include the assessment system overview, assessor requirements, designing assessment resources, conducting assessment and sources of information on assessment.

*From AQTF 2007 Essential Standards for Registration.*

### **Assessment judgement**

Assessment judgement involves the assessor evaluating whether the evidence gathered is valid, sufficient, current and authentic in order to make the assessment decision. The assessment decision is made at the unit of competence. It will require using professional judgement in evaluating the evidence available about:

- the quality of evidence gathered using the assessment methods/tools
- whether competence has been achieved based upon that evidence.

### **Assessment materials**

Assessment materials are any resources that assist in any part of the assessment process. They may include information for the candidate or assessor, assessment tools or resources for the quality assurance arrangements of the assessment system.

### **Assessment method(s)**

Assessment method means the particular techniques used to gather different types of evidence. This may include methods or techniques such as questioning, direct observation, structured activities, third party feedback, evidence compiled by the candidate and review of products.

### **Assessment plan**

The Assessment plan is the overall planning document for the assessment process and includes a range of information to guide assessors which may include purpose, context, personnel, competency standards/assessment benchmarks, assessment methods and tools, the evidence plan, organisational arrangements including physical and material resources and equipment and other relevant information

*From TAA04 Training and Assessment Training Package.*

### **Assessment process**

The assessment process is the agreed series of steps that the candidate undertakes within the enrolment, assessment, recording and reporting cycle. The process must best suit the needs of all stakeholders and be both efficient and cost-effective.

### **Assessment strategy**

Assessment strategy means the approach to assessment and evidence gathering used by the assessor or Registered Training Organisation. It encompasses the assessment process, methods and assessment tools.

### **Assessment system**

The Assessment system is a controlled and ordered process designed to ensure that assessment decisions made in relation to many individuals, by many assessors, in many situations are consistent, fair, valid and reliable, and may include: grievances and appeals process, validation systems and processes, reporting/recording arrangements, acquisition of physical and human resources, administrative procedures, roles and responsibilities, partnership arrangements, quality assurance mechanisms, risk management strategies and documented assessment processes.

*From TAA04 Training and Assessment Training Package.*

### **Assessment tool**

An assessment tool contains both the instrument and the instructions for gathering and interpreting evidence:

- instrument(s) – the specific questions or activity developed from the selected assessment method(s) to be used for the assessment. (A profile of acceptable performance and the decision making rules for the assessor may also be included.)
- procedures – the information/instructions given to the candidate and/or the assessor regarding conditions under which the assessment should be conducted and recorded.



### **Audit**

A planned, systematic and documented process used to assess an RTO's compliance with the current AQTF Essential Standards for Registration. State and territory registering bodies conduct independent audits as a condition of registration. RTOs can conduct internal audits to assess their compliance with the standards and their own policies and procedures as part of their continuous improvement process.

*From AQTF 2007 Essential Standards for Registration.*

### **Auspicing**

See **Partnerships**.

### **Australian Apprenticeships referred to as Apprenticeships and Traineeships in WA**

Australian Apprenticeships means structured training arrangements, usually involving on- and off-the-job training, for a person employed under an apprenticeship/traineeship training contract.

*Adapted from AQTF 2007 Users' Guide Essential Standards for Registration.*

### **Australian Qualifications Framework (AQF)**

A comprehensive nationally consistent Framework for all Australian post compulsory qualifications.

### **Australian Quality Training Framework (AQTF 2007)**

Australian Quality Training Framework (AQTF) is the nationally agreed recognition arrangements for the vocational education and training sector. It includes the *Essential standards for Recognition* which RTOs must meet in order to deliver and assess nationally recognised training and issue nationally recognised qualifications.

*From AQTF Essential Standards for Registration.*

### **Candidate**

A candidate is any person presenting for assessment.

### **Competence**

The performance of particular tasks and duties to the standard of performance expected in the workplace. Competency requires the application of specified skills and knowledge relevant to effective participation in an industry, industry sector or enterprise.

*From AQTF 2007 Users' guide to the Essential Standards for Registration.*

### **Competency standard**

Competency standards define the competencies required for effective performance in the workplace. Standards are expressed in outcome terms and have a common national format comprising unit title and code, unit descriptor, unit application, elements, performance criteria, required skills and knowledge range statement and evidence guide. Also see Unit(s) of competency.

### **Client**

In the AQTF, the term 'client' means learner, enterprise or organisation, which uses or purchases the services provided by the Registered Training Organisation.

*From AQTF 2007 Essential Standards for Registration.*

### **Clustering**

The process of grouping competencies into combinations which have meaning and purpose related to work functions and needs in an industry or enterprise.

*Adapted from TAA04 Training and Assessment Training Package.*

### **Collaborative assessment arrangements**

These are collaborative arrangements between a Registered Training Organisation (RTO) and other organisations including other RTOs which enable the partners to share for mutual benefit their resources, effort, time, costs, responsibility and expertise in the provision of training and/or assessment services.

### **Contextualisation**

Contextualisation refers to the addition of industry specific information to a unit of competency to reflect the immediate operating context and thereby increase its relevance. Contextualisation must be guided by the Training Package Development Handbook and relevant Training Package contextualisation guidelines.

*From TAA04 Training and Assessment Training Package.*

### **Delivery and assessment strategies**

A framework that guides the learning requirements and the teaching, training and assessment arrangements of a VET qualification. It is the document that outlines the macro level requirements of the learning and assessment process usually at the qualification level.

*Adapted from Training and assessment strategy. AQTF Users' Guide to the Essential Standards for Registration.*

### **Dimensions of competency**

The concept of competency includes all aspects of work performance and not only narrow task skills. The four dimensions of competency are:

- task skills
- task management skills
- contingency management skills
- job/role environment skills.

*From Training Package Developers' Handbook.*

### **Element**

An element is a basic building block of units of competency. Elements describe the tasks that make up the broader function or job, described by the unit. They specify the critical outcomes to be achieved in demonstrating competence.

*Adapted from TAA04 Training and Assessment Training Package.*

### **Employability Skills Framework**

The Employability Skills Framework identifies those attributes required for satisfactory performance of a task or activity in the workplace. The nationally endorsed list of employability skills in the framework is:

- communication
- teamwork
- problem solving
- initiative and enterprise
- planning and organising
- self-management
- learning
- technology.

### **Employability Skills facets**

Facets are specific examples of skills and behaviours which contribute to the overall application of a particular Employability Skill. The nature, emphasis and context of these facets will vary from one industry and application to the next. Together, Employability Skills and their facets are referred to as the Employability Skills Framework. Trainers and assessors are required to design learning and assessment approaches that encompass the facets embedded in units of competency.

### **Evidence and 'quality' evidence**

Evidence is information gathered which, when matched against the performance criteria, provides proof of competence. Evidence can take many forms and be gathered from a number of sources. Assessors often categorise evidence in different ways, for example:

- direct, indirect and supplementary sources of evidence
- evidence collected by the candidate or evidence collected by the assessor
- historical and recent evidence collected by the candidate and current evidence collected by the assessor.

Quality evidence is valid, sufficient, current and authentic evidence that enables the assessor to make the assessment judgement.

### **Evidence gathering tool**

See **Assessment tool**.

### **Evidence guide**

The evidence guide is part of a unit of competency. Its purpose is to guide assessment of the unit of competency in the workplace and/or a training environment. The evidence guide specifies the context of assessment, the critical aspects of evidence and the required or underpinning knowledge and skills. The evidence guide relates directly to the performance criteria and range of variables defined in the unit of competency.

*From TAA04 Training and Assessment Training Package.*

### **Evidence plan**

An evidence plan forms part of the documented Assessment Plan. The evidence plan documents the evidence requirements of the assessment, information regarding who will collect the evidence and the time period involved.

*From TAA04 Training and Assessment Training Package.*

### **Flexible learning and assessment**

An approach to VET that allows a range of learning and assessment strategies to be adopted in a variety of learning environments, in order to cater for differences in individual learning interests, needs, styles, and opportunities. It includes online strategies.

*From AQTF 2007 Users' Guide to the Essential Standards for Registration.*

### **Holistic/integrated assessment**

Holistic/integrated assessment means an approach to assessment that covers the clustering of multiple units/elements from relevant competency standards. This approach focuses on the assessment of a 'whole of job' role or function that draws on a number of units/elements of competence. This assessment approach also integrates the assessment of the application of knowledge, technical skills, problem solving and demonstration of attitudes and ethics.

*Adapted from TAA04 Training and Assessment Training Package.*

### **Industry Skills Councils (ISCs)**

National industry bodies responsible for the development and maintenance of National Training Packages

### **Industry Training Advisory Bodies (ITABs) or Councils (ITCs)**

State or Territory bodies comprising representation from the industry parties responsible for providing advice to governments of industry training needs.

### **Key competencies**

Employment related general competencies that are essential for effective participation in the workplace. Now superseded by **Employability Skills**.

*From TAA04 Training and Assessment Training Package.*

### **Moderation**

A process which involves assessors in discussing and reaching agreement about assessment processes and outcomes in a particular industry or industry sector. It enables assessors to develop a shared understanding of the requirements of specific Training Packages, including the relevant competency standards and assessment guidelines, the nature of evidence, how evidence is collected and the basis on which assessment decisions are made.

*From AQTF 2007 Users' Guide to the Essential Standards for Registration.*

### **Monitoring** see **Audit**

### **National recognition**

Sometimes referred to as 'Mutual recognition' is;

- a. Recognition by an RTO of the AQF qualifications and statements of attainment issued by all other RTOs, thereby enabling national recognition of the qualifications and statements of attainment issued to any person.
- b. Recognition by each state and territory's registering body of the training organisations registered by any other state or territory's registering body and of its registration decisions.
- c. Recognition by all state and territory course-accrediting bodies and registering bodies of the courses accredited by each state or territory's course-accrediting body and of its accreditation decisions.

*From AQTF 2007 Users' Guide to the Essential Standards for Registration.*

### **Nationally Recognised Training**

Nationally recognised training means training and assessment, delivered by a Registered Training Organisation, which meets the requirements specified in national industry/enterprise Training Packages or accredited courses where no relevant Training Package exists.

### **National Skills Framework (NSF)**

The system of VET that:

- a. applies nationally
- b. is endorsed by the Ministerial Council for Vocational and Technical Education.

*From AQTF 2007 Users' Guide to the Essential Standards for Registration.*

### **National Training Framework (NTF)**

National Training Framework is made up of the Australian Quality Training Framework (AQTF), Australian Qualifications Framework (AQF) and Training Packages. The NTF is a nationally consistent, industry-led system designed to:

- provide high-quality skill outcomes to maintain individuals' employability and increase their productivity
- provide for nationally recognised qualifications, and
- improve the competitiveness of enterprises and the nation.

### **National Training Information Service (NTIS)**

National Training Information Service (NTIS) means the National Register for recording information about Registered Training Organisations (RTOs), Training Packages and accredited courses. Information held on the NTIS is searchable and publicly accessible via the Internet. The NTIS contains comprehensive information on endorsed Training Packages which have been approved by Ministers and includes full details of competency standards; a listing of National Quality Council noted support materials with contact source; details of Australian Qualifications Framework (AQF) accredited courses/qualifications; and contact details and scope of registration of all RTOs.

*Adapted from AQTF 2007 Users' guide Essential Standards for Registration.*

### **Partnerships**

Formal partnership assessment arrangements are the written agreements that are undertaken between a Registered Training Organisation (RTO) and other organisations or RTOs. Written agreements can take a number of forms, including:

- Memorandum of Understanding.
- Memorandum of Agreement.
- Service Agreement.
- Letter of Agreement.

These arrangements enable the partners to share for mutual benefit their resources, effort, time, cost, responsibility and expertise. The AQTF 2007 Essential Standards for Registration must be complied with by all partners.

### **Performance criteria**

Performance criteria are part of the format of a competency standard and comprise evaluative statements that specify the level of performance required to demonstrate achievement of the element. Some terms used in the performance criteria that may have a range of indicative meanings or applications are italicised and elaborated in the range statement.

*Adapted from TAA04 Training and Assessment Training Package.*

### **Professional judgement**

Professional judgment of the assessor is a critical element in the assessment process involving expert knowledge of the field, a deep understanding of underlying principles, accumulated experience in VET assessment practices including knowledge of recent advances in assessment methods, and mastery of the best available techniques and tools. It also includes participation in professional dialogue, critical self-reflection and the capacity to constructively critique own and peers' assessment practices.

*Adapted from Reframing the Future, Professional judgment in vocational education and training: A set of resources.*

### **Qualification**

Formal certification in the VET sector by an RTO that a person has satisfied all requirements of the units of competency or modules that comprise an AQF qualification, as specified by:

- a. a nationally endorsed Training Package, or
- b. an accredited course that provides training for that qualification

*From AQTF 2007 Users' guide Essential Standards for Registration.*

### **Range Statement**

Part of a competency standard, which sets out a range of contexts in which performance can take place. The range helps the assessor to identify the specific industry or enterprise application of the unit of competency.

### **Reasonable adjustment**

Reasonable adjustment is the process of adjusting or changing the assessment process to meet the needs and characteristics of the candidates being assessed and any equity requirements.

The determination of 'reasonableness' requires judgement that must take into account the impact on the organisation and the need to maintain the integrity of the unit of competency.

*From TAA04 Training and Assessment Training Package.*

### **Recognition**

Recognition is a term that covers Recognition of Prior Learning and Recognition of Current Competency which refer to recognition of competencies currently held, regardless of how, when or where the learning occurred.

Competencies may be attained in a number of ways. This includes through any combination of formal or informal training and education, work experience or general life experience. In order to grant recognition of prior learning/current competency the assessor must be confident that the candidate is currently competent against the endorsed industry or enterprise competency standards or outcomes specified in Australian Qualification Framework (AQF) accredited courses.

The evidence may take a variety of forms and could include certification, references from past employers, testimonials from clients and work samples. The assessor must ensure that the evidence is valid, reliable, sufficient, current and authentic, and meets all Training Package and workplace requirements.

*Adapted from AQTF 2007 Users' Guide to the Essential Standards for Registration.*

### **Recognition of Current Competency**

Recognition of current competency (RCC) applies if a client has previously successfully completed the requirements for a unit of competency or module and is now required (eg by a licensing authority) to be reassessed to ensure that the competence is being maintained. In this case no extra skill or competencies are nationally recognised.

### **Recognition of Prior Learning**

RPL involves the assessment of previously unrecognised skills and knowledge an individual has achieved outside the formal education and training system. RPL is an assessment process that assesses the individual's non-formal and informal learning to determine the extent to which that individual has achieved the required learning outcomes or competency standards.

### **Records of assessment**

The information of assessment outcomes that is retained by the organisation responsible for issuing the nationally recognised Statement of Attainment or qualification.

*From TAA04 Training and Assessment Training Package.*

### **Registered Training Organisation (RTO)**

Registered Training Organisation (RTO) means a training organisation registered in accordance with the Australian Quality Training Framework, within a defined scope of registration.

*From AQTF 2007 Essential Standards for Registration.*

### **Reporting assessment outcomes**

The different ways in which the outcomes of assessment processes are reported to the person being assessed, employers and other appropriate personnel or stakeholders. Assessment outcomes may be reported in a variety of ways including graded, non-graded, statistical or descriptive reporting systems.

*From TAA04 Training and Assessment Training Package.*

### **Scope of registration**

The particular services and products an RTO is registered to provide. The RTO's scope defines the specific AQF qualifications, units of competency and accredited courses it is registered to provide, and whether it is registered to provide:

- a. both training delivery and assessment services, and to issue the relevant AQF qualifications and statements of attainment; or
- b. only assessment services, and to issue AQF qualifications and statements of attainment.

*From AQTF 2007 Essential Standards for Registration.*

### **Self-assessment**

Self-assessment is a process that allows candidates being assessed to collect and provide evidence on their own performances against the competency standards. Self-assessment is often used as a pre-assessment tool to help the candidate and assessor to determine what evidence is available and where the gaps maybe.



### **Simulation**

Simulation is a form of evidence gathering that involves the candidate in completing or dealing with a task, activity or problem in an off-the-job situation that replicates the workplace context. Simulations vary from recreating realistic workplace situations such as in the use of flight simulators, through the creation of role plays based on workplace scenarios to the reconstruction of a business situation on a spreadsheet. In developing simulations, the emphasis is not so much on reproducing the external circumstance but on creating situations in which candidates are able to demonstrate:

1. technical skills
2. underpinning knowledge
3. generic skills such as decision making and problem solving
4. workplace practices such as effective communication.

*From TAA04 Training and Assessment Training Package.*

### **Statement of Attainment**

A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more units of competency from nationally recognised qualification(s)/course(s).

*From AQF Implementation Handbook.*

### **Training Package**

Training Package means an integrated set of nationally endorsed competency standards, assessment guidelines and Australian Qualifications Framework qualifications for a specific industry, industry sector or enterprise.

*From AQTF 2007 Essential Standards for Registration.*

### **Training Program Outline (TPO)**

A documented program of training and assessment required for an apprenticeship/traineeship training contract. It is developed by an RTO in consultation with the parties to the contract as the basis for training and assessing a person undertaking an apprenticeship or traineeship.

*Adapted from AQTF 2007 Essential Standards for Registration.*

### **Unit of competency**

Unit of competency means the specification of knowledge and skill and the application of that knowledge and skill to the standard of performance expected in the workplace.

*From AQTF 2007 Essential Standards for Registration.*

### **Validation**

A process for ensuring that the way a unit of competency or group of units is assessed, and the evidence collected through these assessments, is consistent with the requirements of the unit or group of units, of competency and of industry. It includes validating the assessment process, the assessment tools and instruments, the evidence collected using tools and instruments, and the interpretation of that evidence to make a judgement of competence in relation to the same unit(s) of competency.

Validation may be undertaken before, during and after the actual assessment activity occurs and may include both formative and summative assessment. The latter includes assessment for the purpose of granting RPL.

*From AQTF 2007 Users' Guide to the Essential Standards for Registration.*





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