



Guidelines for assessing competence in VET

5th Edition 2013



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DISCLAIMER as at March 2014: A number of changes are underway within the National Training Framework, including a transition to the new Standards for Training Packages to be implemented by the end of 2015. See http://www.nssc.natese.gov.au/training_packages.

As the transition to the new standards will vary according to each Industry Skills Council's timeline, these publications will continue to address the content of the previous Training Package model. It is anticipated that content related to the new standards will be incorporated into the publications as they become more widely adopted.

While every effort is made to maintain their accuracy, currency and usefulness, the publications are edited only once a year and may not remain current with changes implemented at state and federal level. The publications are accurate as at the date of publication shown on this page. If in doubt, please check the many websites referenced within each publication.

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Guidelines for assessing competence in VET

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Introduction

This publication provides practitioners and other stakeholders in the vocational education and training (VET) sector in Western Australia (WA) with information on the policies and processes involved in assessment.

This information has not been referenced to specific regulatory standards; however, it is based on current standards (the Australian Quality Training Framework [AQTF] and the Standards for National VET Regulator (NVR) Registered Training Organisations [SNRs]) and reflects good practice.

While the regulatory standards do 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.

Always check to ensure you are using the most recent version of the AQTF training package or other materials.

This publication is available in hard copy and can be downloaded from www.vetinfonet.dtwd.wa.gov.au.

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 (ITCs), group training organisations (GTOs) and employers may also find this document useful.

This publication consists of the following sections:

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

Section 1 – Assessment policy

This section provides a summary of the key assessment-related requirements of national and state VET policies with which RTOs must comply.

National and state assessment policies and frameworks

There are eight national and state policies which relate directly to assessment in VET. These policies establish the assessment requirements for RTOs operating in WA.

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, which are as follows:

The National Training Framework (NTF)

made up of –

1. the Australian Quality Training Framework (AQTF); and
2. training packages

Other national policies

3. the Australian Qualifications Framework (AQF)

State policies/guidelines

4. *Guidelines for assessing competence in VET* (ie this publication)
5. *Recognition of prior learning: An assessment resource for VET practitioners*
6. *Building diversity and equity in training 2010–2018: Equity is everybody's business*
7. *Reasonable adjustment: A guide to working with students with disability*

Policies for publicly funded RTOs in WA

8. VET fees and charges (current year) that apply to RTOs for training, and recognition of prior learning/current competencies (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 RTOs which need to access copies of the policies or further information.

Key assessment-related policies in summary

1. AQTF publications

- AQTF Essential Conditions and Standards for Continuing Registration
- AQTF Essential Conditions and Standards for Initial Registration
- AQTF Users Guide to the Essential Conditions and Standards for Continuing Registration
- AQTF Users Guide to the Essential Conditions and Standards for Initial Registration

Key function

To provide consistent and continuously improve quality assurance and recognition mechanisms for VET 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

These publications outline the requirements for delivery and assessment of nationally recognised training.

Further information

www.nssc.natese.gov.au/vet_standards

2. Training packages

Key function

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

Training packages are key resources for RTOs in the delivery of structured, nationally recognised training and assessment.

A training package states which 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 students.

Assessment aspects

The key assessment-related aspects of training packages are as follows.

Endorsed components

- national competency standards;
- national qualifications; and
- assessment guidelines.

There can also be related support materials which are not endorsed but may be noted by the National Skills Standards Council (NSSC) if they meet specified quality requirements.

Support materials may include:

- learning strategies;
- assessment resources; and
- professional development materials.

Further information

www.training.gov.au

3. Australian Qualifications Framework (AQF)

Key function

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

Assessment aspects

The framework specifies the characteristics of learning outcomes at each qualification level and explains the responsibilities for assessment and certification.

Further information

www.aqf.edu.au

4. Guidelines for assessing competence in VET

Key function

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

Assessment aspects

Assessment practices for RTOs are explained in these guidelines.

Further information

Go to www.vetinfo.net.dtwd.wa.gov.au.

5. *Recognition of prior learning: An assessment resource for VET practitioners*

Key function

To achieve consistent, high-quality provision of RPL services for VET in WA.

Assessment aspects

RPL is an assessment method designed to confirm and recognise the competencies an individual has obtained outside 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

Go to www.vetinfo.net.dtwd.wa.gov.au.

6. *Building diversity and equity in training 2010–2018: Equity is everybody's business*

Key function

To create a training sector which is capable of meeting the diverse learning needs of all Western Australians and gives due regard to differences in gender, ability, age, location, and social and cultural backgrounds.

Assessment aspects

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

Further information

<http://vetinfo.net.dtwd.wa.gov.au/VETpolicyandguidelines/Pages/AccessandParticipation.aspx>

7. *Reasonable adjustment: A guide to working with students with disability*

Key function

A practical guide for assessors to ensure students with disability have the best opportunity to have their competencies accurately recognised.

Assessment aspects

The *Disability Discrimination Act 1992* (DDA) requires RTOs to customise their services—including making reasonable adjustment to the provision of assessment services—to facilitate the successful participation of people with disability in education, training and employment.

The guide clarifies the concept of ‘reasonable adjustment’ and helps assessors to respond creatively to the individual challenges faced by students with disability while ensuring both a valid and reliable assessment.

Go to www.vetinfo.net.dtwd.wa.gov.au.

8. 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.

The ‘VET fees and charges in 2012’ policy can be located using the search function at www.trainingwa.wa.gov.au.

Key assessment policy requirements

Key assessment policy requirements for RTOs are summarised under the following 14 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 against which they assess.

2. National recognition

National recognition is a feature of the AQTF which allows an RTO that is registered in one state or territory to operate in another without having to undergo a further registration process. Qualifications and statements of attainment issued by any RTO are to be accepted and recognised by all other RTOs. (This was 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 where a standard level of credit or formal recognition is given to an individual who has previously achieved competence in a training or education environment.

3. RPL

The *Australian Qualifications Framework, First Edition July 2011* defines recognition of prior learning (RPL) as:

an assessment process that involves assessment of an individual's relevant prior learning (including formal, informal and non-formal learning) to determine the credit outcomes of an individual application for credit.

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Innovation, Science, Research and Tertiary Education.

4. Qualified assessors

RTO staff must be competent at the functions they perform in relation to training and assessment. 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.

The NSSC has determined that as of 1 July 2013, trainers must be able to demonstrate:

- vocational competencies at least to the level being delivered and assessed;
- how they are maintaining industry currency and their competence, and how they are continuing to develop their VET skills and knowledge; and
- that they have the minimum qualification – the TAE40110 Certificate IV in Training and Assessment or are able to demonstrate equivalent competencies.

Assessors must be able to demonstrate:

- their industry currency and vocational competencies at least to the level being delivered and assessed;
- how they are continuing to develop their VET knowledge and skills, and maintain their industry currency and competence as an assessor; and
- that they hold the TAE Assessor Skill Set or equivalence of competencies.

For more information, including on persons delivering training under supervision, go to www.nssc.natese.gov.au/news_and_events and select 'NSSC Communiqué 3 – December 2011'.

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 before enrolment.

The RTO's marketing and advertising identify 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, before enrolment, in clear and accessible language and through a range of methods, eg website information, fliers, advertising material, information sessions.

7. Delivery to overseas students

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

The Australian Skills Quality Authority (ASQA) is the national regulator for Australia's VET sector. This government authority regulates courses and training providers to ensure that nationally approved quality standards are met. Western Australian RTOs which deliver courses interstate or overseas are required to register with ASQA. Go to www.asqa.gov.au.

8. Assessment plans

RTOs should ensure that assessment plans are developed and provided to all students before their assessment. Students may appeal if they believe that the assessment has not been carried out in accordance with the assessment plan.

In the event of an appeal by the student, the assessment plan will be a key source document.

Workplace-based assessment must be negotiated between the RTO, the employer and the student. The RTO must ensure that any assessments occurring in the workplace are conducted in an environment with the appropriate facilities. (See '3. Workplace assessment checklist' in Part B of Section 4.)

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 student's competence.

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 provides similar outcomes for students 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-the-job and off-the-job components of training; and
- providing for the recognition of competencies no matter how or when they have been acquired.

Flexibility refers to the opportunity for students to negotiate certain aspects of their assessment, eg timing, with their assessor. All students should be fully informed (through the assessment plan) of the purpose of assessment, the assessment criteria, the methods and tools used, and the context and timing of the assessment.

Fair assessment does not advantage or disadvantage particular students or groups of students.

This may mean that assessment methods are adjusted for particular students (such as those with disabilities or cultural differences) to ensure that the methods do not disadvantage them because of their situation. An assessment should not place unnecessary demands on students which may prevent them from demonstrating competence. For example, an assessment should not demand a higher level of English language or literacy than that required to perform to the workplace standard outlined in the competencies being assessed. (See '1. Checklist for principles of assessment – validity, reliability, flexibility and fairness' in Part B of Section 4.)

There are legislative requirements that the principle of ‘reasonable adjustment’ be applied in the design of assessments. The assessment process should not prevent any persons from demonstrating their competence, skills or knowledge because the design of the assessment failed to take account of their limitations. Refer to the Department’s 2013 publication *Reasonable adjustment: A guide to working with students with disability*.

Assessment materials must also:

- comply with the relevant training package assessment guidelines;
- provide for holistic assessment, ie use a process that 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 ‘1. Checklist for principles of assessment – validity, reliability, flexibility and fairness’ in Part B of Section 4.)

10. Equity

RTOs need to ensure that access and equity principles are used in assessment as well as in training. The following guiding principles of the *Building diversity and equity in training 2010–2018: Equity is everybody’s business* policy should be adhered to.

- **Substantive equality in training**

Within the training sector, some individuals need to be treated differently in order to provide them with equality of access with the potential for equal outcomes.

- **Explicit recognition and response**

Explicit consideration and incorporation of the needs of individuals and communities must occur within the design, funding and evaluation of programs and delivery of services to maximise outcomes for individuals and to provide transparency and accountability.

- **Accessible learning and career pathways**

Pathways in and out at different points in the learning continuum and lifespan must exist to facilitate personal, educational, training and employment transitions.

- **Engagement through promotion**

Training opportunities must be presented in a way that allows priority groups to be aware of available opportunities and assure them of their capability to participate.

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 levels greater than those outlined in the competency standards being assessed.

Strategies for supporting and assessing workplace, distance and online students may be developed, implemented and reviewed to ensure continuous improvement.

(See ‘4. Assessment planning checklists’ in Part B of Section 4.)

11. Reporting and recording results

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

Qualifications and statements of attainment must identify the units of competency the student has attained, as well as meeting the other requirements noted in the 2011 first edition of the *Australian Qualifications Framework*. Qualifications and statements of attainment can be issued only for areas within the scope of delivery of the RTO.

Logos must be used in accordance with the Department of Innovation, Industry, Science, Research and Tertiary Education (DIISRTE) 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.

RTOs in WA must also comply with the guidelines for the use of the Training Accreditation Council (TAC) logo.

12. Student feedback and appeals processes

RTOs should ensure that students are provided with feedback that includes details of the assessment outcome, the reasons for the outcome, recommendations for further training, and the appeal and reassessment options.

RTOs should have an appeals process in place which allows students to challenge the assessment decision and be reassessed. A reasonable, non-refundable fee may be charged by the RTO to discourage frivolous appeals but it should not be so high that it prohibits appeals altogether.

It is the responsibility of the assessor undertaking the assessment to ensure that, in the event of an appeal, the evidence is kept in sufficient detail to enable an assessment decision to be reviewed. This could involve keeping a summary of the evidence presented by the student. (See '4. Evidence requirements' in Part A of Section 4.)

13. Continuous improvement and documentation

Assessment systems, like all other aspects of RTO operations, should incorporate ongoing monitoring and improvement processes. In particular, RTOs 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 the Department's 2013 publication *A guide to continuous improvement of assessment in VET*.)

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

RTOs should develop learning and assessment strategies which clearly detail 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 competency listed on the RTOs' scope, where full qualifications are not offered.

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 employers and students, and those new to the field.

Competence

In VET, individuals are considered 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 individuals participating in the training have the competence to undertake their work role to the standard expected in a range of employment situations.

How do we know if an individual is competent?

We know whether an individual is competent after they have completed an assessment that verifies that all aspects of the unit of competency are held and can be applied in an industry context. Just as learner drivers must demonstrate that they can drive a car by actually taking the examiner for a drive, so too must students demonstrate competence by undergoing an assessment process. Assessment may involve a variety of assessment methods.

Individuals can be assessed during their training, at the end of their training, or without even undertaking any training, eg if they believe that they are already competent.

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

Against which standards are students assessed?

Students are judged against competency standards (often called benchmarks) developed by industry to assess whether they are competent. A competency standard comprises individual units of competency that include the essential information needed to assess a student.

Some enterprises have developed specific competency standards for their businesses 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 help trainers and assessors.

What is competency based assessment?

This 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), on competency standards developed by relevant industry, enterprise, community or professional groups, or on 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 a student 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 competence in the particular competency standards being assessed and in the assessor's requirements set out in the regulatory standards and as determined by the NSSC. (See Communiqué 3 – December 2011, at http://www.nssc.natese.gov.au/news_and_events.)

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 students who believe that they are already competent?

If students believe that they are already competent, they can choose one of two forms of assessment. The first is known as recognition of prior learning (RPL) and the second—which they may have to undergo if, for licensing purposes, they have to confirm retention of competence—is called recognition of current competencies (RCC). Both of these assessment processes can lead to the issuing of a qualification or a statement of attainment, or to credit transfer into a training program.

The following definition of recognition of prior learning (RPL) is taken from the *Training Package Development Handbook*.

RPL is an assessment process that involves assessment of an individual's relevant prior learning (including formal, informal and non-formal learning) to determine the credit outcomes of an individual application for credit.

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Innovation, Science, Research and Tertiary Education.

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 students get?

After students have undergone assessment, they are deemed either '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 students 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 areas involving technical expertise, the training system involves some specific terminology. A glossary of terms is provided at the back of this publication to help you understand the most common training and assessment terms.

Section 3 – The assessment process

Introduction

This section is 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 an assessor needs, but rather an introduction to some of the key processes and documents to consider when planning and conducting assessments. Assessors who require more information or resources should refer to Sections 4 and 5 of this publication and the Department's 2013 publication *Designing assessment tools for quality outcomes in VET*.

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

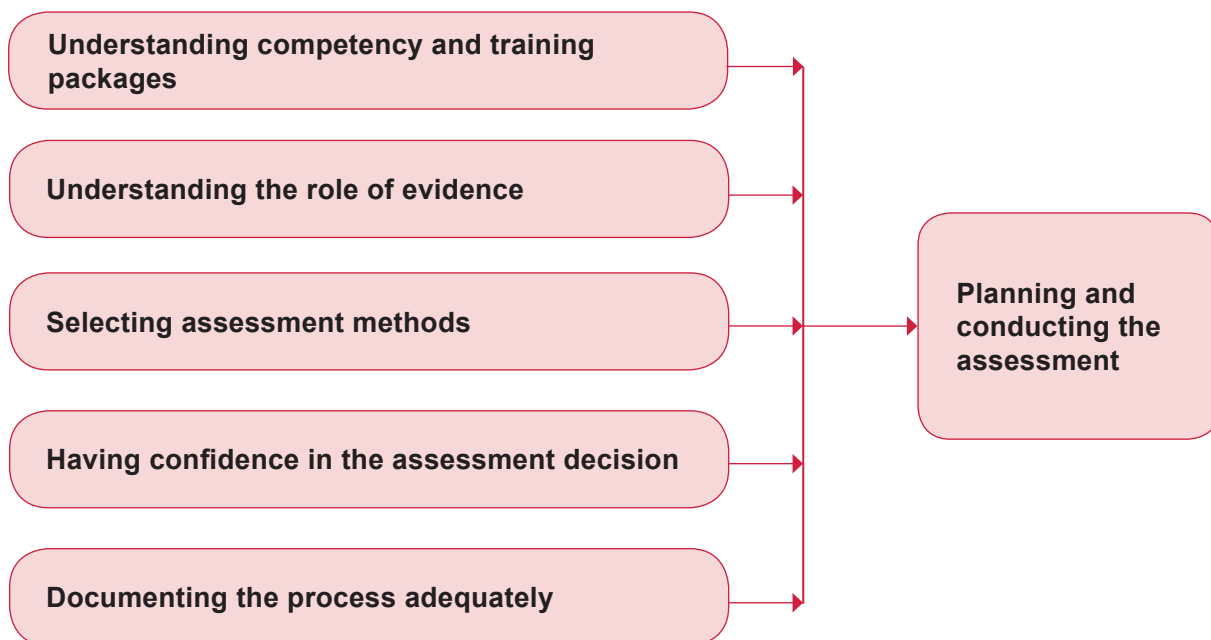


Figure 1: Issues covered in this section

Understanding competence and training packages

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

According to *VET Products for the 21st Century – Final Report of the Joint Steering Committee of the NQC and the COAG Skills and Workforce Development Subgroup – June 2009*, competency embodies the ability to transfer and apply skills and knowledge to new situations and environments. The report recommends that the following concepts be added into the definition of competency.

- It is demonstrated to the standards required in the workplace.
- It comprises the application of specified skills and knowledge relevant to that occupation.

- It makes appropriate reference to required generic and employability skills.
- It covers all aspects of workplace performance.
- It can be demonstrated consistently over time, and covers a sufficient range of experiences (including those in simulated or institutional environments).

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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), on competency standards developed by relevant industry, enterprise, community or professional groups, or on outcomes of accredited courses if there are no relevant nationally endorsed competency standards.

Competency comprises the following **four dimensions**:

- task skills – the capacity to perform tasks to the required standard;
- task management skills – the ability 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; and
- job/role environment skills – the capacity to deal with the responsibilities and expectations of the work environment, including working with others.

(See '1. Four dimensions of competency' in Part A of Section 4.)

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 its content are set out in Figure 3.

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

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 AQF levels. In general terms, Level 1 key competencies are required to undertake work activities, Level 2 is 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's qualifications, the design of assessment resources and the conduct of assessments. Issues of RPL are covered under this section in the assessment pathways material.

Most training packages offer a range of **qualifications** which may vary in 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 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 **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 assessors to gauge a reasonable range and level of performance to expect from a competent student.

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 resource materials, see Section 5 – Resources guide.)

Understanding the role of evidence

Evidence is the information gathered which, when matched against the requirements of the unit of competency, 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.

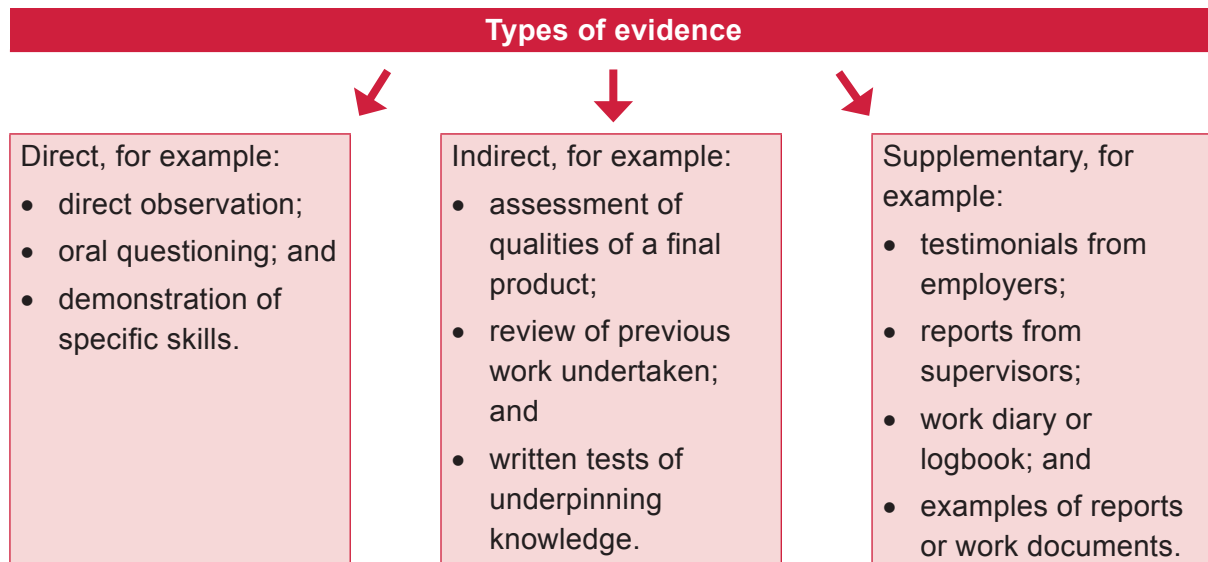


Figure 4: Different types of evidence

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

Rules of evidence	
Valid	<p>Relates to the unit(s) of competency appropriately.</p> <p>Reflects all four dimensions of competency.</p> <p>Provides evidence of employability skills.</p> <p>Is appropriate to the AQF alignment being assessed.</p>
Sufficient	<p>Provides enough evidence to make a judgement about the competence of the individual in relation to all four dimensions of competency.</p> <p>Meets all the evidence requirements for the unit of competency.</p>
Current	<p>Is recent enough to show that the skills and knowledge are still able to be applied to a current work situation.</p>
Authentic	<p>Is the student's own work (and procedures have been developed to ensure this).</p>

Figure 5: Rules of evidence

There are many potential sources of evidence and lots of methods and techniques for **gathering evidence**. Figure 6 provides a sample of the assessment methods with examples. (See 'Part B – Exemplars of assessment materials' in Section 4.)

Assessment methods	Example
Observation	Real work activities at workplace
Questioning	Self-evaluation form Interview Written questionnaire
Review of products	Work samples/products
Portfolio	Testimonials/references Work samples/products Training record Assessment record Journal/work diary/logbook Life experience information
Supplementary feedback	Interviews with, or documentation from employer, supervisor, peers
Structured activities	Project Presentation Demonstration Progressive tasks Simulation exercise such as role-plays

Figure 6: Assessment methods

A summary of the evidence presented by the student should be kept by the assessor in the event of an appeal. It is the responsibility of the RTO to establish guidelines for assessors on the minimum evidence recording requirements.

Selecting assessment methods and assessment tools

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

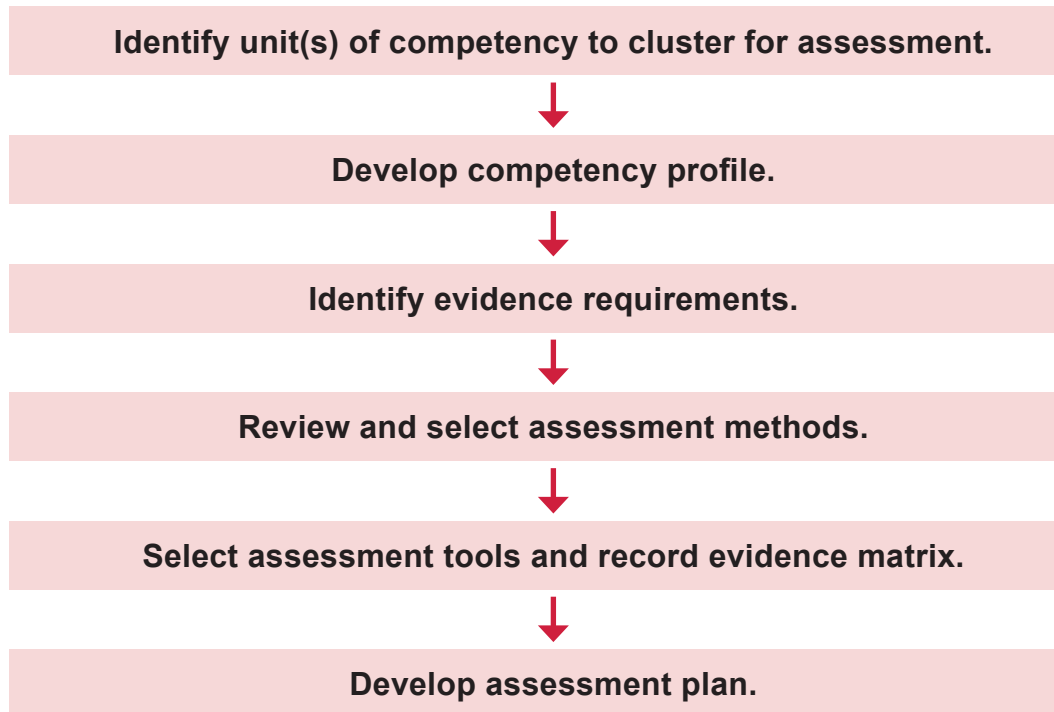


Figure 7: Process used to determine assessment methods

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 the one time.

A good assessment task may involve clustering a number of competencies to reflect a real work task or particular job role (see '2. Clustering units of competency for assessment' in Part A of Section 4). The degree to which a number of units can be clustered 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 the time, resources, facility and personnel available. 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 appropriate, may also result in reducing the time and cost of assessment.

Competency profile

Once the units of competency have been identified, the next stage is the development of a **competency profile** (see '3. Competency profile' in Part B of Section 4). A competency profile will provide an overall picture of a competent person in action. It can be a checklist, a written description of the work activity, a list of the characteristics of a competent worker or a job description for an individual performing 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. 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, it 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 evidence requirements.

Assessment methods

The list of evidence requirements is 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. (Refer to the Department's 2013 publication *Designing assessment tools for quality outcomes in VET*.)

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

Reasonable adjustment

It is at this stage that issues of **reasonable adjustment** for students' needs should be considered. For example, a student may have a disability which prevents them from 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 student still has the opportunity to demonstrate the competencies being assessed. (Reasonable adjustment is discussed in the Department's 2013 publications *Troubleshooting guide: Assessment in VET* and *Reasonable adjustment: A guide to working with students with disability*.)

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 student's needs and situation. (See '5. Guidelines for assessing distance students' and '6. Checklist for special needs of students' in Part B of Section 4.)

Assessment tools

Once the method has been 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 are the specific questions or activities 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 include the information/instructions given to the student and/or the assessor regarding the conditions under which the assessment is to 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 student, the key points to be observed and the performance issues to be considered by the assessor; and
- a proforma which includes a checklist for the key observation points and decision criteria, and a series of questions and a 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-evaluation forms or portfolio requirements. (See 'Part C – Assessment instruments and procedures/instructions' in Section 4 and refer to the Department's 2013 publication *Designing assessment tools for quality outcomes in VET*.)

All assessment materials should be flexible, fair, safe and cost-effective. (See 'Part B – Exemplars of assessment materials' in Section 4 and refer to the Department's 2012 publication *Reasonable adjustment: A guide to working with students with disability*.)

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

Evidence matrix

Once assessment methods and tools have been selected, it may be useful to do a mapping exercise to ensure that 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 assessors to ensure that evidence collected will be valid and sufficient.

Assessment plans

It is at this stage that an **assessment plan** can be developed (See '6. Assessment plan template' in Part A of Section 4.) Assessment plans are provided to students at the start of the training or assessment process. They can also be referred to in the case of an appeal.

Assessment plans should contain the following information:

- what will be assessed, ie the units of competency;
- how assessment will occur, ie the methods that will be used;
- when the assessment will occur;
- where the assessment will take place, ie the context of the assessment;
- the criteria for decision making, ie those aspects that will guide judgements; and
- where appropriate, any supplementary criteria used to make a judgement on the level of performance.

Ensuring the integrity of the assessment decision

Figure 8 shows 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 relate it holistically to the requirements of the unit(s) of competency. While the process of holistic assessment is encouraged, assessors must be confident that a student is demonstrating competence against the full unit(s) of competency. The assessor or assessment team must possess the relevant vocational competencies being assessed.

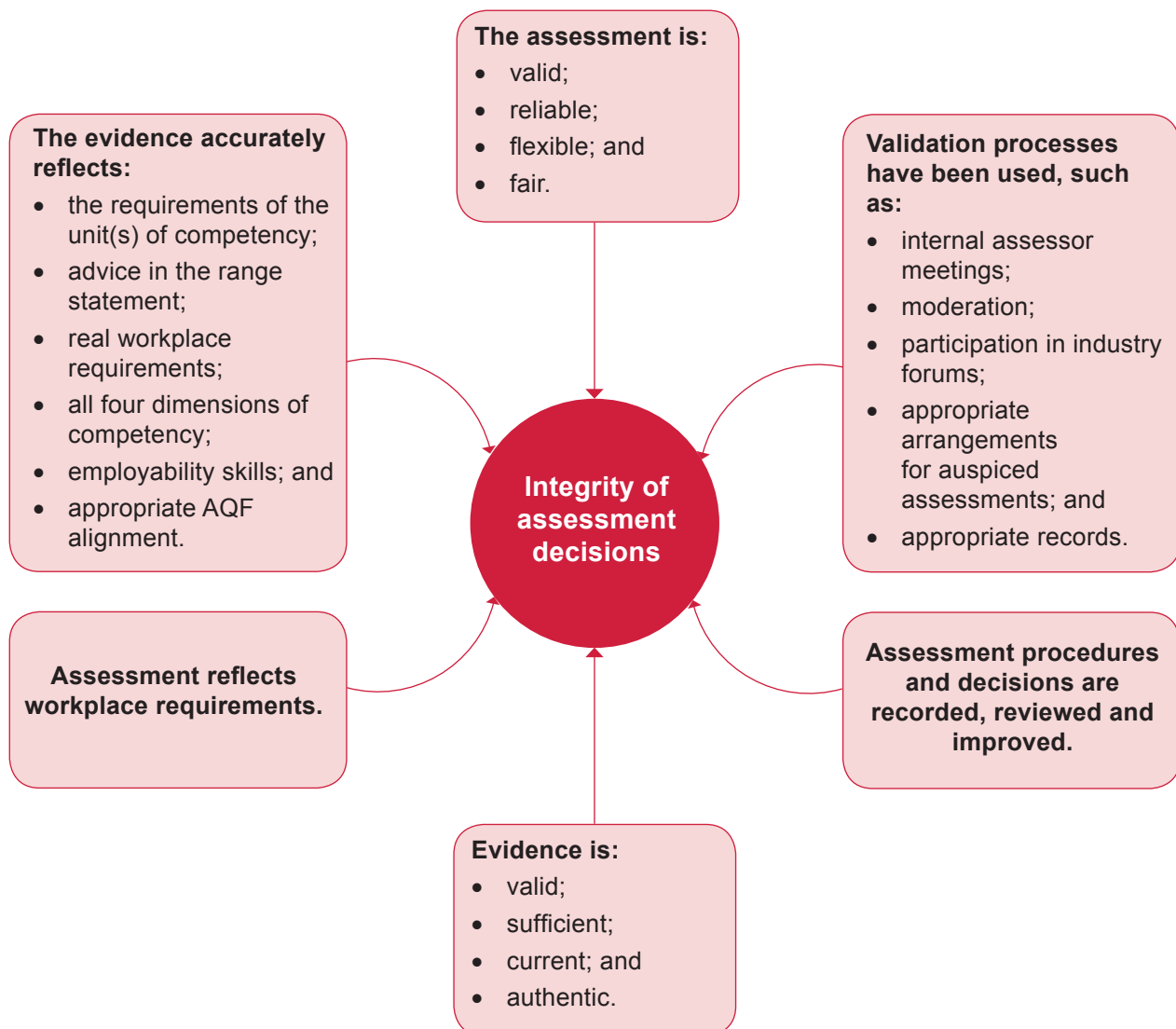


Figure 8: Factors maximising the integrity of assessment decisions

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 '2. Self-audit format – Internal audit checklist' in Part B of Section 4.)

Some examples of these documents are provided in Section 4 and more can be found in the resources in Section 5.

Documentation	Purpose
Copies of relevant training package	To be available to assessors for reference at all times. Currency should be verified through www.training.gov.au .
Competency profile	Prepared by assessor to assist in determining evidence requirements. See '3. Competency profile' in Part A of Section 4.
Materials, checklists or tools for collecting and analysing evidence	Developed or adapted by assessor to be used in the actual assessment activity. See 'Part B – Exemplars of assessment materials' in Section 4.
Assessment plan	Prepared by assessor and to be given to student in advance. See '6. Assessment plan template' in Part A of Section 4 and '4. Assessment planning checklists' in Part B of Section 4.
Record of evidence presented and samples of evidence collected	Collected and documented by assessor to corroborate assessment result, used in validation processes and in case of an appeal. See 'Understanding the role of evidence' and 'Planning and conducting the assessment activity' in this section and '7. Recording evidence' in Part A of Section 4.
Record and reporting of assessment decision	Documented by assessor, qualification/statement of attainment issued by RTO, results to be supplied to student by RTO, (See '7. Recording evidence' and '8. Reporting' in Part A of Section 4.)
Feedback checklist or proforma for student	To be completed by the assessor and given to the student during feedback discussion.
Appeals information	To be provided to the student at the beginning of the process by the assessor or delegated person within the RTO and during feedback discussion. See 'Appeals and complaints process' under 'Planning and conducting the assessment activity' in this section.

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.

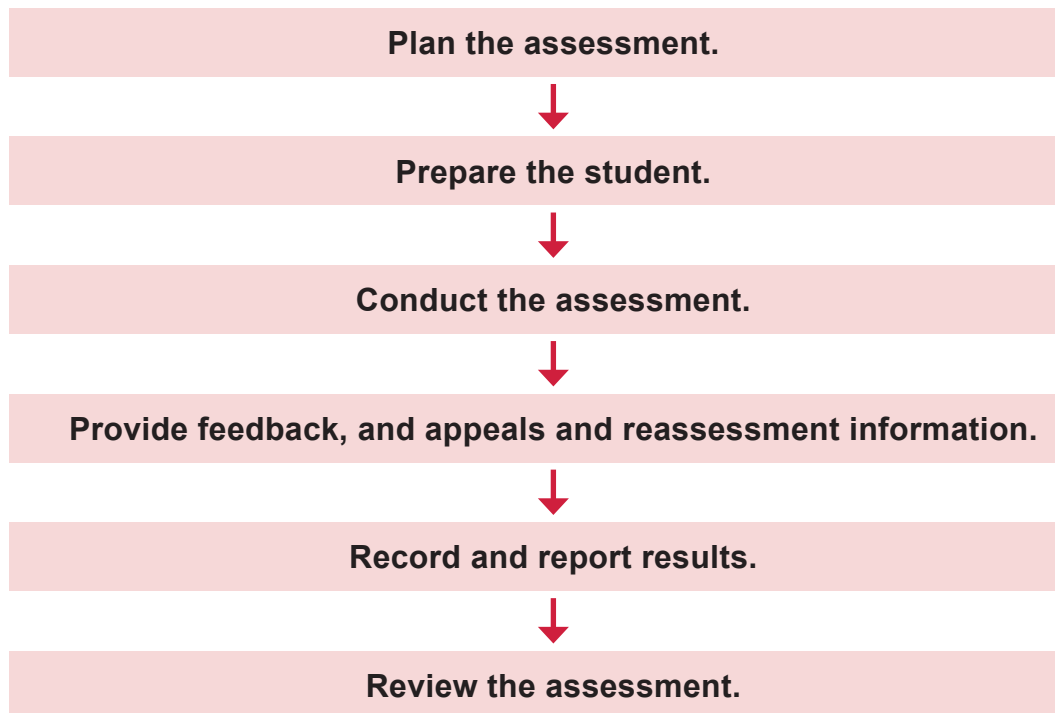


Figure 10: Steps in planning and conducting an assessment

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

- the student 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 upon with the student and other relevant parties;
- the needs of the student have been determined and any reasonable adjustments have been made to the assessment (See '5. Guidelines for assessing distance students' and '6. Checklist for special needs of students' in Part B of Section 4. Refer to the Department's publications *Troubleshooting guide: Assessment in VET* and *Reasonable adjustment: A guide to working with students with disability*.)
- all appropriate personnel have been advised of the assessment.

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

- the scope, context and purpose of assessment have been agreed upon with the student;
- the student has understood the assessment plan and any other appropriate documentation;
- the relevant performance requirements have been provided and explained to the student;
- the assessment procedure and expectations of the student have been clarified and agreed upon between the student and the assessor;
- any legal or ethical responsibilities associated with the assessment have been explained to the student and other relevant parties;
- the appeals process has been explained to the student;
- information has been conveyed using appropriate language and techniques to communicate effectively with the student and other relevant parties; and
- the need for any additional evidence gathering has been identified and the student has been informed.

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

- 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;
- if appropriate, assistance from more experienced assessors or industry experts is sought;
- the assessment decision is made in accordance with the specified criteria; and
- the decision is recorded appropriately, in accordance with RTO and other regulating processes.

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

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

Appeals and complaints process

RTOs should have an **appeals and complaints process** which allows students to challenge an assessment decision and enables them to be reassessed. The process should facilitate effective resolution of complaints and appeals. Some questions for RTOs to consider when developing appeals processes are as follows.

- Is the student clearly informed in a timely way about how to complain or appeal?
- Does the student have an opportunity to present his/her case?
- Does the student have access to an independent arbiter if necessary?
- Is the student 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 may be charged by the RTO to discourage frivolous appeals but it should not be so high that it prohibits appeals altogether.

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

- assessment results are recorded accurately and follow RTO record-keeping policies and procedures;
- confidentiality of assessment outcomes is maintained; and
- appropriate documentation, eg a training record book* for apprentices/trainees, is completed. Refer to the Department's 2012 publication *Apprenticeships and traineeships: Good practice guide for registered training organisations*.

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

- feedback on the assessment activity is sought from the student;
- 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; and
- appropriate validation processes are implemented.

*A training record book is no longer a mandatory requirement for apprentices/trainees.

Section 4 – Exemplar materials

Part A – Assessment and reporting

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

Additional examples and checklists can be found in Section 5 – Resources guide.

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 are elaborated upon in the range statement.) Then the unit is analysed to show all four dimensions of competency.

The unit **Conduct searches** is from the Correctional Service 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. Search environment and property	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</i> according to search procedures and safety considerations. 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. Search people	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 *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 students plan and integrate a number of potentially different tasks to achieve a complete work outcome.</i>
Assessor needs to collect evidence that the student can do the individual actions as well as the whole task.	Students should provide evidence that they can work efficiently to meet deadlines, handle a sequence of interrelated tasks and progress smoothly between tasks.
Conduct searches The task skills involve using search techniques and equipment for a range of activities, and seizing and reporting/recording unauthorised items.	Conduct searches The task management skills involve: <ul style="list-style-type: none"> • preparing for a search procedure and communicating this to others; and • monitoring and communicating actions to those being searched while conducting the search activity.
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>
Students 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.
Conduct searches Contingencies could include: <ul style="list-style-type: none"> • personal safety issues arising when a search impacts negatively on the offender or if resistance is offered; and • questioning during assessment indicating how the person would deal with this situation if it arose, for example: <ul style="list-style-type: none"> – What would you do if an offender refused to be searched by another of your team members and resisted his/her attempt to do so? – What would you do if you found an illegal item and an offender tried to take it from you and destroy it? 	Conduct searches Students must undertake this activity under strict procedures and protocols set out in the correctional facility's standard operating procedures (SOPs). [Element 1, performance criteria 1.3, 1.4, 1.5 and 1.6 and Element 2, performance criteria 2.2 and 2.3] 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]

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 Health Training Package, students provide evidence of competence 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:

- Maintain an effective health work environment;
- Provide leadership in promoting effective work practices in health;
- Implement and monitor compliance with legal and ethical requirements;
- Manage OHS processes;
- Improve OHS processes; and
- 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.

3. Competency profile

This example shows one way in which a competency profile can be developed.

Competency profile for the unit *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 percentage of 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).

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 the unit *Set out and assemble cabinets, showcases, wall units, counters and workstations*

Evidence requirements	Possible evidence-gathering technique
<ul style="list-style-type: none"> Materials are selected and prepared to design requirements for components. Length and joint details are transferred from set-out to component material and each checked in preparation for machining. Set-out material is marked for appropriate identification of components. 	<ul style="list-style-type: none"> A work-related practical task in a simulated environment where a number of different cabinetry specifications are provided and the student is required to select the necessary materials from a supplied inventory and mark them out to specification in preparation for machining components.
<ul style="list-style-type: none"> Drawer components are assembled to specifications, with bottoms fitted and fixed. Runner types for the drawers are determined and installed to specified dimensions and manufacturer's specifications. Drawers are installed with specified clearances and prepared for installation. 	<ul style="list-style-type: none"> 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.

Targeting evidence for the unit *Design and produce text documents*

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"> • View documents the student has recently produced. • The student produces one or more documents to specific requirements. • The student is aware of work cycles and the employer's requirements for business documents. • Check with supervisor or other clients to verify that the work samples are the student's own work.
Design documents to suit purpose, audience and information requirements of the task.	<ul style="list-style-type: none"> • The student explains how the designs for the documents were worked out. • View the documents the student has recently produced and match them with the audience for the document. • Ask the supervisor for feedback about design efficiency of student's work.
<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>Name document files and store them electronically and in hard copy as required in accordance with organisational requirements.</p>	<ul style="list-style-type: none"> • The student can explain the use and advantages of specific software features. • The student can demonstrate specific software features and use them appropriately in a variety of document layouts. • View the electronic files with document layout and embedded style features the student has produced. • View computer and hard-copy filing systems to see how the student organises and stores files. • Ask the supervisor for feedback about how the student follows organisational requirements for document storage.
Exit software applications without information loss/damage and self-manage tasks with appropriate online and other help resources used for solving problems.	<ul style="list-style-type: none"> • The student closes at least two active software applications and correctly saves data from each. • The student lists self-help resources that can be accessed and demonstrates how he/she used them. • The student demonstrates use of an online help resource for a given problem.
Use safe work practices to ensure ergonomic, work organisation, energy and resource conservation requirements.	<ul style="list-style-type: none"> • Observe the student's workstation. • The student describes and points out the application of safe work procedures.

5. Evidence matrix

The following is an evidence matrix with example entries for three tools for assessing a unit of competency from the MSA07 Competitive Manufacturing Training Package.

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

MSACMT671A Develop and manage sustainable environmental practices

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

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 WHS induction kit
Assessment method:	Group project
Assessor(s):	Jane Assessor (working with others to assess the kit)
Date of assessment:	# March 20##

Units of competency/elements to be assessed

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

Brief description of task

Students work in teams of three to create an induction kit for beginning workers in the industry which details the WHS practices 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's style guide;
- bank of images, eg for kit illustration; and
- documents containing WHS information which may be copied and pasted.

Instructions for students

Students receive detailed specifications of the content to be included in the induction kit and the style to be used.

7. Recording evidence

Proforma for recording assessment evidence

Name of RTO	
Student's name	
Assessed on	
Assessed by	
Against the following units of competency (code and title of each unit)	
has been assessed as having acquired the skills and knowledge for the following qualification/statement of attainment	
on the basis of the following evidence:	
Portfolio of evidence	Comment
Skills demonstration	Comment
Video/audio	Comment
Certificates	Comment
Reference	Comment
Other	Comment
Assessor's signature	
Date	

8. Reporting

The AQF provides suggested formats for both qualifications and statements of attainment. Further details on reporting can be found in the 2011 *Australian Qualifications Framework, First Edition* available at www.aqf.edu.au.

Suggested form – Qualifications

<p align="center">Name and logo of issuing body (for VET sector name of RTO and RTO code)</p> <p align="center">This is to certify that: <i>Jane Smith</i></p> <p align="center">has fulfilled the requirements for</p> <p align="center">Certificate IV</p> <p align="center">in</p> <p align="center">industry descriptor <i>eg Metals and Engineering</i></p> <p align="center">(Occupation stream) <i>(eg Fabrication)</i></p> <p align="center">Dated 30 September 2011</p> <p align="center">Authorised signatory</p> <p align="center">Issuing body</p> <p 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 align="center">(Where relevant: This qualification has been delivered and assessed in [insert language].)</p> <p align="center">The qualification certified herein is recognised within the Australian Qualifications Framework.</p>

The following examples are taken from the AQF's *Implementation Handbook, Fourth Edition*, 2007, available at http://www.aqf.edu.au/Portals/0/Documents/Handbook/AQF_Handbook_07.pdf.

Suggested form – Generic statement of attainment

Statement of attainment

A statement of attainment is issued by an RTO 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 only for accredited courses entitled ‘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 2011

Authorised signatory

Issuing body

Nationally Recognised Training logo

State/Territory Training Authority logo (optional)

The statement of attainment is recognised within the Australian Qualifications Framework.

Suggested form – Statement of attainment (Training package skill set that meets a licensing or regulatory requirement)

Statement of attainment

A statement of attainment is issued by an RTO 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

Marriage Celebrant Skill Set

CHCCEL404A Plan a marriage ceremony in line with legal requirements

This competency from the CHC08 Community Services Training Package meets the competency requirements of the Attorney General's Department for registration as a marriage celebrant.

(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 2011

Authorised signatory

Issuing body

Nationally Recognised Training logo

State/Territory Training Authority logo (optional)

The statement of attainment is recognised within the Australian Qualifications Framework.

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 an RTO 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 HLT07 Health Training Package 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 2011*

Authorised signatory

Issuing body

Nationally Recognised Training logo

State/Territory Training Authority logo (*optional*)

**The statement of attainment is recognised within the
Australian Qualifications Framework.**

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Part B – Exemplars of assessment materials

This 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 checklists;
5. Guidelines for assessing distance students; and
6. Checklist for special needs of students.

1. Checklist for principles of assessment – validity, reliability, flexibility and fairness

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

Validity	Yes/No	Comments
1. The assessment tasks are based on realistic workplace activities and contexts.	Y/N	
2. The evidence relates directly to the unit(s) of competency being assessed.	Y/N	
3. The instrument will assess the student'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	

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

Flexibility	Yes/No	Comments
1. The assessment approach can be adapted to meet the needs of all students and workplaces.	Y/N	
2. Where practical and appropriate, assessment will be negotiated and agreed between the assessor and the student.	Y/N	
3. Students will be able to have their previous experience or skills recognised.	Y/N	
4. The assessment strategy adequately covers both on the job and off the job components of the training.	Y/N	

Fairness	Yes/No	Comments
1. Students will be given clear and timely information on assessment.	Y/N	
2. Information for students 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.	Y/N	
3. Students will be included in discussions on the choice of assessment methods and timing.	Y/N	
4. Students will be made aware of their responsibilities with regard to assessment.	Y/N	
5. The assessment approach chosen caters for the language, literacy and numeracy needs of all students, while the integrity of the qualification is maintained.	Y/N	
6. The special geographic, financial or social needs of students have been considered in the development and conduct of the assessment.	Y/N	
7. Reasonable adjustments are made so that students 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 students.	Y/N	
9. There are mechanisms for appeal against assessment processes and decisions, and these will be provided to students before assessment.	Y/N	

2. Self-audit format

Internal audit checklist

Name of RTO	<i>Insert the name of the RTO.</i>
Qualification(s)	<i>Insert the scope of the sample audited, ie title of qualifications.</i>
Unit(s) of competency	<i>Insert the scope of the sample audited, ie title of units of competency reviewed.</i>
People interviewed	<i>Insert the names of the people interviewed in the process. These may be contact staff, assessors and/or students.</i>
Sites visited	<i>Insert the names of the sites visited.</i>
Date(s) of audit	<i>Insert the dates on which the audit was undertaken.</i>

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.	
Reviewer(s)	
Date	

Internal audit checklist

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

Evidence to be sourced	Yes/No	Action
Record keeping		
1. A secure system that includes: <ul style="list-style-type: none"> • enrolment details; • assessment outcomes; • information on appeals/grievances; and • qualifications/statements of attainment issued. 2. Adequate procedure for the transfer of data to relevant authorities to ensure integrity of the information, eg partnership arrangements, state/territory requirements. 3. An appropriate procedure for archiving data.	Y/N	
Marketing information		
Marketing material is accurate and ethical.	Y/N	
Qualifications/statements of attainment		
1. Qualifications/statements of attainment are: <ul style="list-style-type: none"> • issued regularly; and • accurate. 2. Evidence of information of national recognition.	Y/N	
Resources		
1. Appropriate learning and assessment: <ul style="list-style-type: none"> • resources; • equipment; and • facilities. 2. Compliance with all relevant legislative requirements.	Y/N	
Quality assurance strategies		
Processes for: <ul style="list-style-type: none"> • monitoring assessment outcomes; and • results of surveys/evaluations of assessment conducted and acted upon. 	Y/N	

3. Workplace assessment checklist

Name of enterprise	
Address	
Phone	
Fax	
Email	
Mobile	
Workplace supervisor	
Student	
Qualification/skill set	

- ☐ Contract of training – Training package and training program outline
- ☐ Communication arrangements between workplace, the Australian Apprenticeships Centre (AAC) and the RTO
- ☐ RTO's assessor's role
- ☐ Contact details for the RTO's assessor
- ☐ Workplace supervisor's role – evidence collection, training supervision
- ☐ Assessor's qualifications
- ☐ On the job assessment arrangements
- ☐ Off the job assessment arrangements
- ☐ RTO's 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 workplaces
- ☐ Special requirements of the workplace and/or the assessment

4. Assessment planning checklists

These assessment planning checklists will help in the planning of assessment activities.

Unit(s) of competency to be assessed

Date	Comments
Collect and analyse information	
Collect industry/training documentation, including: <ul style="list-style-type: none"> <input type="checkbox"/> training package and/or units of competency <input type="checkbox"/> assessment guidelines, resources <input type="checkbox"/> curriculum <input type="checkbox"/> other relevant documents. Define industry/training requirements, including: <ul style="list-style-type: none"> <input type="checkbox"/> type of enterprise <input type="checkbox"/> partnership references <input type="checkbox"/> cost structure for assessment. 	
Identify the purpose and what will be assessed	
Identify why students will present for assessment: <ul style="list-style-type: none"> <input type="checkbox"/> RPL <input type="checkbox"/> award of qualification/statement of attainment, licensing skill set. Define what to assess by: <ul style="list-style-type: none"> <input type="checkbox"/> analysing unit(s) of competency and evidence requirements <input type="checkbox"/> determining how best to cluster the competencies to be assessed <input type="checkbox"/> collecting logbooks and other supplementary evidence. 	

Date	Comments
Determine where assessment will take place	
<p>Determine where assessment will be carried out:</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>	
Identify how to assess	
<p>Identify techniques for collecting evidence, including:</p> <p><input type="checkbox"/> observation of performance</p> <p><input type="checkbox"/> oral or written questioning</p> <p><input type="checkbox"/> (integrated) project work</p> <p><input type="checkbox"/> group work/task</p> <p><input type="checkbox"/> written tests</p> <p><input type="checkbox"/> critical incident scenarios</p> <p><input type="checkbox"/> samples of work, eg log of experience, portfolio, journal, workbook</p> <p><input type="checkbox"/> certificates, documents, study reports</p> <p><input type="checkbox"/> surveys, reports from others</p> <p><input type="checkbox"/> role-play</p> <p><input type="checkbox"/> simulation.</p> <p>Consider other techniques, including:</p> <p><input type="checkbox"/> self-evaluation</p> <p><input type="checkbox"/> peer evaluation.</p>	

Date	Comments
Determine how evidence will be collected and recorded, including:	
<p>Determine evidence-gathering tools:</p> <ul style="list-style-type: none"> <input type="checkbox"/> a record <input type="checkbox"/> performance checklist with comments <input type="checkbox"/> knowledge checklist <input type="checkbox"/> checklist for integrated assessment <input type="checkbox"/> evaluation/marking guide for reports/projects <input type="checkbox"/> list of written and/or oral questions <input type="checkbox"/> self-evaluation and peer evaluation reports <input type="checkbox"/> evaluation guide and annotated models for work samples and/or performance <input type="checkbox"/> other proformas/templates. <p>Set up administrative procedures for:</p> <ul style="list-style-type: none"> <input type="checkbox"/> RPL <input type="checkbox"/> provision of feedback <input type="checkbox"/> recording and reporting of results <input type="checkbox"/> process for review and continuous improvement. 	
<p>Determine who will provide information for record keeping by the assessor/RTO:</p> <ul style="list-style-type: none"> <input type="checkbox"/> student <input type="checkbox"/> supervisor/mentor/trainer <input type="checkbox"/> assessor <input type="checkbox"/> other person. 	
Define the type and level of integration	
<p>Where partnership arrangements exist, set up agreements that define who will make assessment judgements:</p> <ul style="list-style-type: none"> <input type="checkbox"/> RTO alone <input type="checkbox"/> RTO in partnership with industry <input type="checkbox"/> RTO in partnership with school(s). 	

5. Guidelines for assessing distance students

Many assessors believe that the possible methods of assessment for distance students are very limited. However, this is not necessarily the case. Distance students, whether learning through online training or some other form of learning, can undertake many of the assessment activities undertaken by other students. 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 students and the issues to consider when assessing them.

Evidence-gathering techniques	Issues to consider for distance learners
Observation	<ul style="list-style-type: none"> • Involve third party in undertaking observation using observation tool. • Supplement with oral questioning (by phone) or other forms of evidence. • Assessor can travel to student for observation/verification and feedback on a range of evidence collection. • Use information and communication technology (ICT), eg webcam, blogs.
Simulation	<ul style="list-style-type: none"> • Provide written case study for short-answer responses and oral questioning. • Use video camera or video internet technology if available for role-plays or simulations.
Questioning	<ul style="list-style-type: none"> • Use computer technology, written answers or phone. • Authenticate written answers through use of third party and/or phone discussions.
Review of products	<ul style="list-style-type: none"> • Work samples or products can be posted to assessor. • Draft versions can be sent in advance to help with authentication.
Portfolio	<ul style="list-style-type: none"> • Portfolio evidence can be posted or emailed to the assessor. • Proposed content and layout can be sent in advance to assist with authentication.
Third-party feedback	<ul style="list-style-type: none"> • Can be obtained through phone, post or email with third party.

Evidence-gathering techniques	Issues to consider for distance learners
Structured activities	<ul style="list-style-type: none"> • Presentations can be made to workplace or community and then video sent to assessor. • Students can negotiate with workplace supervisor to undertake specified project team activities.
Knowledge-based tests	<ul style="list-style-type: none"> • These can be undertaken online with additional evidence collected to establish authenticity. • Third party can be involved to establish authenticity and ensure that student completes test in appropriate time and environment. • Short-answer 'open book' tests can be undertaken, supplemented by other forms of evidence to show consistency of competence over time.
Self-evaluation	<ul style="list-style-type: none"> • Increased use of formative assessments, such as online self-evaluations can be used to better establish the student's readiness for assessment and to enhance the assessor's ability to establish authenticity of evidence collected for the assessments.

6. Checklist for special needs of students

Assessment procedures, tools and materials can be adapted to ensure that the needs and situations of specific students 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 student'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 student live in a remote location? 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.
 - Students in custodial situations may require assessments to be reworked to enable them to demonstrate their competencies in their particular situation.
 - If a student has to travel to a metropolitan area for an assessment, the additional costs and stress involved in this need to be considered.
- Does the student speak a language other than English or a dialect other than standard English?
- Does the assessment procedure require the student to use language, literacy or numeracy skills beyond those required for performance in the workplace?
- Does the assessment involve anything that may be contrary to, or uncomfortable because of, a student'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.
 - Students from some cultural backgrounds may not understand assessments based on hypothetical situations or role-plays.
 - Some students may benefit from the presence of a support person while being assessed, eg someone from their family or community.
 - Students 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 student.
 - Students from some cultural backgrounds may consider it inappropriate to make 'an educated guess' and therefore fail to complete certain types of knowledge-based tests like multiple choice or true/false tests.
 - Students 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-evaluations or oral questioning.
 - Students' religious beliefs may not allow them to undertake certain activities.
- Does the assessment procedure involve assessing the student in front of others in a situation that may be stressful, eg women in a male environment?

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

Part C – Assessment instruments and procedures/instructions

For detailed information and further examples of assessment tools for all assessment methods, see the Department's 2013 publication *Designing assessment tools for quality outcomes in VET*.

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; and
- 4 evidence compiled by student.

1. Direct observation

Supporting questions for a cluster of units of competency

The following questions to support an observation are based on a cluster of units from the Correctional Service Training Package.

They are:

- Communicate effectively;
- Prepare reports;
- Maintain security;
- Contribute to workplace safety;
- Promote cooperative behaviour;
- Conduct interviews;
- Supervise offenders; and
- 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 Service

Student's name	Meredith Truscott	Student ID	
Lecturer's name	Mervyn Smoker	Mobile no	
Course	Correctional Service Training Package	Home no	
Units of competency	<ul style="list-style-type: none"> • Communicate effectively • Prepare reports • Maintain security • Contribute to workplace safety • Promote cooperative behaviour • Conduct interviews • Supervise offenders • Respond to medical emergencies 		
Name of workplace	Sandy Bay Facility		
Assessment date	# March 20##		
Questions to be answered by the student			Satisfactory response
			Yes ✓ No ✕
Q1	What would you do if you lost contact with other officers during a critical search situation? (contingency management skills)		
Response: 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)		
Response: Check the offender's vital signs, assess the nature of the medical condition, attempt resuscitation if necessary 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)		
Response: My primary functions are recording interview responses, cooperating with and assisting the interviewing officer with details about the interviewee as required. I simultaneously draft interview outcomes for reporting to supervisors for further action.			✓
The student's knowledge was:		Not satisfactory	Satisfactory
Feedback to student			
Task skills are satisfactory and student is able to identify how to manage most unusual circumstances that may arise. However, the student has insufficient knowledge of the correct procedures for responding to a medical emergency with an offender and this could jeopardise her safety and wellbeing.			
Student's signature		Date	
Lecturer's signature		Date	

2. Oral questioning

Sample recording sheet for oral questioning

Student's name	Jenny Ngo		
Unit of competency	Work effectively with older people		
Element 1	Demonstrate an understanding of the structure and profile of the aged care sector		
Element 2	Demonstrate a commitment to the philosophy of positive ageing		
Workplace/RTO	Pennyroyal Centre		
Conditions	Questions following observation at a 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	To whom do you have a duty of care?	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 that 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 towards aged care clients occurring at this centre?	Y
Note: Not all performance criteria in Elements 1 and 2 are covered in these questions.			
The student's knowledge was:		Not satisfactory	Satisfactory
Assessor's signature			Date
Feedback to student <p>The student 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.</p> <p>The student 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.</p>			
Acceptable answers <p>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.</p> <p>Q2 Customers, self, co-workers, others around you at work, other service providers, etc.</p>			

3. Structured assessment activity

Sample workplace project

Project instructions

This project will allow you to demonstrate competence in the unit **Stimulate children's development**. It addresses the following three 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; and
- Element 3 – Facilitate children's play and leisure.

How to prepare

In consultation with your supervisor, help to set 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.

How to perform

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

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-evaluation

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

- How would you determine whether the play and leisure environment was safe?
- What steps did you take to make the environment non-threatening?
- How did you make the environment stimulating for the children?
- Did the environment challenge the children?
- What would be an appropriate range of experiences sufficient for the child to make choices? How did your interactions with children support their 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.

4. Evidence compiled by student

Sample portfolio instructions

Portfolio for	Design and produce business documents
Due date	# March 20##
Description of the portfolio	a collation of relevant business documents designed by the student

General overview

The portfolio should include samples of non-confidential business documents you have produced or edited within the last six months. You must also include supporting materials. 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; and
- 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 you determined the design and layout of the document;
- the reasons for the specific equipment and software features you used; and
- the resources you used in preparing the documents.

Portfolio contents

Contents will include:

- paper and electronic files 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; and
- 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 and include samples of work you perform 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.

Sample portfolio evaluation form

Evaluation of portfolio contents

Student's name	Susanne Squires		
Unit	Supervise laboratory operations in work/functional area		
Workplace	Labskill		
Assessor's name	Mario Agento		
Requirements of the unit of competency The contents of the portfolio provided satisfactory evidence of the student's ability to:	Yes	No	
• 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; and	✓		
• 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 résumé);			
• 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; and			
• training plan for laboratory staff appears to have no needs analysis.			
Additional evidence is required in the following areas:			
• budgeting laboratory functions (annual and quarterly reports);			
• written communication with peers and supervisors (letters and memos);			
• implementing safe working arrangements (proposals and reports); and			
• motivating and counselling laboratory personnel (third-party report from team member).			
Assessor's signature		Date	

Section 5 – Resources guide

Introduction

This section provides details of useful resources for trainers, assessors and other parties involved in competency based assessment.

These resources are under the following three headings.

- 1 Websites providing ongoing information relevant to competency based assessment;
- 2 Resources on particular aspects of assessment; and
- 3 Organisations providing information or assistance on assessment.

1. Websites providing ongoing information relevant to competency based assessment

Australian Qualifications Framework

www.aqf.edu.au

Department of Training and Workforce Development

Policies, information on training and professional development activities and useful links, eg to Training Councils (TCs).

www.dtwd.wa.gov.au

Innovation and Business Skills Australia (IBSA)

The Industry Skills Council (ISC) responsible for maintaining the Training and Assessment Training Package.

www.ibsa.org.au

Training Accreditation Council

The registering and accreditation body in WA.

www.tac.wa.gov.au

training.gov.au (TGA)

Provides comprehensive national training information on training packages, registered training providers, qualifications, accredited courses, skill sets and units of competency.

<http://training.gov.au>

2. Resources on particular aspects of assessment

Publications and resources

Australian Qualifications Framework Implementation Handbook

2007, 4th edn, page 91 – section entitled ‘Recognition of prior learning: National principles and operational guidelines for recognition of prior learning (RPL)’,
www.aqf.edu.au/Portals/0/Documents/handbook/AQF_Handbook_07.pdf

Department of Industry, Innovation, Science, Research and Tertiary Education (DIISRTE)

www.innovation.gov.au

Responsible for policy, national strategies and Commonwealth funding for all education and training sectors.

Flexible Learning Toolboxes

<http://toolboxes.flexiblelearning.net.au>

Toolboxes are high-quality, cost-effective, interactive e-learning and assessment resources featuring scenarios, images and activities. They are designed for use by training providers, industry and business, and support online delivery of recognised training packages for the VET sector.

Toolbox materials come in two formats:

- an integrated learning program incorporating a number of units of competency – available on a CD-ROM for installation on a server or for use on a stand-alone computer; and
- a learning object format allowing users to download smaller, self-contained components of content for free (learning objects generally support an element or unit of competency).

TAE40110 Certificate IV in Training and Assessment

From the TAE10 Training and Assessment Training Package Qualification required by VET trainers and assessors, available from www.training.gov.au. (Put in the course code TAE40110.)

Standards for Training Package

www.nssc.natese.gov.au/training_packages/standards_and_policies

Policy and guidance for those developing training packages, including the assessment information that needs to be included in the package – available from the National Skills Standards Council.

Vocational Education and Training Assessment Services (VETASSESS)

A provider of assessment and educational consultancy services to the VET sector, it has a range of assessment tools and publications, including guidelines for:

- observing learners;
- designing tests;
- practical tasks and projects;
- portfolio assessment; and
- designing assessment resources.

A: Level 4, 478 Albert Street, East Melbourne, Victoria 3002

W: www.vetassess.com.au

T: (03) 9655 4801

E: vetassess@vetassess.com.au

3. Organisations providing information or assistance on assessment

Industry Skills Councils

There are eleven Industry Skills Councils (ISCs) covering all major industry sectors and details of activities for all ISCs can be found at www.isc.org.au.

All contact details for ISCs can be found at www.isc.org.au/contact.php.

AgriFood Industry Skills Council

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

Community Services & Health Industry Skills Council

Training packages include Health and Community Services.

Construction and Property Services Industry Skills Council

Training packages include Asset Maintenance; Construction; Plumbing and Services; and Property Services.

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

Training packages include Electrotechnology; Electricity Supply Industry (Generation); and Electricity Supply Industry (Transmission, Distribution and Rail; Gas).

ForestWorks Industry Skills Council

Training packages include Forest and Forest Products; and Pulp and Paper Manufacturing.

Government Skills Australia

Training packages include Correctional Service; Local Government; Public Safety; Public Sector; and Water Industry.

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

Training packages include Business Services; Entertainment, Screen and Media; Financial Services; Information and Communication Technology; Museum and Library/Information Services; Music; Printing and Graphic Arts; Telecommunications; Training and Assessment; Visual Arts; and Craft and Design.

Manufacturing Industry Skills Council (Manufacturing Skills Australia)

Training packages: include Aeroskills; Automotive Manufacturing; Automotive Industry; Retail; Service and Repair; Chemical Hydrocarbons and Oil Refining; Furnishing; Laboratory Operations; Manufacturing; Plastics, Rubber and CABLEmaking; Manufactured Mineral Products; Metal and Engineering; Textiles; Clothing; and Footwear.

Resources and Infrastructure Industry Skills Council (SkillsDMC)

Training packages include Resources and Infrastructure encompassing Civil Construction; Coal; Drilling; Extractive and Metalliferous Mining.

Services Industry Skills Council (Service Skills Australia)

Training Packages include Beauty; Community Recreation; Fitness; Floristry; Funeral Services; Hairdressing; Outdoor Recreation; Retail; Sport; Tourism, Hospitality and Events; and Woolworths.

Transport & Logistics Industry Skills Council Ltd

Training packages include Aviation; Maritime; Transport; and Logistics.

WA Training Councils (TCs)

All contact details for TCs can be found at www.vetinfo.net.dtwd.wa.gov.au.

Community Services, Health & Education Training Council Inc

Construction Training Council

Creative and Leisure Industries Training Council Inc (FutureNow)

Electrical, Utilities & Public Administration Training Council Inc

Engineering & Automotive Training Council Inc

Financial, Administrative & Professional Services Training Council Incorporated

Food, Fibre & Timber Industries Training Council (WA) Inc

Logistics Training Council

Resources Industry Training Council

Retail & Personal Services Training Council

Section 6 – Useful resources

Department of Training and Workforce Development publications

A guide to continuous improvement of assessment in VET

Apprenticeships and traineeships: Good practice guide for registered training organisations

Building diversity and equity in training 2010–2018: Equity is everybody's business
available at

<http://vetinfo.net.dtwd.wa.gov.au/VETpolicyandguidelines/Pages/AccessandParticipation.aspx>.

Designing assessment tools for quality outcomes in VET

Reasonable adjustment: A guide to working with students with disability

Recognition of prior learning: An assessment resource for VET practitioners

Staying the course: A guide to working with students with mental illness

Troubleshooting guide: Assessment in VET

For electronic (PDF and Word) copies go to www.vetinfo.net.dtwd.wa.gov.au.

Section 7 – Abbreviations and glossary

Abbreviations

AAC	Australian Apprenticeships Centre
AQF	Australian Qualifications Framework
AQTF	Australian Quality Training Framework
ASQA	Australian Skills Quality Authority
CALD	culturally and linguistically diverse
CRICOS	Commonwealth Register of Institutions and Courses for Overseas Students
DDA	<i>Disability Discrimination Act (1992)</i>
DEEWR	Department of Education, Employment and Workplace Relations
DIISRTE	Department of Innovation, Industry, Science, Research and Tertiary Education
GTO	group training organisation
ISC	Industry Skills Council
ITC	Industry Training Council
LIMS	laboratory information management system
NQC	National Quality Council
NRT	nationally recognised training
NSF	National Skills Framework
NSSC	National Skills Standards Council
NTF	National Training Framework
RCC	recognition of current competencies
RPL	recognition of prior learning
RTO	registered training organisation
SOPs	standard operating procedures
TAC	Training Accreditation Council
TC	Training Council
TGA	training.gov.au
TPDH	<i>National Quality Council Training Package Development Handbook</i>
VET	vocational education and training
VETASSESS	Vocational and Education Training Assessment Services

Glossary

Accreditation

The process of formal recognition of a course by the state or territory course accrediting body in line with the 2007 publications *AQTF Standards for State and Territory Registering Bodies* or *AQTF Standards for State and Territory Course Accrediting Bodies*.

Accredited course

A structured sequence of VET that has been accredited by a state's or territory's course accrediting body and leads to an AQF qualification or statement of attainment.

Appeals process

A course of action taken by a client of an RTO or other interested party where a decision made by the RTO is disputed. This may be regarding an assessment decision or any other aspect of an RTO's operations.

Apprenticeship

A structured employment-based training program that leads to apprentices/trainees gaining a nationally recognised qualification. Apprenticeships (including traineeships, cadetships and internships) may be full time, part time or school based.

Refer to the list of apprenticeships available at www.dtwd.wa.gov.au/apprenticentre.

Assessment

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.

Assessment context

The environment in which an assessment is carried out, including physical and operational factors, the assessment system within which the 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.

Assessment guidelines

An endorsed component of a training package which underpins assessment and sets out the industry approach to valid, reliable, flexible and fair assessment, including the assessment system overview, assessor's requirements, designing assessment resources, conducting assessment and sources of information on assessment.

Assessment judgement

The assessor's evaluation of whether the evidence gathered is valid, sufficient, current and authentic in order to make the assessment decision using professional judgement when evaluating the available evidence about:

- the quality of evidence gathered using the assessment methods/tools; and
- whether, based on that evidence, competence has been achieved.

Assessment materials

Any resources that help in any part of the assessment process, including information for the student or assessor, assessment tools or resources for the quality assurance arrangements of the assessment system.

Assessment method(s)

The particular techniques used to gather different types of evidence, including methods or techniques such as questioning, direct observation, structured activities, third-party feedback, evidence compiled by the student and review of products.

Assessment plan

The overall planning document for the assessment process which comprises 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 as well as physical and material resources and equipment, and other relevant information.

Assessment process

The agreed series of steps a student takes within the enrolment, assessment, recording and reporting cycle which best suits the needs of all stakeholders and is both efficient and cost-effective.

Assessment strategy

The approach to assessment and evidence gathering used by the assessor or RTO, it encompasses the assessment process, methods and assessment tools.

Assessment system

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.

Assessment tool

A tool which contains both the instrument and the instructions for gathering and interpreting evidence:

- instrument(s) – the specific questions or activities 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); and
- procedures – the information/instructions given to the student and/or the assessor regarding conditions under which the assessment should be conducted and recorded.

Audit

An independent, planned, systematic and documented process used to assess an RTO's compliance against the regulatory standards in jurisdictions.

An RTO can conduct internal audits to assess its compliance with the standards and its own policies and procedures as part of its continuous improvement process.

Australian Qualifications Framework (AQF)

The following description of the AQF appears on their homepage at www.aqf.edu.au.

The Australian Qualifications Framework (AQF) is the national policy for regulated qualifications in Australian education and training. It incorporates the qualifications from each education and training sector into a single, comprehensive, national qualifications framework.

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Innovation, Science, Research and Tertiary Education

Australian Quality Training Framework (AQTF)

The nationally agreed recognition arrangements for the VET sector, including the essential standards for recognition RTOs must meet in order to deliver and assess nationally recognised training, and issue nationally recognised qualifications.

Competence

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

Competency standard

Defines the competency required for effective performance in the workplace, it is expressed in outcome terms and has 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. [See also 'Unit(s) of competency'.]

Client

In the regulatory standards, the term 'client' means learner, enterprise or organisation which uses or purchases the services provided by the RTO.

Clustering

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

Collaborative assessment arrangements

Agreements between an RTO and other organisations (including other RTOs) which enable the partners to share (for mutual benefit) their resources, time, costs, responsibility and expertise in the provision of training and/or assessment services.

Contextualisation

The addition of industry-specific information to a unit of competency to reflect the immediate operating context thus increasing its relevance, it must be guided by the National Skills Standards Council *Standards for Training Packages* and the relevant training package contextualisation guidelines.

Delivery and assessment strategies

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

Dimensions of competency

These include 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; and
- job/role environment skills.

Element

A basic building block of a unit of competency, it explains the tasks that make up the broader function or job as described by the unit and specifies the critical outcomes to be achieved in demonstrating competence.

Employability Skills Framework

A publication which identifies the generic skills required for satisfactory performance of a task or activity in the workplace, namely:

- communication skills;
- teamwork skills;
- problem-solving skills;
- initiative and enterprise skills;
- planning and organising skills;
- self-management skills;

- learning skills; and
- technology skills.

Employability skills facets

Specific examples of skills and behaviours which contribute to the overall application of a particular employability skill, the nature, emphasis and context of which will vary from one industry and application to the next. Together with employability skills, they are referred to as the *Employability Skills Framework* and trainers/assessors are required to design learning and assessment approaches that encompass the facets embedded in units of competency.

Evidence and ‘quality’ evidence

Information gathered which, when matched against the performance criteria, provides proof of competence. It can take many forms and be gathered from a number of sources. It is often categorised by assessors in different ways, for example:

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

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

Evidence-gathering tool

See ‘Assessment tool’.

Evidence guide

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

Evidence plan

This forms part of the documented assessment plan and details the evidence requirements of the assessment, information regarding who will collect the evidence and the time period involved.

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; also includes online strategies.

Holistic/integrated assessment

An approach to assessment that covers the clustering of many units/elements from relevant competency standards, it focuses on the assessment of a 'whole-of-job' role or function that draws on a number of units/elements of competency; also integrates the assessment of the application of knowledge, technical skills, problem solving and demonstration of attitudes and ethics.

Industry Skills Council (ISC)

The national industry body responsible for the development and maintenance of national training packages.

Key competencies

Employment-related general competencies essential for effective participation in the workplace; now superseded by employability skills.

Moderation

The following definition appears in the National Quality Council's publication, *Implementation Guide: Validation and Moderation 2009*.

Moderation is the process of bringing assessment judgements and standards into alignment. It is a process that ensures the same standards are applied to all assessment results within the same Unit(s) of Competency. It is an active process in the sense that adjustments to assessor judgements are made to overcome differences in the difficulty of the tool and/or the severity of judgements.

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Monitoring

See 'Audit'.

National recognition

Referred to previously as 'mutual recognition', it can be 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;
- by each state's and territory's registering body of the training organisations registered by any other state or territory's registering body and of its registration decisions; and
- by all states' and territories' course accrediting bodies and registering bodies of the courses accredited by each state's or territory's course accrediting body and of its accreditation decisions.

National Training Framework (NTF)

A framework made up of the regulatory standards, namely the AQTF or the VET Quality Framework, the AQF and training packages, it 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.

Partnerships

The written agreements undertaken between an RTO and other organisations (including other RTOs) which can take a number of forms, including:

- memorandum of understanding;
- memorandum of agreement;
- service agreement; and
- letter of agreement.

These arrangements enable the partners to share (for mutual benefit) their resources, effort, time, cost, responsibility and expertise. All partners must comply with the regulatory standards.

Performance criteria

Part of the format of a competency standard which comprises 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 upon in the range statement.

Professional judgement

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; also includes participation in professional dialogue, critical self-reflection and the capacity to constructively critique one's own and peers' assessment practices.

Qualification

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

- a nationally endorsed training package; or
- an accredited course that provides training for that qualification.

Range statement

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

Reasonable adjustment

Adjusting the assessment process to meet the needs and characteristics of the students being assessed, taking into account any equity requirements. 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.

Recognition

The term that covers recognition of prior learning (RPL) and recognition of current competency (RCC) which refer to acknowledgement of competencies held currently, regardless of how, when or where the learning occurred.

Competencies may be attained in a number of ways, including through any combination of formal or informal training and education, work experience or general life experience. In order to grant RPL or RCC, the assessor must be confident that the student is currently competent against the endorsed industry or enterprise competency standards or outcomes specified in AQF accredited courses.

Recognition of current competency (RCC)

This 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)

The *Australian Qualifications Framework, First Edition 2011* defines recognition of prior learning (RPL) as:

an assessment process that involves assessment of an individual's relevant prior learning (including formal, informal and non-formal learning) to determine the credit outcomes of an individual application for credit.

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Records of assessment

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

Registered training organisation

A training organisation registered in accordance with the regulatory standards to deliver nationally recognised training.

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 through graded, non-graded, statistical or descriptive reporting systems.

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:

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

Self-evaluation

A process that allows students being assessed to collect and provide evidence on their own performances against the competency standards. Self-evaluation is often used as a pre-assessment tool to help students and assessors determine what evidence is available and where the gaps may be.

Simulation

A form of evidence gathering that involves the student 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 using 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 students are able to demonstrate:

- technical skills;
- underpinning knowledge;
- generic skills such as decision making and problem solving; and
- workplace practices such as effective communication.

Statement of attainment

This is issued by an RTO when an individual has completed one or more unit of competency from nationally recognised qualification(s)/course(s).

Student

Any person presenting for assessment.

Training Council

A state or territory body comprising representation from the industry parties responsible for providing advice to governments on industry training needs.

training.gov.au

The national register for recording information about RTOs, training packages and accredited courses. Information is searchable and publicly accessible on the internet. It contains comprehensive information on endorsed training packages which have been approved by Ministers and includes full details of competency standards, a listing of NQC-noted support materials with contact sources, details of AQF accredited course/qualifications, and contact details and scope of registration of all RTOs.

Training package

An integrated set of nationally endorsed competency standards, assessment guidelines and AQF qualifications for a specific industry, industry sector or enterprise.

Training program outline

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 an individual undertaking an apprenticeship/traineeship.

Unit of competency

The specification of knowledge and skill and the application of that knowledge and skill to the standard of performance expected in the workplace.

Validation

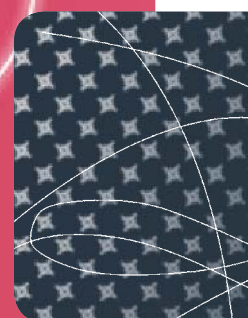
The following definition appears in the National Quality Council's publication, *Implementation Guide: Validation and Moderation 2009*.

Validation is a quality review process. It involves checking that the assessment tool produced valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the relevant aspects of the Training Package or accredited course had been met. It includes reviewing and making recommendations for future improvements to the assessment tool, process and/or outcomes.

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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.



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