



## **UET09**

**Electricity Supply Industry  
Transmission, Distribution and  
Rail Sector Training Package**

### **Volume 1 — Part 3 Assessment Guidelines**

**Volume 1 of 2**



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## VOLUME 1 PART 3

### ASSESSMENT GUIDELINES

#### 3.1 Introduction

These Assessment Guidelines provide the endorsed framework for assessment of the Competency Standard Units in this Training Package. They are designed to ensure that assessment activities are consistent with the Australian Quality Training Framework (AQTF) Standards for Registered Training Organisations (RTOs). Assessments against the Competency Standard Units in this Training Package must be carried out in accordance with these endorsed Assessment Guidelines.

**Note:**

1. Using this guideline to support any assessment strategy or process does not remove the responsibility of employers and employees to ensure appropriate ‘duty of care’ arrangements are maintained under relevant occupational health and safety legislation, and any other prevailing legislation, regulation, standard or code. RTOs should recognise this in their assessment processes and provide requisite advice.
2. In the assessment process it should be acknowledged that State/Territory regulatory requirements and/or Codes of Practice may vary. Therefore there may be a requirement for the demonstration of a greater range of items to those specified in respective Competency Standard Units. RTOs should incorporate this in their assessment processes and practices.

#### 3.2 Assessment System Overview

This section provides an overview of the requirements for assessment when using this Training Package, including a summary of the AQTF requirements; licensing/registration requirements; and assessment pathways. By way of supporting, and reinforcing, both the concept of competency and the Competency Standard Unit, the Electricity Supply Industry – Transmission, Distribution and Rail Sector embraces the following tenets:

- Wherever practicable, summative (or final) assessment is to include the application of the competency in the normal work environment or, at a minimum, the application of the competency in a realistically simulated work environment. It is recognised that, in some circumstances, assessment in part or full can occur outside the workplace. However, it must be in accord with any approved industry and, Regulatory policy in this regard.
- All persons may claim formal recognition for an assessment of an individual Competency Standard Unit, or a group of units (Skill Sets).
- All persons have the right to have relevant competencies recognised through the most expeditious assessment system and method.

#### Benchmarks for Assessment

Assessment within the National Skills Framework is defined as the process of collecting evidence and making judgements about whether competency has been achieved. Competency is something that is inferred rather than proven. The purpose of assessment is to confirm through evidence whether an individual can perform to the standards expected in the Electricity Supply Industry – Transmission, Distribution and Rail Sector workplace, as expressed in the relevant endorsed Competency Standard Unit.

The Competency Standard Units in this Training Package are the benchmarks for assessment in the Electricity Supply Industry – Transmission, Distribution and Rail Sector. They are the basis for nationally recognised Australian Qualifications Framework (AQF) qualifications and Statements of Attainment issued by Registered Training Organisations (RTOs).

The Competency Standard Units in this Training Package include:

- National Electricity Supply Industry – Transmission, Distribution and Rail Sector (UET) Competency Standards, Edition 1, 2005 and subsequent endorsed revisions.
- Imported Competency Standard Units from other endorsed Training Packages that have been valued by the Electricity Supply Industry – Transmission, Distribution and Rail Sector Competency Advisory Council (ESI-TD&R CAC) for inclusion in Qualifications in this Training Package.

An index of the developed Competency Standard Units is contained in Volume 1 Part 2.

### **Australian Quality Training Framework Assessment Requirements**

Assessment leading to nationally recognised AQF qualifications and Statements of Attainment in the vocational education and training sector must meet the requirement of the AQTF as expressed in the *Standards for Registered Training Organisations*.

The *Standards for Registered Training Organisations* can be downloaded from the Department of Education, Employment and Workplace Relations website at [www.DEEWR.gov.au](http://www.DEEWR.gov.au) or can be obtained in hard copy from DEEWR. The following points summarise the assessment requirements under the AQTF.

#### **Registration of Training Organisations**

Assessment must be conducted by, or on behalf of, an RTO formally registered by a State or Territory Registering/Course Accrediting Body in accordance with the Standards for Registered Training Organisations. The RTO must have the specific Competency Standard Units and/or AQF qualifications on its scope of registration.

The Registered Training Organisation is to be responsible for all aspects of assessment. The assessment must cover the critical aspects of evidence (assessment) detailed in each Competency Standard Unit. In addressing these critical aspects, and ensuring reasonable consistency, the assessment is to ensure that:

- the individual satisfies the requirements in terms of underpinning/essential knowledge and associated skills so that their ability to transfer the competency to differing circumstances may reasonably be inferred
- the individual is competent to safely perform all the practical applications required.

The RTO is also responsible for the issue of formal recognition in the form of National Qualifications or Statements of Attainment and where regulatory requirements apply provide additional information so required, and enter, where applicable and preferred by industry relevant information into an individual Industry Skills Passport, or other industry approved instrument. The RTO will therefore:

- issue the National Qualification based on individuals having been assessed as competent for the qualification and all the Competency Standard Units which constitute the qualification. (See Part 1 of this Training Package), **and/or**
- issue formal recognition (Statements of Attainment) in respect of individual or clusters of Competency Standard Units for which candidates have been assessed and found competent, **and/or**
- where required for regulated or industry purposes, issue additional formal information as specified by the industry and relevant regulator.

### **Quality Training and Assessment**

Each RTO must have systems in place to plan for and provide quality training and assessment. See AQTF Standard 1: Standards for Registered Training Organisations.

### **Assessor Competency Requirements**

Each person involved in training, assessment or client service must be competent for the functions they perform. See AQTF Standard 7 of the Standards for Registered Training Organisations for assessor competency requirements. AQTF Standard 7 also specifies the competencies that must be held by trainers.

### **Assessment Requirements**

RTO assessments must meet all the requirements of the endorsed components of the Training Package which contains the vocational standards for industry within its scope of registration. See AQTF Standard 8 of the Standards for Registered Training Organisations.

### **Assessment Strategies**

Each RTO must identify, negotiate, plan and implement appropriate learning and assessment strategies that are consistent with the industry's or regulator's preference, and meet the needs of each of its clients. See AQTF Standard 9 of the Standards for Registered Training Organisations. DEEWR<sup>1</sup> has developed a resource guide to support RTOs in the development of learning and assessment strategies.

### **Mutual Recognition**

Each RTO must recognise the AQF qualifications and Statements of Attainment issued by any other RTO. See AQTF Standard 5 of the Standards for Registered Training Organisations.

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<sup>1</sup> The functions of ANTA were transferred to the Department of Education Science and Training (DEST), now the Department of Education, Employment and Workplace Relations on 1<sup>st</sup> July 2005. Please note this when seeking information and contact details.

Registered Training Organisations may contact the EE-Oz Training Standards as the declared National Industry Skills Council for the ElectroComms and EnergyUtilities Industry, for assistance mutual recognition.

### **Access and Equity and Client Services**

Each RTO must apply access and equity principles, provide timely and appropriate information, advice and support services that assist clients to identify and achieve desired outcomes. This may include reasonable adjustments in assessment. See AQTF Standard 6 of the Standards for Registered Training Organisations.

### **Partnership Arrangements**

RTOs must have, and comply with, written agreements with each organisation providing training and/or assessment on its behalf. See Standard 1.6 of the *Standards for Registered Training Organisations*.

### **Recording Assessment Outcomes**

Each RTO must have effective administration and records management procedures in place, and must record AQF qualifications and Statements of Attainment issued. See AQTF Standards 4 and 10.2 of the *Standards for Registered Training Organisations*.

### **Issuing AQF Qualifications and Statements of Attainment**

Each RTO issues AQF qualifications and Statements of Attainment that meet the requirements of the AQF Implementation Handbook and the requirements of this Training Package within the scope of its registration.

An AQF qualification is issued once the full requirements for a qualification, as specified in the nationally endorsed Training Package are met as well as a statement of results achieved of the specified essential knowledge and associated skills underpinning each Competency Standard Unit. A Statement of Attainment is issued where the individual is assessed as competent against fewer Competency Standard Unit(s) along with the statement of essential knowledge and skills results than required for an AQF qualification. See Standard 10 and Section 2 of the Standards for RTOs.

### **Licensing/Registration Arrangements**

It is a requirement that Training Package Developers consider licensing/registration requirements in the development of the respective Industry Training Package. Generally licensing/registration requirements will be incorporated in relevant Competency Standard Units/qualifications.

Where licensing/registration applies, RTOs are to ensure that assessment against relevant Competency Standard Units is consistent with regulated requirements. Evidence of achievement should be gathered and recorded in such a way as to allow RTOs to report on such achievement that is consistent with regulated requirements.

The latest information on licensing/registration requirements may be obtained by visiting the Industry Skills Council/Training Package Developer's website. In the case of this Training Package it is EE-Oz Training Standards. Refer to the following website for more information: [www.ee-oz.com.au](http://www.ee-oz.com.au)

RTOs, are responsible for the implementation of the quality assurance arrangements included in these guidelines. However, where competency development occurs in

regulated/licensed areas RTOs are to incorporate any additionally and prevailing regulatory authority requirements typically called up in these Guidelines into their quality assurance arrangements.

In some instances, in order to conduct assessments for statutory licensing or other industry registration requirements, assessors must also meet any additional requirements that may also be established by the regulatory body/agency. Respective regulators should be contacted directly to obtain information in this regard.

### **Requirements for Assessors**

In order to conduct assessment for statutory licensing or other industry registration requirements assessors must meet the requirements established by regulatory agencies and respective nominees, in addition to the AQTF requirements. Assessors are to liaise with respective agencies to ensure respective requirements are followed and met.

### **Requirements for RTOs**

Selected Competency Standard Units and qualifications in this Training Package provide the basis for a range of statutory licensing and industry registration arrangements. To satisfy these licensing and registration arrangements, RTOs are to keep abreast of developments and any additional requirements detailed by such bodies and their respective nominees. RTOs and their assessors are therefore required to liaise with the Training Package developer and respective agencies to ensure requirements are known and met.

### **Requirements for Candidates**

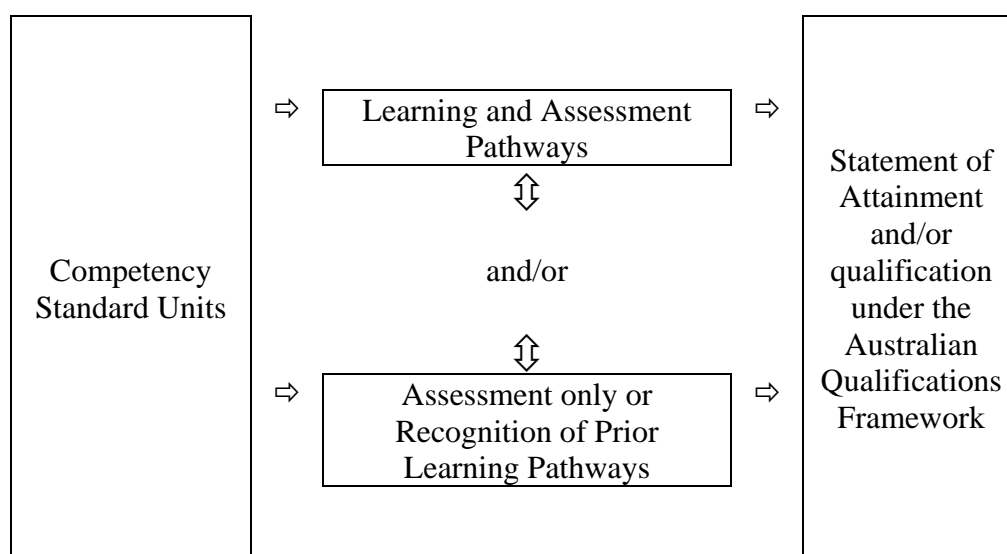
Individuals being assessed under statutory licensing and industry registration systems may be required to comply with training and experience requirements additional to any minimum requirements identified in this Training Package. These additional requirements are to be formally advised by the RTOs to individuals prior to the delivery of the Training Package outcomes.

### **Pathways**

Competencies in Training Packages may be attained in a number of ways including through:

- formal or informal education and training
- experiences in the workplace
- general life experience
- any combination of the above.

Assessment under this Training Packages leading to an AQF qualification or Statement of Attainment may follow a learning and assessment pathway, an assessment-only or recognition pathway, or a combination of the two as illustrated below.



Each of these assessment pathways leads to full recognition of competencies held – the critical issue is that the candidate is competent, not how the competency was acquired.

Assessment, by any pathway, must comply with the assessment requirements set out in the *Standards for Registered Training Organisations*.

### **Learning and Assessment Pathways**

Usually, learning and assessment are integrated, with assessment evidence being collected and feedback provided to the candidate at anytime throughout the learning and assessment process.

Learning and assessment pathways may include structured programs in a variety of contexts using a range of strategies to meet different learner needs. Structured learning and assessment programs could be: group-based, work-based, project-based, self-paced, action learning-based, conducted by distance or e-learning; and/or involve practice and experience in the workplace.

Learning and assessment pathways to suit Australian Apprenticeships have a mix of formal structured training and structured workplace experience with formative assessment activities through which candidates can acquire and demonstrate skills and knowledge from the relevant units of competency.

### **Assessment-only Pathway or Recognition of Prior Learning Pathway**

Competencies already held by individuals can be formally assessed against the Competency Standard Units in this Training Package and should be recognised regardless of how, when or where they were achieved.

In an assessment-only or Recognition of Prior Learning (RPL) pathway, the candidate provides current, quality evidence against the relevant unit of competency. This process may be directed by the candidate and verified by the assessor. The onus is on candidates to provide sufficient evidence to satisfy assessors that they currently hold the relevant competencies. In judging evidence, the assessor must ensure that the evidence is:

- authentic (the candidate’s own work)
- valid (directly related to the current version of the relevant endorsed Competency Standard Unit)
- reliable (a range of test instruments will provide the same result for a given candidate)
- current (reflect the candidate’s current capacity to perform the aspect of the work covered by the endorsed Competency Standard Unit), and
- sufficient (covers the full range of elements and performance criteria in the relevant Competency Standard Unit and addresses the four dimensions of competency, namely task skills, task management skills, con tangency management skills, and job/role environment skills).

An assessment-only or recognition of prior learning pathway is likely to be most appropriate in the following scenarios:

- candidates participating/enrolling in qualifications who want recognition for prior learning or current competencies
- existing workers
- individuals with overseas qualifications
- recent migrants with established work histories
- people returning to the workplace
- people with disabilities or injuries requiring a change in career, and
- people with existing competencies from allied industry Training Packages.

### **Combination of Pathways**

Where candidates have gained competencies through work and life experience and gaps in their competence are identified, or where they require training in new areas, a combination of approaches may be appropriate.

### **Assessor Requirements**

This section identifies the mandatory competencies for assessors, and clarifies how others may contribute to the assessment process where one person alone does not hold all the required competencies.

### **Assessor Competencies**

The *Standards for Registered Training Organisations* specify mandatory competency requirements for assessors. For information, Standard 7.3 from the *Standards for Registered Training Organisations* follows:

7.3 a The RTO must ensure that assessments are conducted by a person who has:

i the following competencies<sup>1</sup> from the Training Package for Assessment and Workplace Training, or demonstrated equivalent competencies:

- a TAAASS401A Plan and organise assessment;
- b TAAASS402A Assess competence;
- c TAAASS404A Participate in assessment validation;

ii relevant vocational competencies, at least to the level being assessed.

**b** However, if a person does not have all of the competencies in Standards 7.3 **a** (i) and the vocational competencies as defined in 7.3 **a** (ii), one person with the competencies listed in Standard 7.3 **a** (i), and one or more persons who have the competencies listed in Standard 7.3 **a** (ii) may work together to conduct assessments.

### **Designing Assessment Tools**

This section provides an overview on the use and development of assessment tools.

#### **Use of Assessment Tools**

Assessment tools provide a means of collecting the evidence that assessors use in making judgements about whether candidates have achieved competency.

There is no set format or process for the design, production or development of assessment tools.

Assessors may use prepared assessment tools, such as those specifically developed to support this Training Package, or they may develop their own.

#### **Using Prepared Assessment Tools**

If using prepared assessment tools, assessors should ensure these are benchmarked, or mapped, against the current version of the relevant unit of competency. This can be done by checking that the materials are listed on the National Training Information Service (<http://www.ntis.gov.au>).

Materials on the list have been noted by the National Training Quality Council as meeting their quality criteria for Training Package support materials.

#### **Developing Assessment Tools**

When developing their own assessment tools, assessors must ensure that the tools:

- are benchmarked against the relevant unit or units of competency;
- are reviewed as part of the validation of assessment strategies as required under 9.2i of the *Standards for Registered Training Organisations*; and
- meet the assessment requirements expressed in the *Standards for Registered Training Organisations*, particularly Standards 8 and 9.

A key reference for assessors developing assessment tools is TAA04 Training and Assessment Training Package and the unit of competency TAAASS403A *Develop Assessment Tools*.

## Conducting Assessment

This section details the mandatory assessment requirements and provides information on equity in assessment including reasonable adjustment.

## Mandatory Assessment Requirements

Assessments must meet the criteria set out in Standard 8 from the *Standards for Registered Training Organisations*. For information, Standard 8 from the *Standards for Registered Training Organisations* is reproduced below.

<p><b>8. RTO Assessments</b> The RTO's assessments meet the requirements of the endorsed components of Training Packages and the outcomes specified in accredited courses within the scope of its registration.</p> <p>8.1. The RTO must ensure that assessments (including RPL):</p> <ul style="list-style-type: none"> <li>i. comply with the assessment guidelines included in the applicable nationally endorsed Training Packages or the assessment requirements specified in accredited courses;</li> <li>ii. lead to the issuing of a statement of attainment or qualification under the AQF when a person is assessed as competent against nationally endorsed unit(s) of competency in the applicable Training Package or modules specified in the applicable accredited course;</li> <li>iii. are valid, reliable, fair and flexible;</li> <li>iv. provide for applicants to be informed of the context and purpose of the assessment and the assessment process;</li> <li>v. where relevant, focus on the application of knowledge and skill to the standard of performance required in the workplace and cover all aspects of workplace performance, including task skills, task management skills, contingency management skills and job role environment skills;</li> <li>vi. involve the evaluation of sufficient evidence to enable judgements to be made about whether competency has been attained;</li> <li>vii. provide for feedback to the applicant about the outcomes of the assessment process and guidance on future options in relation to those outcomes;</li> <li>viii. are equitable for all persons, taking account of individual needs relevant to the assessment; and</li> <li>ix. provide for reassessment on appeal.</li> </ul> <p>8.2. a The RTO must ensure RPL is offered to all applicants on enrolment.</p> <p>b The RTO must have an RPL process that:</p> <ul style="list-style-type: none"> <li>i. is structured to minimise the time and cost to applicants; and</li> <li>ii. provides adequate information, support and opportunities for participants to engage in the RPL process.</li> </ul>
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## Access & Equity

An individual's access to the assessment process should not be adversely affected by restrictions placed on the location or context of assessment beyond the requirements specified in this Training Package.

Reasonable adjustments can be made to ensure equity in assessment for people with disabilities. Adjustments include any changes to the assessment process or context that meet the individual needs of the person with a disability, but do not change competency outcomes. Such adjustments are considered ‘reasonable’ if they do not impose an unjustifiable hardship on a training provider or employer. When assessing people with disabilities, assessors are encouraged to apply good practice assessment methods with sensitivity and flexibility.

### **Further Sources of Information**

The section provides a listing of useful contacts and resources to assist assessors in planning, designing, conducting and reviewing of assessments against this Training Package.

#### **Contacts**

Industry Skills Council [insert specific ISC contact details]

Australian Training Products Ltd  
Level 25, 150 Lonsdale Street  
MELBOURNE VIC 3000  
PO Box 12211  
A'Beckett Street Post Office  
MELBOURNE VIC 8006  
Telephone: (03) 9655 0600  
Fax: (03) 9639 4684  
Web: [www.atpl.net.au](http://www.atpl.net.au)  
Email: [sales@atpl.net.au](mailto:sales@atpl.net.au)

Innovation and Business Skills Australia  
Level 2, Building B, 192 Burwood Road  
HAWTHORN VIC 3122  
Telephone: (03) 9815 7000  
Facsimile: (03) 9815 7001  
Email: [virtual@ibsa.org.au](mailto:virtual@ibsa.org.au)

#### **General Resources**

Refer to <http://antapubs.dest.gov.au/publications/search.asp> to locate the following ANTA publications.

*AQF Implementation Handbook, third Edition.* Australian Qualifications Framework Advisory Board, 2002, [aqf.edu.au](http://aqf.edu.au)

Australian Quality Training Framework (AQTF) – for general information go to:  
[www.dest.gov.au/sectors](http://www.dest.gov.au/sectors)

Australian Quality Training Framework (AQTF) – for resources and information go to:

[www.dest.gov.au](http://www.dest.gov.au)

Australian Quality Training Framework *Standards for Registered Training Organisations*, Australian National Training Authority, Melbourne, 2005. Available in hard copy from State and Territory Training Authorities or can be downloaded from [www.dest.gov.au](http://www.dest.gov.au)

*TAA04 Training and Assessment Training Package*. This is available from the Innovation and Business Skills Australia (IBSA) Industry Skills Council and can be viewed, and components downloaded, from the National Training Information Service (NTIS).

National Training Information Service, an electronic database providing comprehensive information about RTOs, Training Packages and accredited courses – [www.ntis.gov.au](http://www.ntis.gov.au)

*Style Guide for Training Package Support Materials*, Australian National Training Authority, Melbourne, 2003. Can be downloaded from the ANTA page at [www.dest.gov.au](http://www.dest.gov.au)

### **Assessment Resources**

*Training Package Assessment Guides* - a range of resources to assist RTOs in developing Training Package assessment materials developed by ANTA with funding from the Department of Education, Training and Youth Affairs. It is made up of 10 separate titles, as described at the ANTA publications page of [www.dest.gov.au](http://www.dest.gov.au). Go to [www.resourcegenerator.gov.au/loadpage.asp?TPAG.htm](http://www.resourcegenerator.gov.au/loadpage.asp?TPAG.htm)

Printed and/or CD ROM versions of the Guides can be purchased from Australian Training Products (ATP). The resource includes the following guides:

1. Training Package Assessment Materials Kit
2. Assessing Competencies in Higher Qualifications
3. Recognition Resource
4. Kit to Support Assessor Training
5. Candidate's Kit: Guide to Assessment in Australian Apprenticeships
6. Assessment Approaches for Small Workplaces
7. Assessment Using Partnership Arrangements
8. Strategies for ensuring Consistency in Assessment
9. Networking for Assessors
10. Quality Assurance Guide for Assessment

An additional guide “Delivery and Assessment Strategies” has been developed to complement these resources.

### **Assessment Tool Design and Conducting Assessment**

VETASSESS & Western Australian Department of Training and Employment 2000, *Designing Tests – Guidelines for designing knowledge based tests for Training Packages*.

Vocational Education and Assessment Centre 1997, *Designing Workplace Assessment Tools, A self-directed learning program*, NSW TAFE.

Manufacturing Learning Australia 2000, *Assessment Solutions*, Australian Training Products, Melbourne.

Rumsey, David 1994, *Assessment practical guide*, Australian Government Publishing Service, Canberra.

### **Assessor Training**

Australian Committee on Training Curriculum (ACTRAC) 1994, *Assessor training program – learning materials*, Australian Training Products, Melbourne.

Australian National Training Authority, *A Guide for Professional Development*, ANTA, Brisbane.

Australian Training Products Ltd *Assessment and Workplace Training, Training Package – Toolbox*, ATPL Melbourne.

Green, M, et al. 1997, *Key competencies professional development Package*, Department for Education and Children's Services, South Australia.

Victorian TAFE Association 2000, *The professional development CD: A learning tool*, VTA, Melbourne.

### **Assessment System Design and Management**

Office of Training and Further Education 1998, *Demonstrating best practice in VET project – assessment systems and processes*, OTFE Victoria.

Toop, L., Gibb, J. & Worsnop, P. *Assessment system designs*, Australian Government Publishing Service, Canberra.

Western Australia Department of Training and VETASSESS 1998, *Kit for Skills Recognition Organisations*, WADOT, Perth.

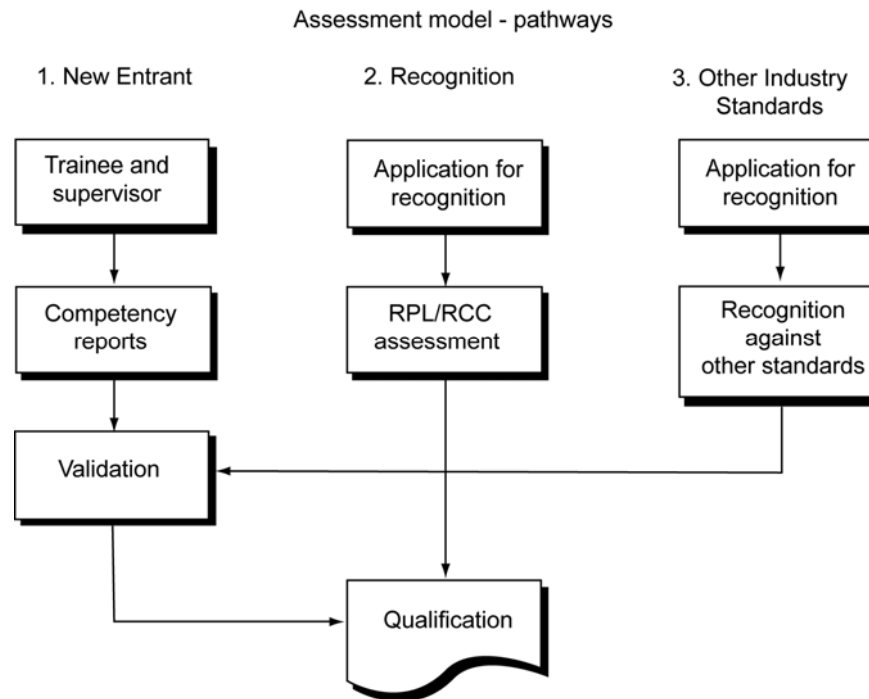
## **3.3 ESI – Transmission, Distribution & Rail, Learning and Assessment pathways**

Within the general Training Package Pathways continuum framework, referred to in the previous section, three distinct Assessment Pathways have been identified for use within the Electricity Supply Industry – Transmission, Distribution and Rail Sector. Although not exclusive, the three pathways provide typical recognition processes for individual Competency Standard Units or groups of units that make up Qualifications or Statements of Attainment. From an industry perspective, assessment is to lead to formal recognition of the Industry's benchmark competencies or formal recognition of competencies from other industries. Formal recognition may be for individual competencies or for groups of competencies, which may be combined to satisfy the requirements of a National Qualification.

### **Pathway 1: New entrant competency development**

## Pathway 2: Recognition of currently held competencies or prior learning and workplace experience

## Pathway 3: Recognition of other currently held competencies (other industry standards)



## Pathway 1: New Entrant Competency Development

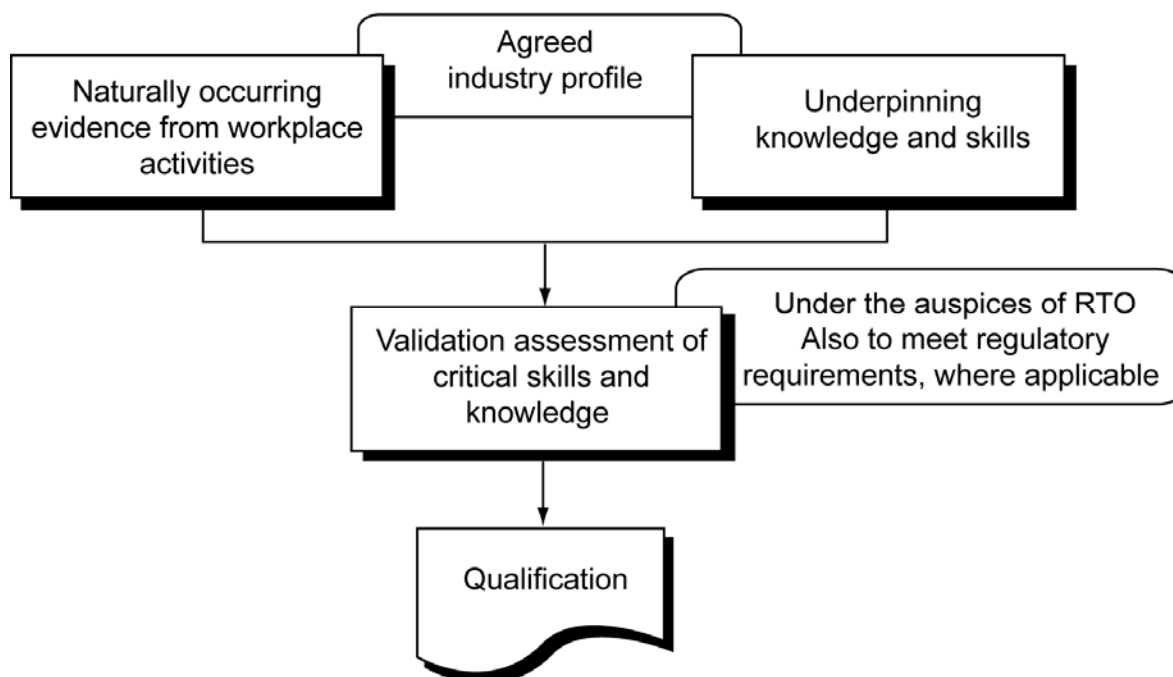
This pathway is for individuals who are undertaking an industry preferred competency development plan. The users of this pathway may be:

- contracted employment based employees who are generally new apprentices and who undertake an approved training program that supports a competency development plan, **or**
- those that undertake an approved structured training program in an institutional environment to achieve competency outcomes.

## Evidence of Competency

In this pathway evidence required to determine competence for the issuance of the qualification or Statement of Attainment is to be in accordance with **3.4 Assessment principles within the Electricity Supply Industry – Transmission, Distribution and Rail Sector** contained herein. The evidence however, must be sufficient in quality, quantity and type and be gathered in an on-going basis in a timely and accurate manner from several sources, such as, workplace and educational experiences based on the approved industry training program and related competency development plan in which individuals are involved.

### Pathway 1. Evidence of competency (New entrant)



### Pathway 2: Recognition of prior learning/current competencies (RPL/RCC)

This pathway is for those who may have acquired skills and knowledge in relevant Competency Standard Units outside formally recognised processes. The users of this pathway will include applicants from overseas and also applicants who have developed skills in allied industries but who have no formal recognition in respect of industry standards or qualifications. In using this pathway RTOs should also identify if any equivalence mapping document exists as per Pathway 3.

Additionally, an existing national mechanism for the recognition as a tradesperson is through the Tradesmen's Rights Regulation Act, which is administered by Trades Recognition Australia (TRA), which is part of the Commonwealth Department of Industrial Relations. TRA grants recognition for the purposes of migration but further analysis of the applicant's knowledge and skills is often needed before competency can be attributed.

The Trades Recognition Australia process mainly operates to provide formal recognition of the knowledge and skills of migrants, which have been developed by structured training and or work experience in overseas countries. However, it is also an important mechanism for the assessment and recognition of the competencies of people who may not have had access to the industry preferred new entrant model of competency development for trade vocations in Australia. For more information visit:

<http://www.workplace.gov.au/workplace/Category/SchemesInitiatives/TRA/TRA-TradeClassificationsAssessed.htm>

### Evidence of Competency

In this pathway many types of evidence can be used to determine competency for the issuance of Qualifications or Statements of Attainment. The evidence may come from records of previous relevant work experience. This type of evidence will need

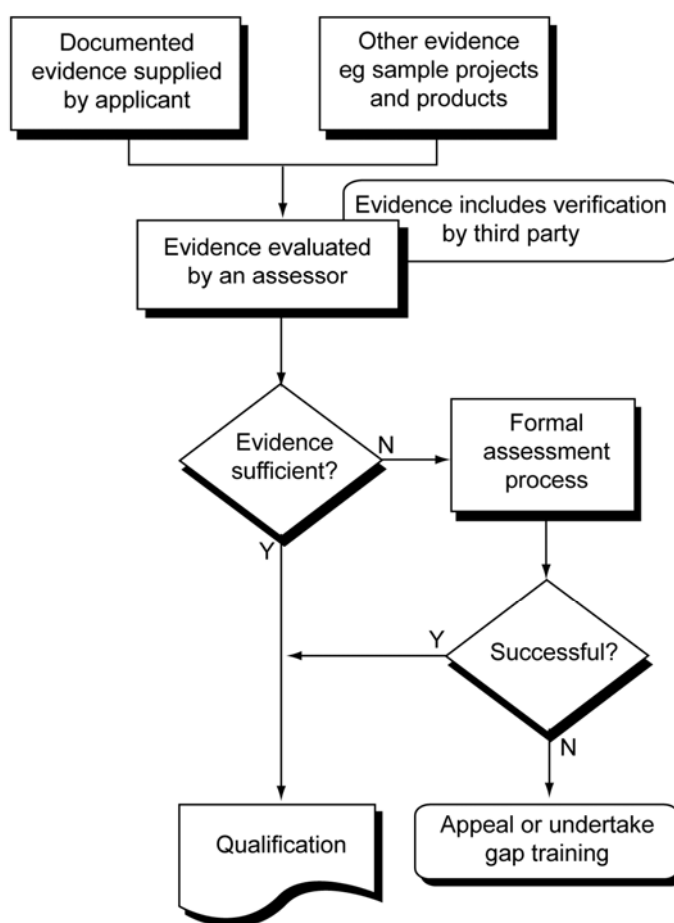
endorsement by a supervisor/mentor skilled in the units for which recognition is sought. Evidence may consist of portfolios, which include projects or products completed for other purposes or from non-registered training programs or ad hoc prior experience or from overseas programs of a similar nature.

Industry would expect this evidence to be assessed by the Registered Organisation (or their nominee – a qualified industry assessor) and a judgement made. The result will be either that the applicant is judged competent for the competency standard unit(s) or gaps are identified and noted.

Where a gap is identified the applicant can either accept the judgement, pursue gap training or elect to appeal the decision. Evidence used in the judgement process may come from a variety of sources including a personal portfolio, curriculum vitae, interview, and comments by peers or employers and challenge tests.

The recognition of a subset of the Competency Standard Units — skills, forming a cluster of Statements of Attainment within a Qualification — would generally require individuals to complete the additional units in order to attain the relevant Qualification Pathway that provides credit. This information may be developed by the Registered Training Organisation in consultation with respective stakeholders.

Pathway 2. Recognition (RPL/RCC)



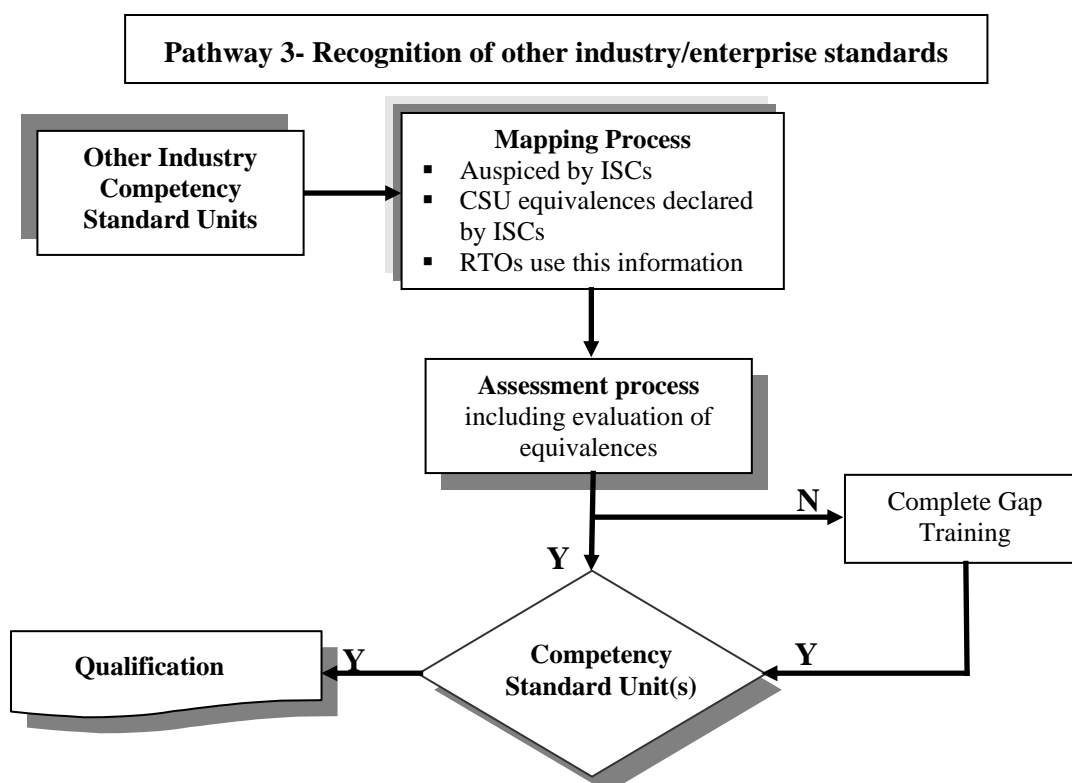
### Pathway 3: Recognition of Other Industry/Enterprise Standards

This pathway is for individuals who have developed skills based on other nationally recognised industry or enterprise competency standards and who have received formal recognition in Competency Standards Unit(s) from these areas. Recognition of equivalence of Competency Standard Units between industries is through an agreed and formal mapping process. Equivalence of outcomes are declared by Industry Skills Councils for respective Training Packages. The recognition of Units, as part of any mapping arrangements is the responsibility of the parties who maintain the competency standards, in this instance EE-Oz Training Standards. RTOs should investigate whether any mapping agreements are in place by contacting the relevant Industry Skills Councils.

### Evidence of Competency

In this pathway, evidence will be based on formally agreed mapping declaration(s) of Competency Standards Unit(s) of other Industry Competency Standards against the unit(s) in the Electricity Supply Industry – Transmission, Distribution and Rail Sector Training Package for which formal recognition is sought. The equivalence mapping declaration agreement would be formalised between Industry Skills Councils.

The applicant would be required to supply details of the unit(s) held including any currency, and the unit(s) sought in consultation with the RTO, including submitting any assessment reports to the RTO for a determination. This equivalence evidence will be reviewed against the mapping advice obtained by the RTO (or their nominee) and a judgement made. The result will be either that the applicant is deemed competent for the unit(s) and a Statement of Attainment issued, or gaps are identified, advised and noted. Where a gap has been identified the applicant can consider the judgement, pursue gap training or appeal the decision. Evidence used in the judgement process is based on the individual’s records of achievement relative to the Competency Standard Units for which recognition is sought.



### **3.4 Assessment Principles within the Electricity Supply Industry – Transmission, Distribution and Rail Sector**

These assessment practices must satisfy the principles of assessment:

#### **Assessment Principles**

##### ***Validity***

The assessment instruments and tasks must be designed, implemented and administered in a manner which ensures they measure the intended the essential knowledge and associated skills with workplace performance requirement, and the evidence gathered relates directly to the Competency Standard Unit(s) being assessed.

Validity includes the need to involve others with expertise in the assessments being implemented in the development, selection and review of the instruments and methods used in the assessment process.

To be valid the assessment judgements need to be based on more than one task with evidence gathered on a number of occasions and in a variety of contexts or situations.

##### ***Reliability***

Assessment practices should be in accord with *AQTF Standard 9.2* and undergo constant monitoring and review to ensure consistency in the application of process and interpretation of evidence.

RTOs will ensure clear guidelines are available to Assessors to ensure consistent judgements are made based on the evidence provided. Where industry and/or regulatory endorsed training support materials are available, it is recommended that this material is used to support and increase the reliability of assessment. This approach will assist in establishing and maintaining consistency of performance of the essential knowledge and skills and work performance requirements specified in the Competency Standard Units.

##### ***Flexibility***

The assessment approach should be developed to meet the needs of potential candidates and where appropriate negotiated between the candidate and assessor.

Assessments are to cover both the skill and knowledge components of competency as described in the Competency Standard Units without any one-assessment method being prescribed.

A range of assessment instruments and items should be made available, and where appropriate, the time and place of assessment should be determined to suit the availability of resources, assessors and candidates. However, where supported by the Industry for the purposes of enhancing consistency, the preferred assessment arrangements should be adopted and used.

##### ***Fairness***

Assessment methods and practices shall be equitable to all individuals.

Candidates will be made aware of the assessment methods and procedures together with details of the criteria against which they are to be assessed.

Specific needs of individual candidates will be accommodated as is practicable and reasonable adjustment is made while maintaining the integrity of the assessment outcomes based on the Competency Standard Unit(s) being assessed.

### ***Currency***

The principle to be applied in the Electricity Supply Industry – Transmission, Distribution and Rail Sector for currency of evidence is that claims are to be fully substantiated through both direct and supporting assessment processes.

Assessment processes must satisfy the requirement for currency in terms of:

1. technology and/or processes
2. recency of application

### **Regulatory/Context of Assessment**

Competency is to be determined on evidence of having consistently performed across a representative range of specified equipment, processes and activities for the scope of work and/or endorsement for which competency is being sought; autonomously and to requirements. Equivalent evidence from other sources, e.g., formal assessment, is also acceptable.

With respect to the essential knowledge and associated skills component of each competency standard unit, assessment activities shall be in accordance with the approach required by the regulatory environment. This may include the use of industry-supported essential knowledge and associated skills learning specifications structured in a conducive learning environment to facilitate the development of depth and breadth of learning, aid in retention and enhance transferability. For this component where graded assessment is a regulatory requirement, it will apply to the underpinning knowledge off-the-job component and not the competency standard unit as a whole. The Industry preference is for a percentile based graded assessment system to be used. Also, although it is preferred that assessing competency be carried out in the workplace, it can be undertaken in a simulated work environment approved for that purpose by the industry. Refer to any Industry policy that may apply in this regard.

### **Assessment Judgments**

#### ***Attributing Competency***

The deeming of competency shall be based on evidence that is sufficient, current and authentic, so that a quality low risk judgment can be made based on the assessment principles outlined herein.

Competencies shall be attributed on evidence showing that the person deemed to be competent is able to undertake the responsibilities for all safety measures, care of technology, plant and equipment, use of standards, manuals and procedures, and care of the environment, directly related to the work function for which such competencies are required.

**Note:**

1. Where the consequences of unjustifiably or mistakenly deeming a person competent carries a risk of injury to persons, commerce, or damage to property and/or the environment, the level of evidence required for sufficiency is higher than where there is little risk. The risk of attributing competence to an individual should, therefore, form a critical part of the assessment process and methodology. Consideration should be given as to whether all pre-requisites and/or co requisites have been appropriately achieved.
2. The decision to attribute competence differs from training effort and delivery. The decision to attribute competence is based on evidence being present for an assessor to attribute such and not a person in learning. Learners, however, can undertake training in Competency Standard Units without being awarded the Competency Standard Units even when they may not have acquired in the required sequence any of the pre-requisite Competency Standard Units. However, they cannot be attributed the Competency Standard Unit until they have acquired the pre-requisite.
3. For more detailed information refer to Section 3.9 Guide to Assessment Methods and Items.

***Sufficiency of Evidence***

In all instances competency is to be attributed on evidence sufficient to show that a person has the necessary skills required for the scope of work. This includes:

- **Task skills** — performing individual tasks
- **Task management skills** — managing a number of different tasks
- **Contingency management skills** — responding to irregularities and breakdowns in routines
- **Job/role environment skills** — dealing with the responsibilities and expectations of the work environment including working with others.

Evidence must demonstrate that an individual can perform competently across the specified range of activities and has the essential knowledge, understanding and associated skills underpinning competency.

***Currency of Evidence***

Evidence must be relevant to what is outlined in Competency Standard Units and not outdated or irrelevant.

*Note:* The deeming of competence at a point in time does not mean that competence exists for all time; competency must be maintained by use and/or retraining. Also refer to Section 3.9 Guide to Assessment Methods and Items for more detailed information on currency.

If there has been a recent change in technology, then evidence of actions before such change is unlikely to reflect the required currency. Similarly, if the individual claiming competency has not performed/applied that competency for extensive periods of time then documentary evidence would not suffice as a basis of assessment.

***Authenticity***

Evidence is to be genuine and relate to the person being assessed, and no one else.

- By way of supporting and reinforcing both the concept of competency and the Competency Standard Units as the currency for the Vocational Education and

Training (VET) system, the Electricity Supply Industry – Transmission, Distribution and Rail Sector embraces the following tenets:

- Assessment (summative or final) is to include the application of the competency in the normal work environment, or at a minimum, the application of the competency in a realistically simulated work environment.
- Simulation must be in accord with any prevailing Industry policy. It is recognised that in some circumstances, assessment may occur outside the workplace, however this should only occur where necessary and in accord with any Industry policy. In relation to this Training Package the Industry Skills Council for ElectroComms and EnergyUtilities, EE-Oz Training Standards, has developed an industry Simulation Policy. This can be accessed from the EE-Oz Training Standards website at: [www.ee-oz.com.au](http://www.ee-oz.com.au).
- All persons may claim formal recognition for an assessment of an individual Competency Standard Unit or a group of units.
- All persons have the right to have relevant competencies recognised through the most expeditious assessment system and method.
- Under-represented groups are not biased from participation and access.

### **3.5 Assessment Processes**

Within the Electricity Supply Industry – Transmission, Distribution and Rail Sector **sampling**, **profiling** and **portfolio** are recognised as the three main methods of collecting evidence to assist the assessment processes and, while they are not mandatory, they have become accepted and the preferred industry practice. It is not the purpose of these Guidelines to provide an extensive technical description of each of these methods; however, it is important to recognise the impact each will have on the management of assessment practices. Profiling, however, is the Industry-preferred model for new entrant contracted entry-level employment, e.g. apprenticeships. Therefore, an overview of each is provided in this Guideline along with sample templates to assist Registered Training Organisations (RTOs) in planning, managing and administering training and assessment delivery.

#### **1. Sampling**

Sampling requires evidence of competence to be derived from a limited sample of performance event(s). Technical/application skills are normally assessed by practical measures, and knowledge underpinning performance is assessed, typically in conducive learning environments like classrooms, by conventional written or oral questioning.

#### **2. Profiling**

Profiling requires the progressive collection of many samples through structured documentation and progress summative reporting. Progressive monitoring of direct and possibly indirect evidence, over an extended period of time is used to assist in intervention and, making judgements about the developing competency profile of the candidate/learner. The focus of evidence collection is set against the Elements; Range Statement; and critical aspects detailed in the competency standard units and complemented with the level of supervision applied. The evidence collection process is staged against known and predefined work performance outcomes as specified in the Competency standard units. Profiling will assist in obtaining a series of periodical audit

assessments and/or a final holistic assessment event where regulatory/licensing requirements apply. Profiling is the preferred industry model that assists with assessment for entry-level contracted employment. Technical educational achievements may be incorporated in the Profiling Model or augment information gathered directly from the workplace into the profile. In the latter case it is preferred that a final summative and holistic assessment event be applied prior to the issuance of the qualification or relevant Statement of Attainment.

### **3. Portfolio**

The Portfolio approach is best suited to assessment conducted as Recognition of Prior Learning (RPL) and is to be in accord with AQTF Standard 8.2 or its replacement/equivalent. It requires the collection or build-up of indirect evidence as to an individual's competence.

The Portfolio of evidence could include Statements of Attainment issued by other RTOs (Mutual Recognition AQTF Standard 5), suitably focused references and testimonials, formal project appraisals, work records and any other evidence which is current and relevant to the competencies sought.

### **Opportunities for Combined Approaches**

The assessment processes described above are not mutually exclusive and a combination of approaches may be implemented. The process selected will be acceptable to the industry if the outcome is valid, the approach supports industry-wide consistency, the requirements of the Competency Standard Units are satisfied and in accordance with the preferred industry approach and costs are acceptable to the industry.

### **Assessors, Technical Experts and Workplace Supervisors**

#### **Single assessor – Single arrangement**

Where an individual assessor conducts the assessment the assessor is required to:

- hold formal recognition of competence in the relevant units in the Training Package for Training and Assessment
- be deemed competent and, where possible, hold formal recognition of competence in the specific Competency Standard Units in this Training Package, at least to the level being assessed.

In addition, it is recommended by the Industry that the assessor can:

- demonstrate current knowledge of the Electricity Supply Industry – Transmission, Distribution and Rail Sector, industry practices, and the job or role against which performance is being assessed;
- demonstrate current knowledge and skill in assessing against this Training Package which contains the vocational standards for industry in a range of contexts.
- demonstrate the necessary interpersonal and communication skills required in the assessment process.
- continue to meet the requirements of the industry;

- ensure assessment is consistent with the Australian Quality Training Framework Standards for Registered Training Organisations;
- promote confidence in the system and the assessment outcomes on the part of industry, employers, enterprises, unions, employees, trainees, assessors and trainers;
- ensure assessment processes and outcomes are valid, reliable, fair and flexible;
- support RTOs in effectively carrying out their responsibilities.
- participate in professional development;
- have relevant work experience;
- participate in professional/industry networks and assessor programs;
- have recent planning and review of assessment activities;
- participate in assessment validation processes;
- have recent assessment and/or workplace training activities.

## **Partnership Arrangement**

### **Option 1 – Working with a Technical Expert**

An assessor works with a technical expert to conduct the assessment. The Assessor is required to hold formal recognition of competence in the relevant units in the Training Package for Training and Assessment.

In addition, it is recommended that the assessor is able to:

- demonstrate current knowledge and skill in assessing against this Training Package which contains the vocational standards for industry in a range of contexts;
- demonstrate capability to assess with a technical expert;
- demonstrate the interpersonal and communications skills required in the assessment process.

A technical expert is one that is required to be deemed currently competent and, where possible, hold formal recognition of competence in the specific Competency Standard Units from this Training Package which contains the vocational standards for industry, at least to the level being assessed.

In addition, it is recommended that the Technical Expert is able to:

- demonstrate current knowledge of the industry, industry practices, and the job or role against which performance is being assessed;
- communicate and liaise with the assessor throughout the assessment process.

### **Option 2 – Working with a Workplace Supervisor**

An assessor works with workplace supervisor in collecting evidence for valid assessment.

An assessor is required to:

- hold formal recognition of competence in training and assessment in the relevant units in the Training and Assessment Training Package
- make the assessment decision.

In addition, it is recommended that the assessor is able to:

- demonstrate current knowledge and skill in assessing against this Training Package in a range of contexts
- demonstrate a capability to assess using a Workplace Supervisor as a valid and reliable source of evidence collaboration
- demonstrate the interpersonal and communication skills required in the assessment process
- communicate and liaise, where appropriate, with the workplace supervisor throughout the assessment process.

A workplace supervisor is required to be deemed currently competent and, where possible, is to hold formal recognition of competence in the specific Competency Standard Units from this Training Package at least to the level being assessed.

In addition, it is recommended that the Workplace supervisor is able to:

- demonstrate current knowledge of the industry, industry practices, and the job or role against which performance is being assessed
- communicate and liaise, where appropriate, with the assessor throughout the assessment process
- use agreed practices to gather and record evidence for the assessor to use in making a valid judgement on competency.

### **Assessment Team/Panel**

A team working together to conduct the assessment

Members of an assessment team or panel that comprises assessment and industry experience and expertise works together in the collection of evidence and in making judgements about competency. The members of the team must include at least one person who:

- holds formal recognition of competence in training and assessment in the relevant units in the Training and Assessment Training Package
- is deemed competent and, where possible, holds formal recognition of competence in the specific Competency Standard Units from this Training Package at least to the level being assessed, and where not technically competent use team/panel members with current technical competence in requisite units;

In addition, it is recommended that members of the team/panel involved in the assessment are able to:

- at least one member be currently competent in the specific competency standards units under assessment

- demonstrate current knowledge of the industry, industry practices, and the job or role against which performance is being assessed
- demonstrate current knowledge and skill in assessing against this Training Package in a range of contexts
- demonstrate the interpersonal and communication skills required in the assessment process and liaise with other team/panel members throughout the assessment process.

Assessments against the competencies in the Training Package will be carried out in accordance with these endorsed guidelines. The guidelines include the necessary qualifications for those conducting assessments and provide for those situations where more than one person may contribute to the assessment and where the required technical and assessment competencies may not be held by any one person.

### **3.7 Assessment Tools**

This section provides an overview of assessment tools and their suggested use in the industry.

#### **Use of Assessment Tools**

Assessment resources provide a means of collecting the evidence that assessors use in making judgements about whether candidates have achieved competency.

In some cases, assessors may use prepared assessment materials, such as those specifically developed to support this Training Package - Training and Assessment Advice Manual for the Electricity Supply Industry – Transmission, Distribution and Rail Sector Training Package UET06, available from EE-Oz Training Standards. Visit the website: ([www.ee-oz.com.au](http://www.ee-oz.com.au)). Alternatively they may develop their own assessment materials to meet the needs of their clients by utilising pre-developed training and assessment instruments included in Section 3.8 Electricity Supply Industry – Transmission, Distribution and Rail Sector Guidelines for designing assessment materials.

#### **Using Prepared Assessment Tools**

If using prepared assessment materials, assessors should ensure that the materials are benchmarked, or mapped, against the current version of the relevant Competency Standard Unit(s) and any industry preferred model and supported by the industry. This can be done by checking that the materials are listed on the National Training Information Service (<http://www.ntis.gov.au>) or EE-Oz Training Standards ([www.ee-oz.com.au](http://www.ee-oz.com.au)). Specific materials on the list have been noted by the National Quality Council (NQC), as meeting the quality criteria for Training Packages.

#### **Developing Assessment Tools**

When developing their own assessment materials, assessors must ensure that the tools:

- are benchmarked against the selected Competency Standard Unit(s)

- are benchmarked against the industry-preferred competency assessment model
- are reviewed as part of the validation of assessment strategies as required under AQTF Standard 9.2i of the *Standards for Registered Training Organisations*
- meet the assessment requirements expressed in the *Standards for Registered Training Organisations*, particularly AQTF Standards 8 and 9.

A key reference for assessors engaged in developing assessment materials is the Training Package for Training and Assessment [TAA04] and Develop assessment tools [TAAASS403A].

### **Conducting Assessment**

This section details the mandatory assessment requirements and provides information on equity in assessment including reasonable adjustment.

### **Mandatory Assessment Requirements**

Assessments must meet, at minimum, the criteria set out in Standard 8 from the *Standards for Registered Training Organisations* which is reproduced below.

**8 RTO Assessments**

The RTOs assessments meet the requirements of the endorsed components of Training Package and the outcomes specified in accredited courses within the scope of its registration.

**8.1** The RTO must ensure that assessments, regardless of whether through a training and assessment pathway or an assessment-only pathway:

- i comply with the Assessment Guidelines included in the applicable nationally endorsed Training Package or the assessment requirements specified in accredited courses;
- ii lead to the issuing of a Statement of Attainment or qualification under the AQF when a person is assessed as competent against nationally endorsed Competency Standard Units in the applicable Training Package or any additional information related to knowledge and skills specifications (e.g. modules) prescribed in the applicable accredited course;
- iii comply with the principles of validity, reliability, fairness and flexibility;
- iv provide for applicants to be informed of the context and purpose of the assessment and the assessment process;
- v where relevant, focus on the application of knowledge and skill to the standard of performance required in the workplace and cover all aspects of workplace performance, including task skills, task management skills, contingency management skills and job role environment skills, and include transferable knowledge and skills to new situations and environments;
- vi involve the evaluation of sufficient evidence to enable judgements to be made about whether competency has been attained;
- vii identify issues related to techniques, OHS, language and literacy, cultural diversity, under-represented groups, and employability skills.
- viii provide for feedback to the applicant about the outcomes of the assessment process and guidance on future options;
- ix are equitable for all persons, taking account of cultural and linguistic needs; and
- x provide for reassessment on appeal.

**8.2 a** The RTO must ensure that RPL is offered to all applicants on enrolment.

**b** The RTO must have a RPL process that:

- i is structured to minimise the time and cost to applicants; and
- ii provides adequate information and support to enable applicants to gather reliable evidence to support their claim for recognition of competencies currently held, regardless of how, when or where the learning occurred.

## **Access and Equity**

An individual's access to the assessment process should not be adversely affected by restrictions placed on the location or context of assessment beyond the requirements specified in this Training Package.

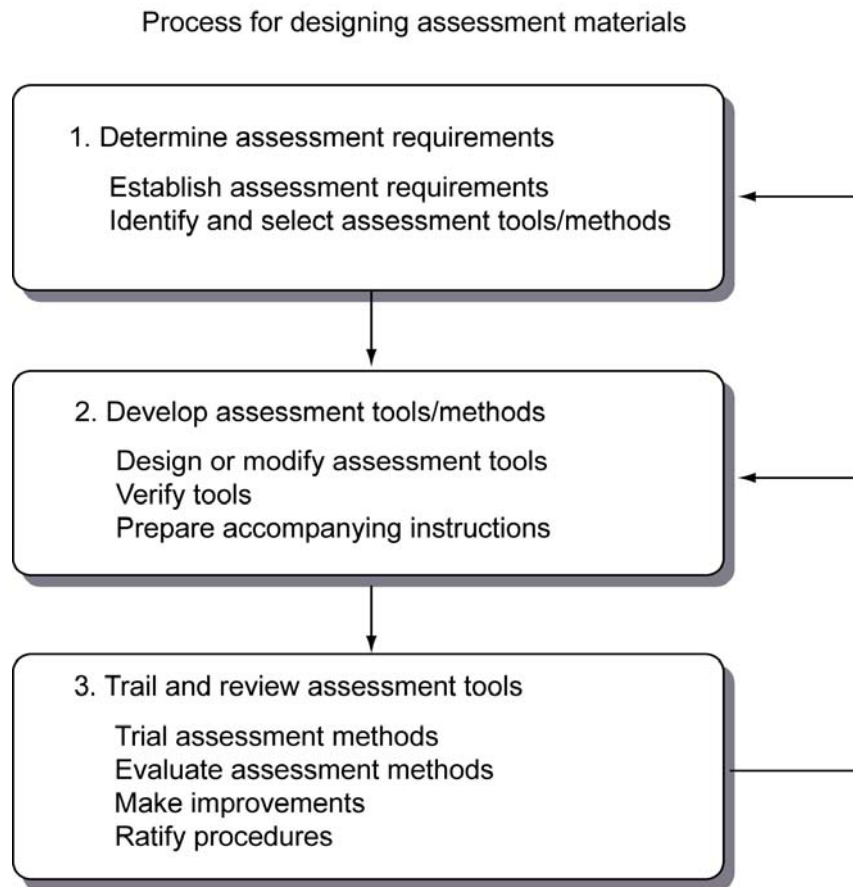
Reasonable adjustments can be made to ensure equity in assessment for people with disabilities. Adjustments include any changes to the assessment process or context that meets the individual needs of the person with a disability, but do not change competency outcomes. Such adjustments are considered 'reasonable' if they do not impose an unjustifiable hardship on a training organisation or employer. When assessing people with disabilities, assessors are encouraged to apply good practice assessment methods with sensitivity and flexibility.

### **3.8 Guidelines for Designing Assessment Materials**

Assessment Materials are developed, designed and implemented by appropriately authorised and competent assessors. The materials may range from relatively straight forward questions/answers and task tests to quite elaborate simulations for assessing concepts and values. Assessment materials for the Electricity Supply Industry – Transmission, Distribution and Rail Sector need to facilitate the process of assessment by:

- detailing the personnel and material preparations required to support the assessment process.
- establishing and/or confirming the circumstances under which the assessment is to take place.
- detailing the evidence to be collected and the method(s) to be used to do this.
- providing for the systematic review/analysis of the evidence and for the making of logical and supportable judgments.
- providing the means for the recording of the process and the judgments as required and in accordance with any regulatory and/or industry preferred arrangement
- providing a basis for post-assessment.
- providing counselling and guidance for the candidate.
- identify specialist technical advice related to such things as OHS, LLN, environmental and equity matters.

## Assessment Material Design Process



### *a) Determine assessment requirements*

**Establish assessment requirements.** In the development of tools and methods of assessment, the assessor will need to determine the range of methods appropriate to the assessment context and the characteristics of the person being assessed. The assessor may use the following questions when designing the assessment method:

1. Is the data gathering process sufficient, timely, valid and reliable to ensure the decision about competence relates to the overall requirements of the Unit?
2. Do you always need to assess real work?
3. How is the critical evidence specified?
4. How many assessment tasks are required to collect the critical evidence of competency?
5. Which assessment tasks will provide broad coverage of the Range Statement?
6. Are there any skills that the candidate should have or can develop before they are assessed for the Unit?

**Identify and select assessment tools/methods.** The assessor will be required to identify and select the assessment methods consistent with Electricity Supply Industry – Transmission, Distribution and Rail Sector assessment guidelines and procedures.

***b) Develop assessment tools/methods***

**Design or modify assessment tools.** The assessor will be required to design or modify existing assessment tools so that their format, language, literacy and numeracy requirements are appropriate to the characteristics of the assessment context and the person being assessed.

**Verify tools.** The assessor will need to verify the assessment tools, which maintain validity but are easy to administer, and allow sufficient flexibility to meet the range of possible assessment contexts.

**Prepare accompanying instructions.** The assessment system/process must be comprehensively and clearly documented so that the stages of assessment and their constituent parts may be observed and evaluated. The assessment materials must relate directly to the Competency Standard Unit or group of units making up a qualification and address the totality of competency in a realistic, holistic and effective way.

***c) Trial and review assessment tools***

**Trial and validate assessment tools.** The assessor will be required to trial and validate the assessment methods with a representative group of people similar to those who will ultimately be assessed. Once trials are conducted the assessor will need to seek responses from all parties and compile and analyse these responses.

**Evaluate assessment methods.** The assessor will evaluate the assessment methods and tools for clarity, reliability, validity, fairness and cost-effectiveness.

**Make improvements.** The assessor will modify the assessment tools based on the responses to the trials.

**Ratify procedures.** The assessor ratifies, with relevant people in the Electricity Supply Industry – Transmission, Distribution and Rail Sector, procedures of the evidence requirements, assessment methods and assessment tools and the processes used in developing them.

## **Assessment Material Requirements**

Essential requirements to be met by assessment materials include the following:

**Assessment of Competency Standard Units.** Assessment must directly address the Competency Standard Unit or group of units making up a qualification or skills cluster and, within this, satisfy the *critical aspects of evidence* including the related performance criteria, Range Statement and essential knowledge and associated skills.

**Assessment of practical applications.** Summative assessment of practical applications should, whenever possible and practicable, be conducted in a real work environment or in a realistically simulated work environment. Removal of the summative assessment from the real work environment should occur only to the extent necessitated by circumstances such as safety, noise, excessive cost and disruption to equipment operation, and access to the required work.

**Learning Outcomes or other curricula documents.** Outcomes are not to be the primary focus of summative assessment unless their direct relationship to the Competency Standard Unit(s) is formally approved by industry and recorded.

**Assessment of essential theory.** Summative assessment of the theory (essential knowledge and associated skills) underpinning competent performance is to be sufficiently rigorous and searching to ensure that individuals comprehend why they are doing something, the options they may use to achieve the required goal, and the fact that they can recall and/or locate and, interpret and transfer this information in varying contexts if it is needed at some other time. Typically, the specific level of depth and breadth the individual is required achieve is contained in industry and RTO sponsored essential knowledge and associated skills learning specifications that are aligned to respective Competency Standard Units.

**Assessment of learners with low language/literacy/numeracy skills/under-represented groups.** Assessment systems need to be capable of being applied in cases of low language/literacy/numeracy skills/under-represented groups. Reasonable adjustment strategies to address assessment of those with low language, literacy and numeracy skills and under-represented groups should be included in any Assessment Materials used by Registered Training Organisations, and be consistent with the quality assurance requirements of State Training Authorities for registration.

## **Range of assessment methods and their uses**

### *Types of assessment*

A variety of assessment types apply and can be used individual or in combination. These are:

**Direct observation.** Observe the learner carrying out their usual practical tasks in the workplace. This may be accompanied by questions. Direct observation is probably the easiest and most convenient method of assessment.

**Third party reports.** Information provided from immediate supervisory or other appropriate persons. An external assessor may not have the opportunity to make multiple observations of a candidate over a period of time, unlike an internal (in-house) assessor. The external assessor may obtain third party reports to supplement an assessment.

**Demonstration and questioning.** Candidate gives a demonstration of a practical task. If there is no opportunity to observe this competency in the standard work environment, the assessor may ask the candidate to provide a practical demonstration. The assessor can see both the process and the finished product.

**Pen and paper tests and essays.** These are used to measure the extent of knowledge or may test problem-solving capability. They can compliment practical demonstration.

**Oral tests.** These can be an adjunct to practical demonstration.

**Projects.** These tend to be unsupervised. The assessor uses the final product on which to base a judgement.

**Simulation.** This may involve an off-site practical test. The actual tasks and conditions are similar to real life situations and are in accord with prevailing industry policy enunciated by the Industry Skills Council for the industry. A Simulation Policy has been developed and can be obtained at [www.ee-oz.com](http://www.ee-oz.com).

**Portfolios.** These are used for assessing skills achieved in the past. They can include work samples.

**Profiling.** Information gathered over time from a structured profiled data entry card and resultant report.

### **Assessment Methods**

Assessment methods must be appropriate to the situation. Learners can be encouraged to use these methods for self-assessment. Combinations of these methods will be required for most situations (e.g. observations and oral questioning).

The recommended assessment methods outlined above, to collect the various kinds of evidence required to determine the candidate's competency, are:

A — oral questioning

B — structured observation of work

C — indirect supporting evidence (supervisor's reports)

Not all the methods need to be used. For example, during the assessment period the assessor may find that they don't need all three methods to collect sufficient evidence. The assessor may also plan to use other, equally valid, combinations of assessment methods.

It is recommended that assessors use open questions in conjunction with direct observations to assess the candidate's ability to:

- apply relevant knowledge to the particular task.
- perform the required tasks safely and efficiently.
- handle unforeseen contingencies and circumstances.
- recognise and solve problems associated with the whole job (which may not necessarily occur during the assessment).

It is recommended that supervisor's reports or verified calculations are used to confirm that workplace job activities have been completed on time and meet the required specifications. This is particularly relevant when the assessor may not be present for the total duration of the workplace job activity and/or the learner/candidate works as part of a team.

More information is also contained in section 3.10 Guide to assessment methods and items.

## **3.9 Sample assessment instruments to support training and assessment material design**

Information related to assessment material design, training and assessment activities, and sample assessment materials against competency standard units in this Training Package is included in Appendix B — Sample assessment instruments to support training and assessment material design.

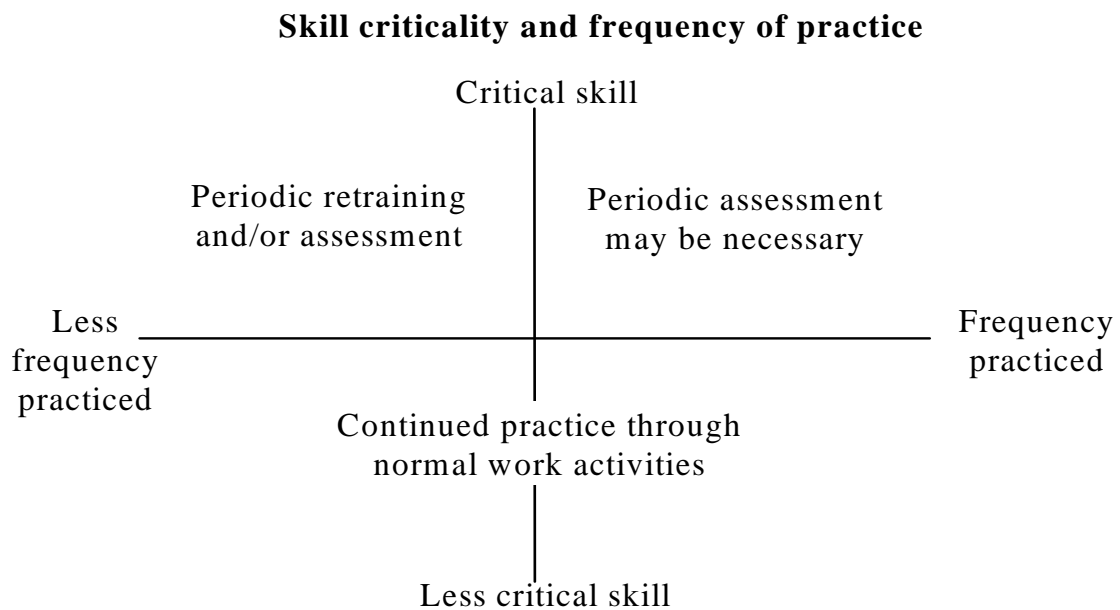
### 3.10 Guide to Assessment Methods and Items

**(Informative)**

Methods chosen for a particular assessment will be influenced by various factors. These include the extent of the assessment, the most effective locations for the assessment activities to take place, access to physical resources, additional safety measures that may be required and the critical nature of the competencies being assessed.

The critical safety nature of working with electricity and electrical equipment carries risk in deeming a person competent. Hence, sources of evidence need to be ‘rich’ in nature so as to minimise error in judgment.

Activities associated with normal every day work have a bearing on the decision as to how much and how detailed the data gathered will contribute to its ‘richness’. Some skills are more critical to safety and operational requirements while the same skills may be more or less frequently practiced. These points are raised for the assessors to consider when choosing an assessment method and developing assessment instruments. These considerations can be summarised as follows:



Irrespective of these considerations the assessment methods and instruments used should satisfy the conditions associated with sufficiency, currency, authenticity, validity, reliability, and be holistic in nature.

The following *Table F.1 – Guide to Assessment Methods and Items* provides a summary of assessment methods in common use and the situations in which they may apply.

**Table F.1 Guide to Assessment Methods and Items**

<b>Assessment method</b>	<b>Appropriate instruments</b>	<b>Valid purposes or use</b>	<b>Conditions and numbers</b>	<b>Time constraints</b>	<b>Repeat assessments possible</b>
<b>Written objective tests</b>	True/false Multiple choice Matching Completion	Confirming essential factual knowledge, principles Assessing deduction, transfer of knowledge Complementing other methods	Controlled classroom High level supervision Large numbers	Moderate	Many
<b>Written responses, short and extended answers</b>	Calculations Definitions, explanations Essays	Assessing use of information Application of knowledge General ideas and solutions Research, organization and expression of concepts or ideas	Test condition as above or Minimal supervision, and assistance	Moderate	Many
<b>Oral test/ technical interview</b>	Set question Scenarios	Assessing depth and breadth of knowledge Application of knowledge Relative to experience	Interview condition One to one	Moderate	Many
<b>On job or workplace assessment</b>	Observation, checklist Product assessment Questioning to complement observations	Identifying mastery or competence of practical task, technical skill or interpersonal skill in real or simulated setting Identifying gaps in education and training	Normal working conditions Moderate level supervision One to one Avoid expensive or hazardous situations	High	Nil to many depending on assessment of product or process
<b>Practical/ Exercises</b>	Stimulated work exercises Structured practical exercises Fault finding exercises	Checking mastery or competence of a practical task, technical skill, or subset of performance in a simulated work setting	Controlled laboratory or field setting High level supervision 10 to 15	Low	Several

<b>Assessment method</b>	<b>Appropriate instruments</b>	<b>Valid purposes or use</b>	<b>Conditions and numbers</b>	<b>Time constraints</b>	<b>Repeat assessments possible</b>
<b>Practical projects</b>	Research task or investigation Product or process development Individual learning contract	Assessing integration and application of a number of work related skills to solve a given problem Assessing individual approaches, innovation, creativity Assessing interaction with others	Access to laboratory, workshop or workplace Little supervision 10 to 15	Low	Several
<b>Assignments</b>	Resource life Case studied Poster presentation Reports of video or speaker presentations Reports of laboratory/field work, excursions Individual learning contracts Writing simple manuals or procedures	Confirming competence to research, analyse and synthesise information Assessment of application of knowledge, skills and attitudes where practical testing is not feasible Assessment of communication skills	Moderate of level control Non-test conditions Little supervision 10 to 15	Low	Several
<b>Personal appraisal</b>	Checklists or criteria which enable peer or self assessment	Establishing readiness for summative assessments Assessment of an individual's performance within a team effort	Non-test conditions Little supervision Small numbers	Low	Many
<b>Verbal assessment</b>	Oral exposition or lecture Seminar, presentation and group discussion Oral/aural tests Interviews	Confirming understanding of principles underpinning performance Supplement to other assessment methods Verification of learner's submitted work.	Moderate level of control High level of supervision One to one	Low	Several

<b>Assessment method</b>	<b>Appropriate instruments</b>	<b>Valid purposes or use</b>	<b>Conditions and numbers</b>	<b>Time constraints</b>	<b>Repeat assessments possible</b>
<b>Profiling<sup>2</sup></b>	Structure manual or computer-based log.	Tracks competency development against the industry standard profile specified by CSUs.  Identifies when remedial action is required during development period.	<sup>3</sup> Real work conditions under workplace supervision.  Off-job assessment events  Any number	Low / Medium	On going

<sup>2</sup> A valid profile is based on periodic collection of relevant data over the duration of a competency development training program.

<sup>3</sup> A complete profile is constructed from all required evidence of competency, however where a profile of only workplace performance is used it must be supplemented with other methods such as those outlined in this table.

### **3.11 Guidelines for Conducting Assessments**

The following describes the industry-preferred process for conducting assessments against the Competency Standard Unit(s) in this Training Package. This process applies to all assessments conducted for the purposes of national recognition in both institutional and workplace contexts.

Assessment within the Electricity Supply Industry – Transmission, Distribution and Rail Sector is to be carried out by a Qualified Assessor who will have been trained in the conduct of assessment. The main issues to be satisfied during the conduct of assessment include the following:

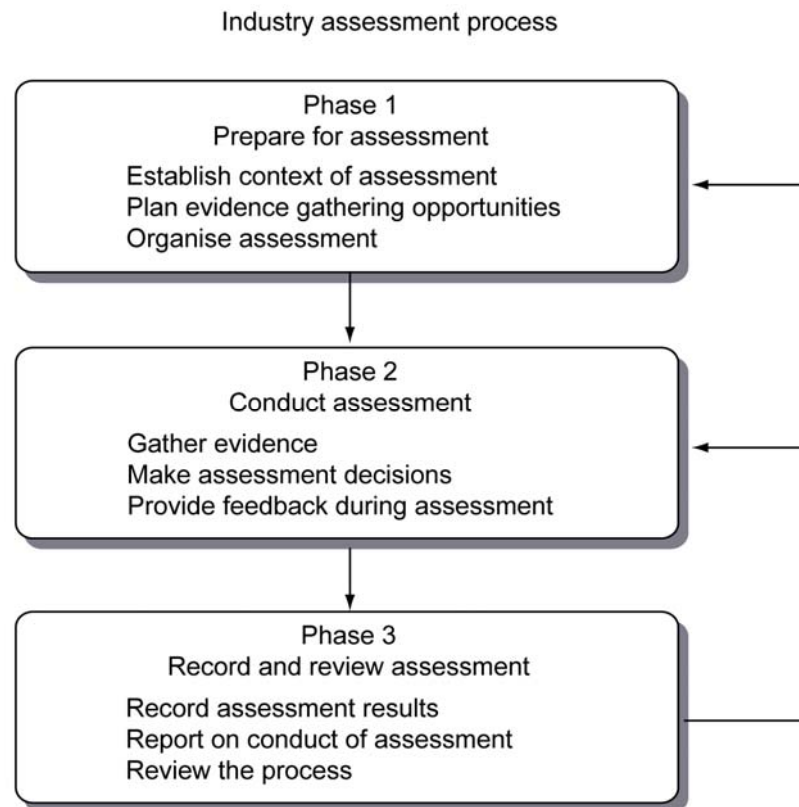
- Assessment should be planned, arranged and organised well in advance of the event/process.
- The candidate should be involved in the planning and preparation so that their readiness and availability is assured, and their advice on evidence collection opportunities may be considered.
- The environment within which assessment is to occur is acceptable to the parties and conducive to the assessment process.
- The Assessor's actions throughout the process are firm, fair, friendly and unambiguous.
- Specific rulings on safety breaches are explained up-front and acted on in accordance with the assessment materials.
- The assessment process should contain no surprises for any party.
- Feedback is provided as required throughout the assessment process.
- Post assessment activities including recording, reporting, counselling etc. are finalised promptly.

Candidates will invariably be accepting of the outcomes of an assessment process in which:

- they consider they were treated fairly, consistently and with dignity.
- they were given the full opportunity to demonstrate their capabilities.
- the reasons for the assessment decisions were appropriate, logical and constructively explained.
- the assessment judgements are conveyed in a sensitive and constructive manner.

The following provides an overview for assessment within the Electricity Supply Industry – Transmission, Distribution and Rail Sector. It outlines the process involved in conducting assessment in both the institutional and workplace context, and consists of three major components that each assessor will need to do:

## Prepare for Assessment



### The assessor:

- establishes the context and purpose of the assessment
- identifies the relevant Competency Standard Unit(s), assessment guidelines and qualification framework in this Training Package which contains the vocational standards for industry including the relevant performance measures applying to assessment
- identifies any NTQC noted support materials that have been developed to facilitate the assessment process
- analyses the competency standards and identifies the evidence requirements
- identifies potential evidence collection methods
- identifies issues related to techniques, OHS, language and literacy, cultural diversity, under-represented groups and employability skills.

### Prepare the Candidate

The assessor meets with the candidate to:

- discuss and confirm the purpose of assessment with the candidate and where appropriate, the employer
- explain the context and purpose of the assessment and the assessment process;
- explain the competency standards to be assessed and the evidence to be collected and ensure the candidate has access to the relevant competency standards and other relevant information;
- explain and obtain agreement to the assessment procedure
- advise on self-assessment, including processes and criteria;
- outline the assessment procedure, the preparation the candidate should undertake, and answer any questions.
- assess the needs of the candidate and, where applicable, negotiate reasonable adjustment for assessing people with disabilities without compromising the integrity of the competencies;
- seek feedback regarding the candidate's understanding of the Competency Standard Unit(s), evidence requirements and assessment process;
- determine if the candidate is ready for assessment and, in consultation with the candidate, decide on the time and place of the assessment;
- develop an assessment plan.
- discusses the Electricity Supply Industry – Transmission, Distribution and Rail Sector and enterprise assessment policy with the candidate (they need to understand how the competencies to be assessed will fit in with the Industry training policy and preferred framework or enterprise arrangements for training and assessment. The assessor should also understand what the candidate has done to acquire the knowledge and skills).

### Plan and Prepare Evidence-Gathering Process

Practical assessment should preferably be conducted on site. However, if on-site practical assessment is not possible then off-site assessment at a mutually agreeable site could be appropriate. It can be part of the current work (i.e. observation of current tasks) or a demonstration (i.e. a simulated task).

The assessor must:

- establish a plan for gathering sufficient quality evidence about the candidate's performance in order to make the assessment decision (and involve industry representatives in the development of plans for the validation of assessment)
- identify opportunities to gather evidence of competence which occurs as part of the workplace activities;
- ensure the planned approach to gathering evidence will provide sufficient, reliable, valid and fair evidence of competence
- source or develop assessment materials to assist in the evidence gathering process.

- choose the techniques that will be used to assess the candidate’s knowledge and skill;
- organise equipment or resources required to support the evidence gathering process.
- check the assessment environment permits fair, valid and reliable assessment and that it is safe and accessible;
- inform other relevant people of assessment plans, coordinate and brief other personnel involved in the evidence gathering process;
- identify the need to gather additional evidence which may not occur as part of workplace activities; and
- considers issues related to techniques, OHS, language and literacy, cultural diversity, under-represented groups and employability skills..

### **Collect the Evidence and Make Assessment Decisions**

The assessor must:

- establish and oversee the evidence gathering process to ensure its validity, reliability, fairness, flexibility and consistency.;
- collect appropriate evidence and assess this against the Elements, Performance Criteria, Range Statement and Evidence Guide in the relevant Competency Standard Unit(s)
- evaluate evidence in terms of the four dimensions of competency - task skills, task management skills, contingency management skills, and job/role environment skills
- incorporate allowable adjustments to the assessment procedure without compromising the integrity of the competencies;
- evaluate the evidence in terms of validity, consistency, currency, equity, authenticity and sufficiency;
- gathers evidence related to techniques, OHS, language and literacy, cultural diversity, under-represented groups, key competencies and skills enabling employment;
- consult and work with other staff, assessment panel members or technical experts involved in the assessment process;
- document the evidence gathered in accordance with the assessment procedure and record details of evidence collected;
- make a judgement about the candidate's competency based on the evidence and the relevant Competency Standard Unit(s) and the criteria specified in the assessment procedure.

### **Provide Feedback on the Assessment**

The assessor must provide advice to the candidate about the outcomes of the assessment process. This includes providing the candidate with:

- clear and constructive feedback on the assessment decision
- information on ways of overcoming any identified gaps in competency revealed by the assessment

- the opportunity to discuss the assessment process and outcome
- information on reassessment and the appeals process.

### **Record and Report Results**

The assessor must:

- record the assessment outcome according to the policies and procedures of the RTO
- maintain records of the assessment procedure, evidence collected and the outcome according to the policies and procedures of the RTO
- maintain the confidentiality of the assessment outcome
- organise the issuing of qualifications and/or Statements of Attainment according to the policies and procedures of the RTO.

### **Review Assessment Process**

On completion of the assessment process, the assessor must:

- review the assessment process
- report on the positive and negative features of the assessment to those responsible for the assessment procedures
- if necessary, suggest to appropriate personnel in the RTO ways of improving the assessment procedures.

### **Participate in the Reassessment and Appeals Process**

The assessor must:

- provide feedback and counsel the candidate, if required, regarding the assessment outcome or process, including guidance on further options
- provide the candidate with information on the reassessment and appeals process
- report any disputed assessment decision to the appropriate personnel in the RTO
- participate in the reassessment or appeal according to the policies and procedures of the RTO.

### **Review and Maintenance of the Assessment System**

The developer and custodian, EE-Oz Training Standards of this Training Package which contains the vocational standards for industry is responsible for the ongoing monitoring and review of these Assessment Guidelines. This process will be incorporated in the general review and maintenance of this Training Package.

### 3.12 Maintenance of Assessment Guidelines

The Electricity Supply Industry – Transmission, Distribution and Rail Sector Assessment Guidelines were developed by, and is therefore owned by the industry.

The Assessment Guidelines must be maintained so that it reflects the ongoing needs of the Industry sector and responds in a timely manner to changed technologies, work organisation, skills development and related circumstances.

Responsibility for maintaining of the Assessment Guidelines is shared by the parties who constitute the sector:

- Assessment Guidelines maintenance will be coordinated and managed by EE-Oz Training Standards in its role as a declared Industry Skills Council for ElectroComms and EnergyUtilities
- Suggestions and proposals for changes from all parties are welcome. These should be documented and submitted to EE-Oz Training Standards the DEEWR declared Industry Skills Council for the ElectroComms and EnergyUtilities Industry.

### 3.13 General Resources

*AQF Implementation Handbook, Third Edition.* Australian Qualifications Framework Advisory Board, 2002 <http://www.aqf.edu.au>

Australian Quality Training Framework (AQTF) – for general information go to: <http://www.DEEWR.gov.au/aqtfWhat.asp>

Australian Quality Training Framework (AQTF) – for resources and information go to: (<http://www.DEEWR.gov.au/pubBundle.asp?qsID=10>)

Australian Quality Training Framework *Standards for Registered Training Organisations*, Australian National Training Authority, Melbourne, 2001. Available in hard copy from DEEWR or can be downloaded from <http://www.DEEWR.gov.au/pubBundle.asp?qsID=10>

*BSZ98 Training Package for Training and Assessment.* This is available from the following organisations and can be viewed, and components downloaded, from the National Training Information Service (NTIS). National Training Information Service, an electronic database providing comprehensive information about RTOs, Training Packages and accredited courses. (<http://www.ntis.gov.au/>)

*Training Package Development Handbook*, Australian National Training Authority, Melbourne, 2001. Available in hard copy from DEEWR or can be downloaded from <http://www.DEEWR.gov.au/publication.asp?qsID=213>

Style Manual for Training Package Endorsed Components, Australian National Training Authority, Melbourne, December, 2003. Available in hard copy from DEEWR or can be downloaded from <http://www.DEEWR.gov.au>

### **Assessment Resources**

Training Package Assessment Guides a range of resources to assist RTOs in developing Training Package assessment materials developed by DEEWR with funding from the Department of Education, Training and Youth Affairs. It is made up of 10 separate titles, as described at [www.DEEWR.gov.au/project/tpAssessment/](http://www.DEEWR.gov.au/project/tpAssessment/). Go to [www.resourcegenerator.gov.au/loadpage.asp?TPOAG.htm](http://www.resourcegenerator.gov.au/loadpage.asp?TPOAG.htm)

Printed and / or CD ROM versions of the Guides can be purchased from Australian Training Products (ATP). The resource includes the following guides:

1. Training Package Assessment Materials Kit
2. Assessing Competencies in Higher Qualifications
3. Recognition Resource
4. Kit to Support Assessor Training
5. Candidate's Kit: Guide to Assessment in Australian Apprenticeships
6. Assessment Approaches for Small Workplaces
7. Assessment Using Partnership Arrangements
8. Strategies for ensuring Consistency in Assessment
9. Networking for Assessors
10. Quality Assurance Guide for Assessment
11. Delivery and Assessment Strategies.

### **Assessment Tool Design and Conducting Assessment**

VETASSESS and Western Australian Department of Training and Employment, 2000, Designing Tests - Guidelines for designing knowledge based tests for Training Packages.

Vocational Education and Assessment Centre 1997, Designing Workplace Assessment Tools, A self-directed learning program, NSW TAFE.

Manufacturing Learning Australia, 2000, Assessment solutions, Australian Training products, Melbourne.

Rumsey, David 1994, *Assessment practical guide*, Australian Government Publishing Service, Canberra.

### **Assessor Training**

Australian Committee on Training Curriculum (ACTRAC), 1994, Assessor training program - learning materials, Australian Training products, Melbourne.

Australian National Training Authority, A Guide for Professional Development, DEEWR, Brisbane.

Australian National Training Authority, Facilitator Packs for Certificate IV in Training and Assessment.

Australian National Training Authority, Facilitator's Pack for Train Small Groups and Assessment.

Australian Training Products Ltd, Training and Assessment, Training Package — Toolbox.

Green, M., Moritz, R., Moyle, K. and Vale, K., 1997, Key competencies professional development Package, Department for Education and Children's Services, South Australia.

Victorian TAFE Association, 2000, The professional development CD: A learning tool, VTA, Melbourne.

### **Conducting Assessments**

Bloch, B. and Thomson, P., 1994, *Working Towards Best Practice in Assessment: A case study approach to some issues concerning competency-based assessment in the vocational education and training sector*, NCVET, Adelaide.

Docking, R., 1991, *An A-Z of Assessment Myths and Assessment in the Workplace, Competence assessment briefing series*, No. 4, Employment Department, Perth, Western Australia.

Hawke, Geoff, 1996, Integrating Assessment of Learning Outcomes, Assessment Centre for Vocational Education, Sydney.

Hawke, Geoff, 1995, *Work-based Learning: Advice From Literature*, Assessment Centre for Vocational Education, Sydney.

National Assessors and Workplace Trainers Body, *Putting it into practice* [Training Package implementation Guide].

Parsloe, E., 1992, *Coaching, Mentoring and Assessing: A practical guide to developing competence*, Kogan Page, London.

Rumsey, David, 1993, "Practical issues in Workplace Assessment" in National Assessment Research Forum: A forum for research into competency-based assessment. [VEETAC Competency Based Training Working party Assessment Steering Group], NSW TAFE Commission, Sydney.

Rumsey, David, 1994, *Assessment Practical Guide*, Australian Government Publishing Service, Canberra.

### **Evidence-Gathering Methods**

Australian National Training Authority, 1998, *A new assessment tool*, DEEWR, Melbourne.

Goncz, A. (ed.), 1992, *Developing a competent workforce: adult learning strategies for vocational education and training*, TAFE National Centre for Research and Development, Adelaide.

Kearney, Paul, 1992, *Collaborative assessment techniques*, Artemis, Tasmania.

National Assessors and Workplace Trainers Body, *The evidence resource kit - containing language, literacy and numeracy video and CD ROM* -

National Assessors and Workplace Trainers Body, *The evidence workbooks*

### **Assessment System Design and Management**

Office of Training and Further Education 1998, *Demonstrating best practice in VET project – assessment systems and processes*, OTFE Victoria.

Toop, L., Gibb, J and Worsnop, P, *Assessment system designs*, Australian Government Publishing Service, Canberra.

Western Australia Department of Training and VETASSESS 1998, *Kit for Skills Recognition Organisations*, WADOT, Perth

National Centre for Vocational Education and Research, 1996, *Integrating assessment: removing the on the job/off the job gap*, Conference papers from 4-6 June, Western Australian Department of Training.

OTFE, 1998, *Demonstrating best practice in VET project - assessment systems and processes*, Victoria.

Wilson, P., 1993, *Integrating workplace and training system assessments*, Testing Times Conference, NCVER, Sydney.

Field, I., 1995, *Managing organisational learning*, Longman, Melbourne.

Recognition of Current Competency/ Recognition of Prior Learning

Recognition and Assessment Centre, 1994, *New place: Same Skills. A guide for people from non-English speaking backgrounds*, Office of Multicultural Affairs, DEET.

Recognition and Assessment Centre, *A Flexible Approach to Recognition Practices: RPL as a Framework*, Melbourne Recognition and Assessment Centre, PO Box 299, Somerton, Vic 3062, Telephone (03) 9254 3000.

### 3.14 Further Sources of Information

This section provides a listing of useful contacts and resources to assist assessors in planning, designing, conducting and reviewing of assessments against this Training Package which contains the vocational standards for industry.

Contact	Details
<b>National Industry Skills Council (ISC) for the ElectroComms and EnergyUtilities Industry</b>	<b>EE-OZ Training Standards</b> PO Box 1202 DICKSON ACT 2602 Telephone: 02 6241 2155 Fax: 02 6241 2177 Email: <a href="mailto:ee-oz@ee-oz.com.au">ee-oz@ee-oz.com.au</a> Website: <a href="http://www.ee-oz.com.au">www.ee-oz.com.au</a>

**Contact**

**Details**

**Western Australia ITC**

**WA IEU ITC Inc**

PO Box 597

BALCATTWA WA 6021

Tel: 08 9240 2688

Fax: 08 9240 2930

E-mail: [info@ieu.com.au](mailto:info@ieu.com.au)

**New South Wales ITAB**

**NSW U&E ITAB**

PO Box 615

DARLINGHURST NSW 1300

Tel: 02 9266 0001

Fax: 02 9261 5511

Email: [naomi@uensw.com.au](mailto:naomi@uensw.com.au)

**Victoria**

**EPIC Industry Training**

29 Drummond St

CARLTON VIC 3053

Tel: 03 9654 1299

Fax: 03 9654 3299

Email: [epicitb@epicitb.com](mailto:epicitb@epicitb.com)

**Contact**

**Details**

**South Australia**

**Electrical, Electrotechnology, Energy & Water Skills Board**

PO Box 2584

REGENCY PARK SA 5010

Tel: (08) 8347-4008

Fax: (08) 8219-0015

Email: [admin@eeewsb.com.au](mailto:admin@eeewsb.com.au)

**Queensland**

**Energy Skills Queensland**

PO Box 273

SALISBURY QLD 4107

Tel: 07 3277 1333

Fax: 07 3276 8252

Email: [energyskillsqld@energyskillsqld.com.au](mailto:energyskillsqld@energyskillsqld.com.au)

**Northern Territory**

**Major Industries Training Advisory Council**

GPO Box 1610

DARWIN NT 0801

Tel: 08 8981 0077

Fax: 08 8941 7470

Email: [mitac@mitac.org.au](mailto:mitac@mitac.org.au)

## Access to Assessment Resources

### Learning Resources

### **EE-OZ Training Standards**

PO Box 1202

DICKSON ACT 2602

Telephone: 02 6241 2155 Fax: 02 6241 2177

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

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

### **Australian Training Products Ltd**

Level 25, 150 Lonsdale Street

MELBOURNE VIC 3000

PO Box 5347BB

MELBOURNE VIC 3001

Telephone: (03) 9655 0600

Fax: (03) 9639 4684

Website: <http://www.atpl.net.au>

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

## **Appendix A — Australian Apprenticeships**

New Apprenticeships are work related competency programs designed for entry-level contracted employment for new entrants to the industry. All qualifications in this Training Package could be open to use as New Apprenticeships and are governed by State/Territory Training Authority arrangements and their limitations.

New Apprenticeships offer both employers and employees:

- relevant training
- a range of support service arrangements.

They typically involve paid work and structured training and are underpinned by a training contract, which is registered with the relevant State/Territory Training Authority. Completion of the competency development program leads to an AQF qualification.

In some instances, and subject to any relevant State/Territory Training Authority arrangements, existing non-apprenticed workers may be eligible for New Apprenticeship opportunities. Inquiries with the relevant State/Territory Training Authority should be made in this regard.

Like traditional apprenticeships, Australian Apprenticeships involve a commitment from:

- the employer to provide an environment for systematic training of the Australian Apprentice
- the Australian Apprentices to apply themselves to learning the requirements of their vocation
- a Registered Training Organisation (RTO)<sup>4</sup> to be responsible for providing the vocational education, training and assessment support services and the eventual issuing of a national qualification

In the Electricity Supply Industry - Transmission, Distribution and Rail Sector, Australian Apprenticeships are available for all the qualifications outlined in this Training Package. Australian Apprentices seeking one of the national qualifications will be required to undergo a training program or course of study that involves learning and assessment activities. The related learning and assessment activities are documented and involve:

- the employer
- the employee
- the RTO.<sup>5</sup>

On successful completion of the training program or course of study an RTO will issue the Australian Apprentice a national qualification.

### **Entry Requirement**

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4 For more information on RTOs see DEST's 2005 Australian Quality Training Framework Standards for Registered Training Organisations, effective from 1 July 2005 publication.

5 TAFE Institutions, Universities with TAFE sectors, Skills Centres and similar enterprises that can deliver vocational training are eligible to become RTOs.

Under Australian Apprenticeships, the employer is able to determine the relevant employment criteria for recruiting a new entrant into the Electricity Supply Industry. The choice, however, is usually dependent on enterprise employment practices and needs including requirements that may be imposed by relevant regulations and codes of practice.

There is, however, a common set of attributes/profiles that are industry preferred for the recruiting of Australian Apprentices. Some of the more common ones are:

- Any person aged 15 years or more can apply for a Australian Apprenticeship.
- Most employers require applicants who have completed at least Year 10 of a secondary school education program.
- Employers customarily prefer applicants who have successfully completed Years 11 or 12 of a secondary school education program or a post secondary education pre-employment course.

Potential entrants should be aware that employers are looking for the following personal attributes:

- effective numeracy and literacy skills
- effective communications skills
- acceptable presentation
- punctuality
- a positive attitude
- interest in the industry as a career
- ability to work at heights or in confined spaces and around moving machinery
- ability to distinguish between colours.

For entry-level employment based contracted training Australian Apprenticeships the composition of the relevant qualification needs to be determined in accordance with the completion requirements detailed here and be subsequently agreed to between the respective parties.

General principles regarding the composition of qualifications are as follows:

- Competency Standard Units making up a qualification must be appropriate to the work being performed and be performed by the person seeking the qualification
- Competency Standard Units making up a qualification must be appropriate to the level and integrity of the qualification sought.

The terms and conditions for employment based entry-level contracted training require a training agreement or contract, which will be provided by State or Territory Training Authorities. Such an agreement is called an Apprenticeship/Traineeship Training Contract, which requires parties to the contract to select the appropriate qualification, Competency Standard Units and to adopt an industry-preferred model or design a new training plan/program. Additionally, the responsibilities of the parties to the contract will be contained therein.

The employment of an Apprentice (sometimes also called a Trainee) by an Employer is subject to the relevant legislation and any applicable industrial instrument, order or determination made under that related Statutory Act. Appropriate information should be obtained from relevant authorities in this regard.

## **General principles governing the Competency Development Program**

Consultation between the RTO, the employer and apprentice/trainee will have occurred and agreement reached on the Competency Development Program that will be delivered. Typically the RTO will adopt the industry-preferred approach where regulatory arrangements are in place or design an appropriate program in concert with the Industry. The apprentice/trainee would be expected to undertake the Competency Development Program in order to attain competence in the given qualification.

## **The Competency Development Program**

A training contract provides a description of the process for undertaking training during the life of the program. This is developed in consultation with the RTOs.

## **The Training Program**

### **1. Expected duration of workplace program in hours**

The training program will detail the anticipated duration in hours that the apprentice/trainee is expected to undertake in order to gain the necessary competencies. Information regarding the suggested nominal duration for respective AQF levels of Australian Apprenticeships is available from respective parties and includes EE-Oz Training Standards. The training plan will outline the requisite on and off-the-job arrangements that apply to it.

### **2. On-the-job skills development program**

In consultation with the apprentice/trainee and employer, the RTO would outline how it intends to monitor the on-the-job component, i.e. providing advice on how evidence is to be gathered when the apprentice/trainee is in the workplace. Apprentices/trainees are expected to assist RTOs in gathering and submitting workplace evidence as per the industry-preferred approach. This is particularly important where regulatory arrangements are in place. RTOs in turn monitor the performance of the apprentice/trainee and provide appropriate feedback to them and the employer.

### **3. Off-the-job skills development program**

The training contract will detail, where applicable, the off-the-job (technical education) program the RTO will deliver in order to gain the necessary underpinning skills and knowledge. This is typically a program preferred by the industry undertaken by the apprentice/trainee. For example where modules or essential knowledge and associated skills strategies apply, the number, title and duration of each will generally be advised. This will also include the expected duration of the technical educational program in hours.

## **Typical duration — Australian Apprenticeships**

In developing this Training Package due regard has been given, by industry, to a range of influencing factors associated with the typical period of employment and related training for individuals seeking a qualification, using the Australian Qualification Framework (AQF). In developing such, regard has also been given to the NTQC policy on providing industry advice on this matter.

As a general rule it is expected, that by employing the respective techniques and processes detailed in the preferred and adopted industry training model, those employed

and undertaking training to satisfy the outcomes of Competency Standard Units, as new entry-level recruits, will take a “nominal duration” of employment to complete. EE-Oz Training Standards has developed industry advice in relation to the nominal duration of employment to assist users in their activities. Detailed information on typical new apprentice durations, at each of the AQF levels is available from EE-Oz Training Standards. This detail can be obtained directly from EE-Oz Training Standards or found on the EE-Oz Training Standards website at [www.ee-oz.com.au](http://www.ee-oz.com.au). Additionally, more specific information may be contained within any related support materials that may exist as non-endorsed components of this Training Package and in particular the industry-preferred training plan applicable to each qualification.

Nominal duration of training is generally defined by State, Territory and Federal Training Authorities policies and/or regulations. Typically these are set out in State/Territory Training Package Implementation Guides. Interested State/Territory parties should ensure they refer to the relevant Training Package Implementation Guide. These can be accessed via the respective State/Territory Training Authority websites.

## **Appendix B — Sample Assessment Instruments**

*These instruments are designed to Support Training and Assessment Material Design*

This Appendix provides advisory and sample information for assessment material design against Competency Standard Units in this Training Package. It is principally about training and assessment activities that can be used to benchmark quality outcomes.

It provides information about assessment material design and other resources available to support implementation of the Training Package. The information contained herein shows how these resources relate to the workplace and where they can be obtained. It includes sample assessment tools (sample instruments) developed to assist those involved in benchmarking their activities for gathering evidence about workplace activities and workplace experiences for training and assessment purposes.

Sample assessment instruments included were developed for documenting workplace experiences related to the requirements of this Training Package. The assessment strategies and instruments are primarily for use as advisory information for workplace assessors and/or their agents (workplace supervisors or technical experts) who may be employees of Registered Training Organisations or enterprises.

A number of terms used refer to aspects of implementing the Training Package. A Glossary of Terms (*see* Appendix A) is included to clarify the specific meaning of these terms.

This Appendix should be read in conjunction with the following publications:

- The respective volumes of this Training Package
- Training Package for Training and Assessment TAA04
- Training Acts and Regulations in the relevant Australian State or Territory
- Policies of the Registered Training Organisation (RTO) involved with training and assessment for the Industry.

### **Sources of Education, Training and Assessment Information**

This section shows how the Training Package and associated resources relate to recruitment, training, assessment and recognition activities which may be undertaken by Industry, enterprises and/or Registered Training Organisations.

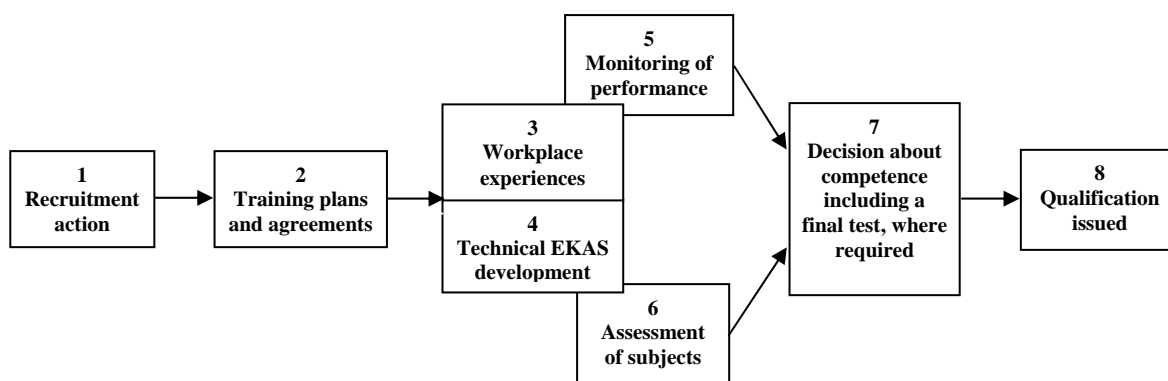
This section also introduces a competency development and/or recognition model based on combined on and off-the-job training, as well as a model that allows individuals to have previous learning and work experience recognised.

### **Combined on and off-the-job competency development model**

The model shown below is a simplified version of the detailed contracted new entry level industry-preferred competency development model which combines on and off-the-job education, training and assessment leading to competent performance. A detailed copy of the model is available from EE-Oz Training Standards website at [www.ee-oz.com](http://www.ee-oz.com). This model recognises that learning occurs as a result of:

- experience in recurring workplace events
- directed workplace learning activities

- structured off-the-job essential knowledge and associate skills technical educational activities.



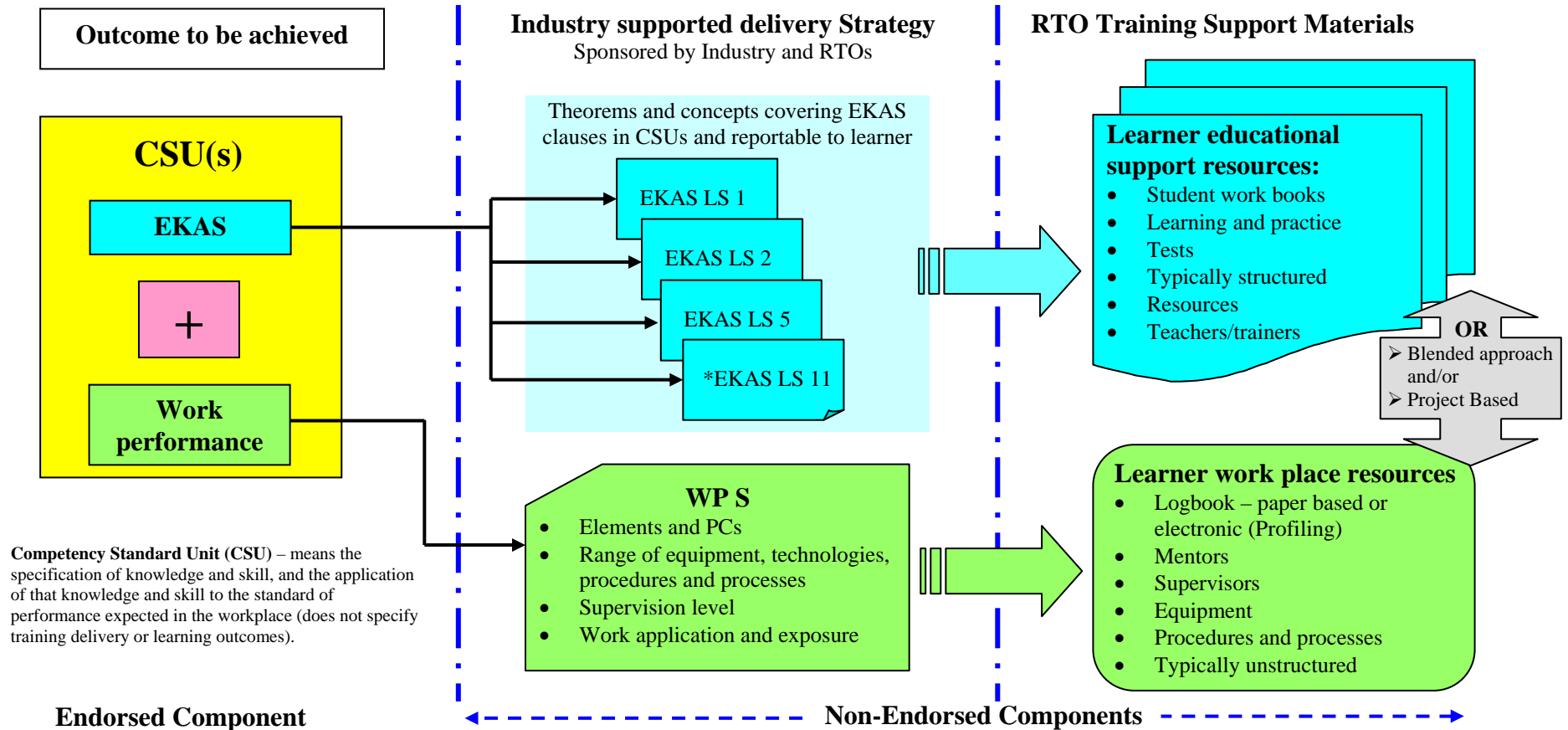
### Competency Development Model

This model is structured around a new entry level learner undertaking a full competency development program. The model can also accommodate the assessment of prior learning within the continuum of new entrant to competent. In this way it is consistent with the Assessment Pathways outlined in this Assessment Guidelines part of the Training Package.

#### **New Entrant Training and Assessment Materials and Resource Design and Development**

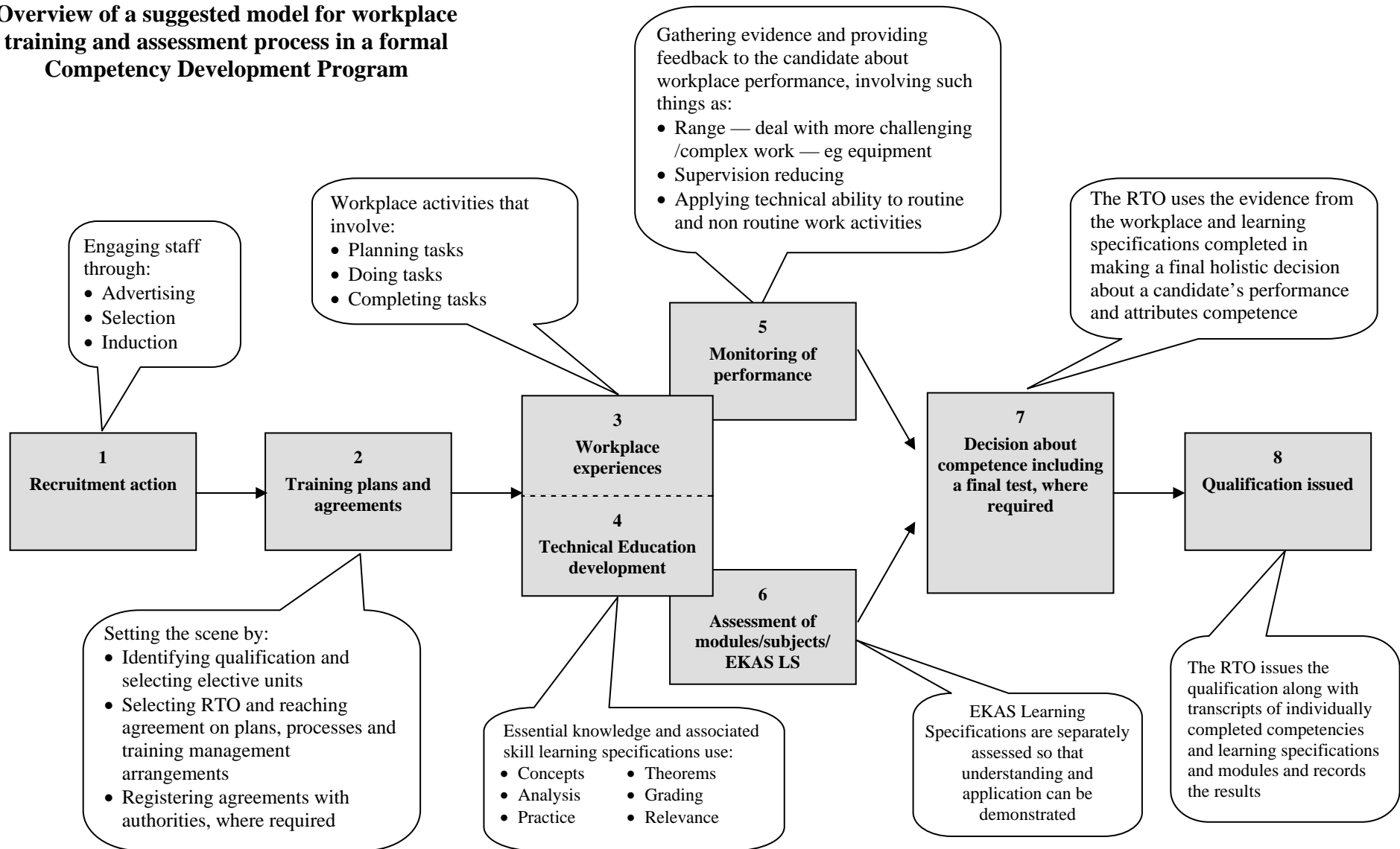
In designing training and assessment materials and resources to support new entrant competency development consideration should be given to the preferred Industry approach to learner development. The concept model detailed on the next page explores how training and assessment materials and resources may be best developed for one or many Competency Standard Units. RTOs using this approach ensure increased consistency in meeting the specifications in learning and work performance against the Competency Standard Units, and in developing the learner in a cost effective way with little disruption to the day-to-day operation of the workplace. It also assures that a learner having completed aspects of, but not the full array of, Competency Standard Unit(s), can be accorded information that is sufficient to warrant recognition for learning content (Essential Knowledge and Associated Skills) that is transferable to other environments in the Industry.

**RTO competency development training design model for new entrants using one CSU as an example**



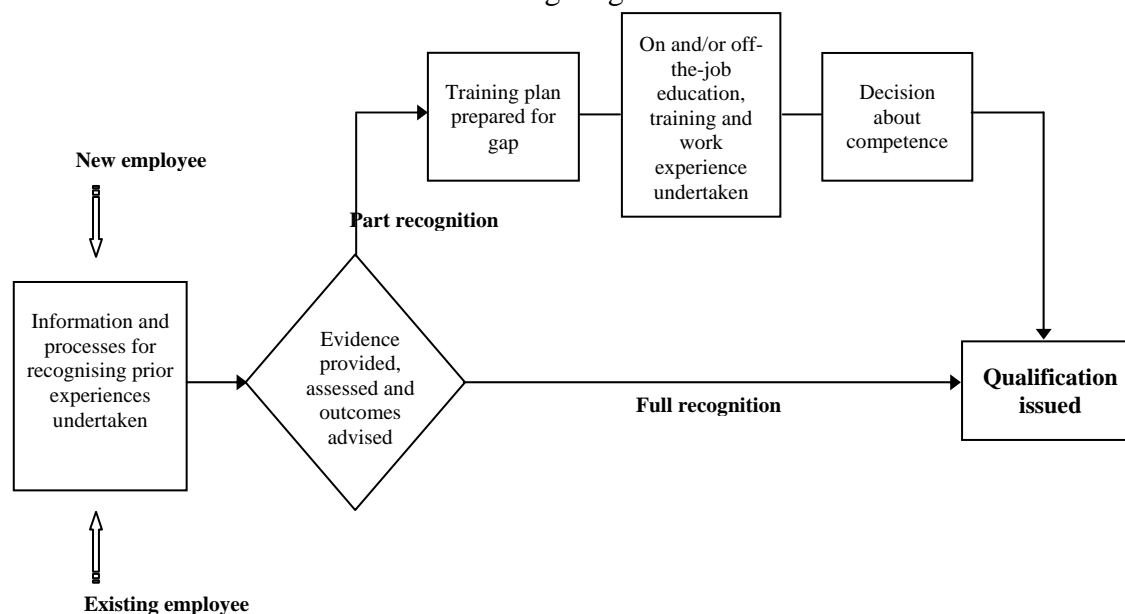
*EKAS LS – Essential Knowledge and Associated Skills Learning Specifications = where EKAS LS 1 – may cover many units, EKAS LS 2 – may cover a number of units, EKAS LS 5 – may cover several units, and/or EKAS LS 11 – may be unique to the unit (refer to Volume 1 Part 2 and Volume 2 Part 2 for more detail)*

### Overview of a suggested model for workplace training and assessment process in a formal Competency Development Program



## Recognition of Prior Learning/Experience Model

A typical process for candidates seeking to have their prior experiences recognised within the model is shown in the following diagram.



## Learning and Assessment strategies

The skills and knowledge required by a competent worker are described in terms of Competency Standard Units. To be assessed as ‘competent’, against competency standards, individuals need to demonstrate they have achieved the requisite workplace functions and have also acquired the specified essential knowledge and associated skills (EKAS) underpinning performance.

A candidate wishing to be assessed against a specific competency standard unit(s) must be assessed by a qualified assessor. The assessor must use assessment processes, methods and tools which are in line with this Training Package.

Assessment involves gathering evidence to demonstrate that an individual has the necessary essential knowledge and associated skills required by the specified competency standard(s) together with requisite work performance. This may include assessment of knowledge and skills obtained through educational courses as well as through application of knowledge and skills in the workplace using workplace processes, equipment and activities.

## Assessment Planning

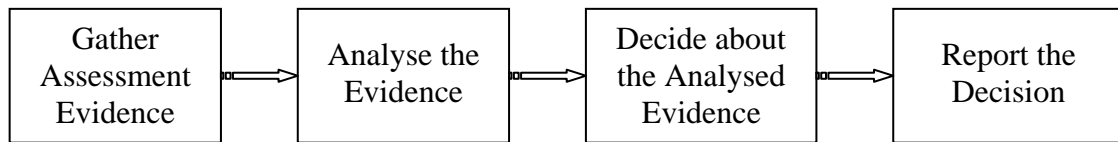
Good planning of workplace assessment is most important. The plan is to be based on a suitable process that is in line with the Competency Unit — TAAASS401A Plan and organise assessment from the Training and Assessment Training Package. Assessors need to address the following components of competence in Training Package TAA04, which cover:

- establishing evidence requirements for a specific context
- establishing suitable assessment methods
- developing assessment tools appropriate to a specific assessment context

- trialling assessment procedure.

### **The Assessment Process**

The general process for assessing competence is shown in the following diagram.

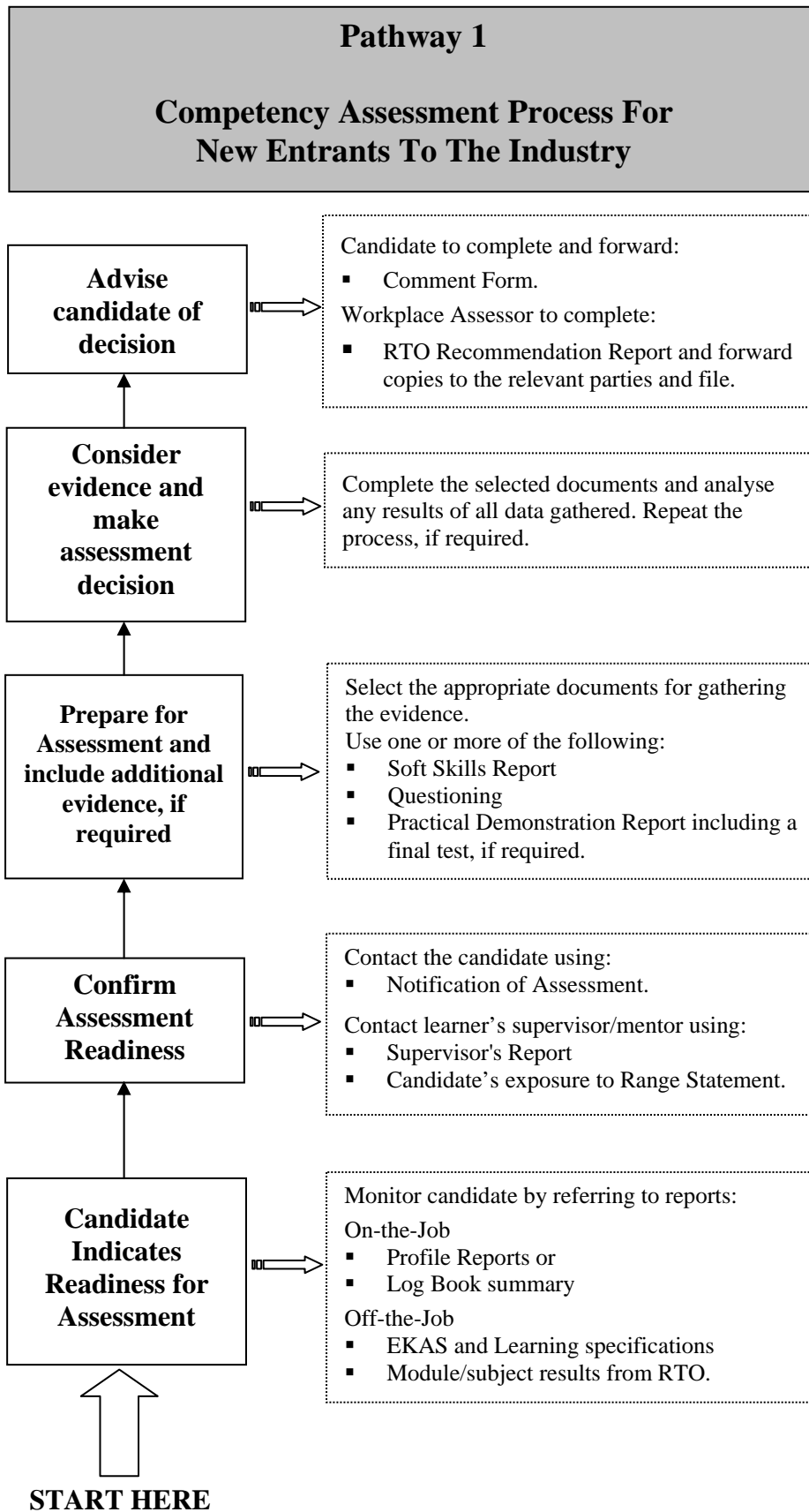


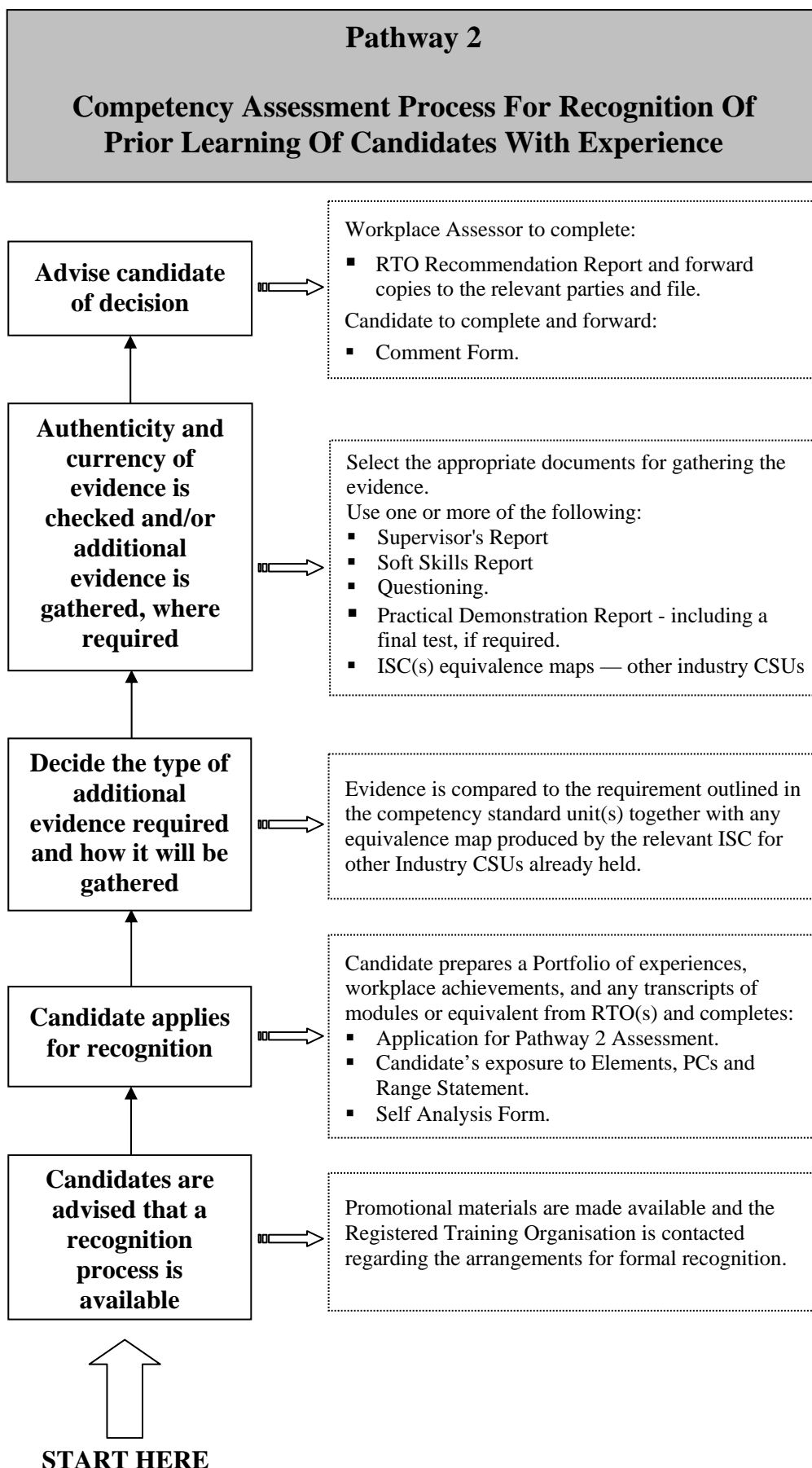
Assessors need to adapt the process to take account of physical and operational conditions as well as the characteristics and background of the candidate being assessed. Once the process has been finalised, the candidate should be advised.

The Assessment Guidelines of this Training Package identify three assessment pathways for the Industry, as follows:

- Pathway 1: For new entrants to the industry
- Pathway 2: Recognition of prior learning of those with experience in the Industry
- Pathway 3: Recognition of equivalent Competency Standards Units from other Industry Training Packages

Pathway 3 can be incorporated within the Pathway 2 processes and activities.





## Establishing the Evidence Requirements

The Training Packages provides a clear statement regarding the evidence requirements in the Evidence Guide and in particular the critical aspects of evidence of each competency standard unit. The following is an extract from one competency standard unit.

### *‘Critical aspects of evidence*

*Before the critical aspects of evidence are considered all pre-requisites shall be met.*

*Evidence for competence in this unit shall be considered holistically. Each element and associated performance criteria shall be demonstrated on at least two occasions in accordance with the ‘Assessment Guidelines – UET09’. Evidence shall also comprise:*

- *A representative body of performance criteria demonstrated within the timeframes typically expected of the discipline, work function and industrial environment. In particular this shall incorporate evidence that shows a candidate is able to:*
  - Implement Occupational Health and Safety workplace procedures and practices including the use of risk control measures as specified in the performance criteria and range
  - Apply sustainable energy principles and practices as specified in the performance criteria and range
  - Demonstrate an understanding of the essential knowledge and associated skills as described in this unit to such an extent that the learner’s performance outcome is reported on the preferred approach; namely a percentile graded result.
  - Demonstrate an appropriate level of employability skills.
  - Conduct work observing the relevant Anti Discrimination legislation, regulations, policies and workplace procedures and
- Demonstrated performance across a representative range of contexts from the prescribed items below: (Example shown)

- A — Selecting correct tools and testing equipment.
- B — Identifying visual non-compliance defects
- C — Using effective methods for conducting mandatory and optional tests
- D — Identifying non-compliance from test results.
- E — Identifying causes of non-compliance.
- F — Completing mandatory reporting.
- G — Dealing with unplanned events by drawing on essential knowledge and skills to provide appropriate solutions incorporated in the holistic assessment with the above listed items’

The evidence on which competency in this unit is deemed shall be considered holistically. ‘Items’ of evidence that industry has deemed critical and that also relate directly to the Performance Criteria and Range Statements could include:

- Specific tools, plant and equipment.
- Specific testing techniques

- Any advice limiting assessment to actual workplaces, for example because of licensing, regulatory or unique infrastructure requirements
- Specific licensing and regulatory requirements.
- Any advice dealing with unexpected and non-routine contingencies by drawing on essential knowledge and skills to provide appropriate solutions incorporated in a holistic assessment.

### **Assessment Methods**

Assessment involves determining whether a candidate has provided sufficient evidence to demonstrate that they have a specified level of skills and knowledge which they can apply in their work environment.

The evidence provided may include, for example:

- work activity records
- a transcript of training outcomes
- a portfolio of learning experiences
- a self-assessment by the candidate against the relevant competency standard(s).
- supervisor's report(s), addressing requirements of the identified competency standard(s).
- practical demonstration.
- details of training undertaken linked to requirements of the identified competency standard(s), such as a profiling or 'many samples' reports
- outcomes of a challenge test.

The assessor may use a variety of assessment methods to gather evidence. Appropriate methods for documenting workplace experiences related to this Training Package are:

- on-the-job work observation
- practical exercises in the workplace or under simulated workplace conditions
- appraisal and report by a supervisor/trainer or colleague
- questioning and discussion with the candidate
- written/practical test
- any Industry Skills Council equivalence mapping declaration for Competency Standard Units held from other Industry Training Packages

### **Develop the Assessment Tools**

The assessment tools include:

- instruments for gathering evidence — samples included as Enclosure A in Appendix A
- forms for administering the process — samples included as Enclosure B in Appendix A
- assessment design materials Glossary of Terms — included Enclosure C in Appendix A.

### **Trial the Assessment Procedure**

It is very important to trial the assessment strategy. There is a need to make sure it is appropriate to the context in which the assessment is conducted. This will involve such things as:

- Focus on the specific requirements of the competency standard unit being assessed.
- Consideration of the characteristics and background of the person being assessed to make sure the assessor supports the candidate in their understanding of the process and the skills and knowledge that need to be demonstrated.
- Use of assessment methods and instruments to make sure the evidence gathered:
  - addresses the conditions required to meet the Critical Aspects of Evidence as outlined in this Training Package and related Competency Standard Units
  - is drawn from a variety of sources and reflects the required range of work circumstances
  - provides reasonable certainty that the evidence submitted is sufficient, current and authentic.

The selection and application of assessment tools is a decision made by assessors. There is no standard answer, however the following is provided as general guidance.

- Assessors need only gather enough evidence so they can make a judgment that competence has been demonstrated. Too much evidence may be difficult to analyse in a consistent manner, whereas insufficient evidence fails to satisfy the assessment criteria.
- Assessors need to adjust or modify the assessment processes and tools as required, within the constraints of achieving a valid, reliable and fair outcome.
- Assessors need to make sure assessment procedures satisfy the principles of assessment (validity; reliability; flexibility; fairness).
- Assessors need to be cognisant and use the industry-preferred assessment approach, as a first option.

## **Enclosures**

### **Enclosure A: List of Sample Assessment Instruments**

<b>Enclosure A1</b>	<b>Work activity records</b>
<b>Enclosure A2</b>	<b>Transcript of training outcomes</b>
<b>Enclosure A3</b>	<b>Portfolio</b>
<b>Enclosure A4</b>	<b>Self analysis</b>
<b>Enclosure A5</b>	<b>Candidates exposure to Range Statement</b>
<b>Enclosure A6</b>	<b>Supervisor's report</b>
<b>Enclosure A7</b>	<b>Supporting skills report</b>
<b>Enclosure A8</b>	<b>Questioning</b>
<b>Enclosure A9</b>	<b>Practical demonstration</b>
<b>Enclosure A10</b>	<b>Final/challenge test</b>
<b>Enclosure A11</b>	<b>Contracted entry level Profiling Model</b>

## **Enclosure A1 — Work Activity Records**

Work Activity Records may be produced in paper-based or in electronic form. Each Work Activity Record may relate to a group of Competency Standards or if need be a Competency Standard Unit.

The activities and experiences recorded in this mode mostly relate to recurring workplace events associated with elements of performance involving exposure to a range of plant, tools, equipment, components and operating systems that are representative of normal work activities. Activities such as these, under appropriate levels of supervision, are important to a candidate's development.

Such records provide valuable data for:

- Candidates and their supervisor's to track progress in acquiring work-based competencies.
- Assessors to make decisions about a candidate's level of competence.

Work Activity Records summarise:

- relevant activities – (elements) and jobs/tasks undertaken at work
- associated resources used (such as tools, plant/equipment, procedures, and operating systems)
- the period of exposure to each type of task
- the level of supervision provided in the workplace.

This type of record is completed by the Candidate in conjunction with their Supervisor and signed by this Supervisor. It is important that workplace experiences are documented by candidates to help them see how their work experience is developing respective skills and knowledge specified in the relevant Competency Standard Units. Assessors, as a result of the records, can easily analyse them to determine if:

- exposure to the desired workplace activities has occurred
- the level of supervision is in keeping with the degree of autonomy required by the Competency Standard Unit
- the learner is able to perform 'whole of job' activities.

The ElectroComms and EnergyUtilities Industry Skills Council trading as EE-Oz Training Standards has a model paper based document that candidates can use to record their workplace activities and experiences. The document is called a User Guide. It is formatted in a way that links workplace activities to Competency Standard Units.

More information, including User Guides and techniques for recording workplace experiences electronically are available from the EE-Oz Training Standards at website: [www.ee-oz.com.au](http://www.ee-oz.com.au).

## **Enclosure A2 — Transcript of Training Outcomes**

Essential Knowledge and Associated Skills (EKAS) Learning Specifications and related results using training modules/topics/subjects that are completed off-the-job develop an individual's technical underpinning knowledge and skill. This may apply where the Industry expects such due to the regulated or preferred nature of work.

These learning specifications provide the learner with the essential underpinning knowledge and associated skills required to:

- deal with both routine and non-routine technical activities
- readily adapt their skills when new technologies are introduced
- transfer skills to new work environments.

The Registered Training Organisation (RTO) who is issuing the credential can generally provide current information about an individual's progress in the essential knowledge and associated skills or mapped modules/topics/subjects.

Learners that have undertaken a recognised structured training program with an RTO should submit a formal transcript – “Statement of Results” (training outcomes) from the issuing RTO as evidence, for inclusion in the process of competency assessment.

Candidates seeking recognition of prior learning need to provide evidence of knowledge and skills equivalent to the content of the essential knowledge and associated skills specifications (modules/topics/subjects), detailed in the Competency Standard Units in which they are being assessed as well as their workplace experiences if competence is sought in the Competency Standard Unit(s). Applicants for recognition of prior learning may also seek advice from the Registered Training Organisation about the equivalence status of available evidence of their acquired knowledge and skills.

The ElectroComms and EnergyUtilities Industry Skills Council trading as EE-Oz Training Standards at [www.ee-oz.com.au](http://www.ee-oz.com.au) can provide advice in regard to the availability of the essential knowledge and associated skills learning specifications for training modules/topics/subjects, which have been aligned to respective Competency Standard Units and essential knowledge and associated skills clauses.

### **Enclosure A3 — Portfolio**

A portfolio is a collection of documents that demonstrate an individual's professional experiences and achievements in relation to identified competency standards. Typically, portfolios include information from a variety of sources including academic achievements, employment record, work activities, supervisor reports and references.

The candidate should prepare their own portfolio as an accurate reflection of their work and academic history and achievements.

Assessors advise candidates about the amount, type and format of evidence they should submit for assessment against identified Competency Standard Units.

The use of a Portfolio as an assessment instrument can be enhanced by the use of the Self-analysis form included as Enclosure A4.

### **Enclosure A4 — Self Analysis**

A self-analysis involves the candidate in assessing their own level of skills and knowledge acquired through work experience and relevant training programs.

Candidates should complete a Self-Analysis Form in relation to each competency standard being assessed, identifying the evidence they can provide to demonstrate each required component of their skills and knowledge.

Assessors can check the references to determine if the evidence provided links directly or indirectly to the requirements outlined in Competency Standard Units and use this data as part of the overall assessment process.

Typically, the self-analysis form would be used for a Pathway 2 Assessment, however, it could have application in a Pathway 1 Assessment in certain circumstances.

## Self-Analysis Application Form

This form allows the candidate to summarise their vocational experiences in relation to a particular Competency Standard Unit or a group of Competency Standard Units. The information provided is used to identify the list of competencies sought for assessment. They will need to support their responses to questions, claims and/or comments with authentic evidence. To do this, it is recommended that they develop a portfolio of evidence to be submitted with this self-analysis application form. They should be advised to cross reference the information they provide with the information provided in their Portfolio.

They must however, be provided with clear instructions about the information required before they complete each respective form. They also need to view and understand the detailed requirements of the Competency Standard Unit(s) against which they are seeking assessment. A workplace assessor should assist them with the instructions and details.

They may need to submit a separate Self-Analysis Form for each Competency Standard Unit(s) for which they are seeking recognition. The Self-Analysis Application Form could be like the sample provided below.

### Sample — Self-Analysis Application Form

**Enter the codes and title of the National Qualification  
and title and codes the Competency Standard Unit(s)  
from qualification for which you are seeking recognition.**

Title of National Qualification	Title and code of Competency Standard Unit(s) (For which recognition is being sought)
	1.
	2.
	3.
	4.
	5.
	6.

	7.
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**Enter the codes and titles of Certificates, Qualifications, Transcripts of Academic achievement, or Licences that you believe to be supporting evidence.**

**(Remember to include these documents in your portfolio. You must be able to demonstrate how each document relates to the respective competency standards.)**

Code and name of Certificate, Qualification, Transcript of academic record or Licence	Year Achieved

**Note:** For all Certificates, Qualification and associated transcripts of academic records identified above, a certified copy must be provided.

- Approximately how many jobs have you been involved in that relates to each of the respective Competency Standard Unit(s)?

Competency Standard Unit 1 \_\_\_\_\_ Jobs

Competency Standard Unit 2 \_\_\_\_\_ Jobs

Competency Standard Unit 3 \_\_\_\_\_ Jobs

Competency Standard Unit 4 \_\_\_\_\_ Jobs

Competency Standard Unit 5 \_\_\_\_\_ Jobs

Competency Standard Unit 6 \_\_\_\_\_ Jobs

Competency Standard Unit 7 \_\_\_\_\_ Jobs

- Give details about the **largest** job you have been involved with. Briefly describe the job and where it was carried out. (Portfolio Ref \_\_\_\_\_)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

- Estimate the total amount of time (for all similar job mentioned above of all size) you have been involved with - tick box. (Portfolio Ref \_\_\_\_\_)

	Less than 1 week	1 to 4 weeks	4 to 10 weeks	10 weeks to ½ year	More than ½ year
1					
2					
3					
4					
5					
6					
7					

- Describe the level of involvement you have had in this type of work - tick box. (Portfolio Ref \_\_\_\_\_)

	Carrying out jobs organised by others	Carrying out jobs organised by others and completing all tests and/or writing of reports	Planning the job from the beginning, carrying out the work and completing all tests and writing of reports
1			
2			
3			
4			
5			
6			
7			

- To what extent were you involved in this type of work? - tick box. (Portfolio Ref \_\_\_\_\_)

	Carrying out routine tasks	Carrying out and manage several routine tasks at one time	Deal with non routine tasks including diagnosing and rectifying faults	Organising others you work with and dealing with clients
1				
2				
3				
4				
5				
6				
7				

- How much training did you require to perform the work? - tick box.  
(Portfolio Ref \_\_\_\_\_)

	Self taught skills	Basic technical knowledge and skills	Analytical technical knowledge and skills	People and customer skills
1				
2				
3				
4				
5				
6				
7				

- To what degree were you supervised when performing the work? - tick box.

	Constant supervision	General supervision	Self supervision
1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- Describe any special features or circumstances about the type of work you have been involved with. (Portfolio Ref \_\_\_\_\_)

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- List as many different types of equipment items you used when you carried out the work associated with the Competency Standard Units. Make the list under headings such as plant, tools, components, systems and the like. A workplace assessor can assist you with the headings. A separate form may be provided for supplying this information. (Portfolio Ref \_\_\_\_\_)

Unit code	Unit title	Items	

- For the Competency Standard Units, have you completed a whole job using the equipment items listed above? Also indicate the number of times you have done so.

CSU - 1	Involvement (circle yes or no)			Number of times
	Planned the work	Yes	No	
	Carried out the work	Yes	No	
	Completed the work	Yes	No	

CSU - 2	Involvement (circle yes or no)			Number of times
	Planned the work	Yes	No	
	Carried out the work	Yes	No	
	Completed the work	Yes	No	

CSU - 3	Involvement (circle yes or no)			Number of times
	Planned the work	Yes	No	
	Carried out the work	Yes	No	
	Completed the work	Yes	No	

CSU - 4	Involvement (circle yes or no)			Number of times
	Planned the work	Yes	No	
	Carried out the work	Yes	No	
	Completed the work	Yes	No	

CSU - 5	Involvement (circle yes or no)			Number of times
	Planned the work	Yes	No	
	Carried out the work	Yes	No	
	Completed the work	Yes	No	

CSU - 6	Involvement (circle yes or no)			Number of times
	Planned the work	Yes	No	
	Carried out the work	Yes	No	
	Completed the work	Yes	No	

CSU - 7	Involvement (circle yes or no)			Number of times
	Planned the work	Yes	No	
	Carried out the work	Yes	No	
	Completed the work	Yes	No	

**Declaration by Candidate**

All the information provided is entirely factual:

**Name:** .....

*Signed* ..... *Date:* .....

## Enclosure A5 — Candidates Exposure to Range Statement

This assessment instrument augments other information needed for judging competence and, where required, should be completed by the candidate to provide a list of components, tools, systems, plant, test equipment and associated items outlined in the Range Statement in individual Competency Standard Units. As the Range Statement is a component part of the whole Competency Standard Unit(s) assessors should ensure the gathering of evidence by the candidate is considered a formative part of the assessment process and that once the evidence is presented a holistic approach to judging and attributing competence is exercised in conjunction with other related data.

A separate form is required for each Competency Standard Unit to be assessed. The assessor should complete the following parts of this form in conjunction with the candidate to make sure they are clear about what is required:

- Competency standard units Title and Unit Number
- Candidate's Name
- Date
- Range Statement - Item Group:  
Please consult the Range Statement as described in section *Establishing the evidence requirements* of this Document. Each group alpha character is to represent an appropriate 'group' of variables, such as 'components', 'tools', 'system', 'plant', 'processes', 'equipment' etc, as required by the particular competency standard.
- Range Statement Items Involved:  
Please list the particular items that have been predetermined as being 'Critical' from the critical aspects of evidence section when the evidence requirements were established (see *Establishing the evidence requirements*).

The candidate is to place a tick in the column against those items they have been exposed to in a work environment. Candidate should add to the list of items involved, where appropriate. Here is an example.

Competency standard unit – _____ <i>*(Assessor to complete this section)</i>		Candidate to Complete Identify the items you have worked on
*Range Statement Item Group	*Range Statement Items Involved	
A  Personal protective equipment	Goggles	4
	Gas mask	4
	Boots	
	Gloves	4
B  Wiring types	Aluminium	
	Copper	4



**Candidate’s work experience with items in the  
Range Statement listed in this Competency Standard Unit**

<b>Competency standard unit title:</b>		<b>Unit no:</b>
<b>Candidate’s name:</b>		<b>Date:</b>
<b>Range Statement Item Group</b>	<b>Range Statement Items Involved</b>	<b>Candidate to Complete Identify the items you have worked on</b>
<b>A</b>		
<b>B</b>		
<b>C</b>		
<b>D</b>		

**Declaration by Candidate**

All the information provided is entirely factual:

**Name:** .....

**Signed** ..... **Date:** .....

## **Enclosure A6 — Supervisor’s Report**

Typically, the ‘supervisor’ (mentor) approached to provide a report for competency assessment will have spent considerable time guiding or monitoring the candidate in his/her development by providing supervised workplace learning experiences, appropriate to the candidate’s ability.

Supervisors should be asked to comment on the candidate’s demonstrated ability to:

- Demonstrate specific skills as described in the respective aspects of the Competency Standard Units under assessment.
- Apply required essential underpinning knowledge and associated skills (e.g. as learnt in their technical studies) to the work undertaken.
- Work in a team or independently in a way that is productive and safe.

Comments made by the candidate’s supervisor/mentor are an important source of evidence for assessors.

The Supervisor’s Report can be completed as part of the pre-assessment planning process or during any other part of the process. More than one supervisor can provide information.

Assessors should make sure supervisors are clear about the specific detailed requirements of the Electricity Supply Industry – Transmission, Distribution and Rail Sector Competency Standards targeted for assessment.

<b>Supervisor's Report on</b> _____ <b>(Learner's Name)</b>			
Name of Supervisor/Assessor: _____		<b>Date:</b> ___/___/___	
Position in organisation: _____		Contact number: _____	
Approximate time (cumulative) providing guidance to the candidate _____ days / hrs in Unit(s): _____ _____			
Responses made by supervisors/mentors are for the purpose of providing information to a workplace assessor. The supervisor is <u>not</u> making a decision about competence. The assessor will include the information with other data in the decision making process.			
Question asked of the supervisor/mentor		Responses	
<b>Taking into consideration the candidate technical development and work experiences, can they:</b>		<b>Yes</b>	<b>Requires further training</b>
Carry out duties with confidence		<input type="checkbox"/>	<input type="checkbox"/>
Work in a safe manner with care for self and others		<input type="checkbox"/>	<input type="checkbox"/>
Perform tasks with the minimal amount of waste or rework		<input type="checkbox"/>	<input type="checkbox"/>
Complete tasks within a reasonable time		<input type="checkbox"/>	<input type="checkbox"/>
Identify ways of improving how jobs are done		<input type="checkbox"/>	<input type="checkbox"/>
Initiate action to improve processes or practices		<input type="checkbox"/>	<input type="checkbox"/>
Work with others to achieve the work outputs of the group		<input type="checkbox"/>	<input type="checkbox"/>
Work independently to achieve work outputs		<input type="checkbox"/>	<input type="checkbox"/>
Resolve non-routine work functions		<input type="checkbox"/>	<input type="checkbox"/>
Other comments:			
Supervisor's/Assessor's Signature: _____		Date: / /	

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## **Enclosure A7 — ‘Supporting Skills’ Report**

‘Supporting Skills’ refer to non-technical skills, candidates must demonstrate this as part of their competency assessment.

They include, for example:

- The ability to work independently or in teams while dealing with customers.
- Knowledge of and ability to follow enterprise policies.
- Communication skills used in following and issuing instructions.
- Knowledge of and ability to address quality assurance requirements.
- Personal management and development skills.
- Knowledge of and ability to address environmental protection and sustainable energy policies issues.

Candidates must demonstrate these important attributes which are embedded in all Competency Standard Units in the Training Package.

Any Supporting Skills Report may be completed by an assessor, the candidate’s supervisor or another third party. Following on this page is a brief description of what the various aspects of Supporting Skills cover.

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## **Supporting Skills — What do they cover?**

### **1. Enterprise Instructions**

#### **Technical manuals**

Using enterprise or manufacturers’ technical manuals to ensure equipment and parts are installed to manufacturer’s specifications.

#### **Quality systems**

Plan, apply and contribute to quality systems.

#### **Computers systems**

Use enterprise documentation and record systems including, where appropriate the use data capture equipment such as; computers, information systems and technologies.

#### **Environmental and sustainable energy requirements**

The safe disposal of used oil, grease and chemicals and the reduction of electrical energy by turning of the lights and heating devices and the like minimise the impact that engineering practices have on the environment.

#### **Occupational health and safety (OHS) requirements**

Follow OHS and standard operating procedures in a manner that is safe to the individual and others.

#### **Equal opportunity / Ethical practice / Cultural diversity.**

Familiar with the enterprise, equal employment opportunity policies, ethical practices and principles and awareness of cultural diversity.

### **Enterprise vehicles**

Vehicle log book details are completed accurately, ensure the vehicle is kept clean, secured and fuel and liquid levels are maintained.

## **2. Customer relations**

### **Public**

Provide courteous and informative advice during construction, maintenance or service activities.

### **Workers providing other services**

Cooperate with workers providing other construction, maintenance or service activities.

### **Clients and land owners**

Recognise the responsibilities and rights of clients and land owners.

### **Authorities**

Recognise the responsibilities and rights of statutory and other authorities.

## **3. Self development**

### **Systematic problem solving**

Solve problems using technical literature, exploring theories, performing calculations and by making enquiries.

### **Personal well being**

Maintain and promote personal well being in the workplace through fitness and by avoiding excessive use of alcohol, tobacco and other substances.

### **Time management**

Being punctual, the timely completion of work activities, and the sequencing of activities to maximise the use of available time.

### **Professional development**

Seek to improve technical ability by discussions with others or by technical research and on-going competency development.

## **4. Team work**

### **Communications**

Communicate plans, information, intentions and safety criteria to others using appropriate means.

### **Team involvement**

Contribute positively to the work-team environment.

### Competency Enhancement

Participates in the training of others by sharing ideas, explanation of operating systems and detailing the working arrangements of components and equipment.

### Instructions for Completing the Supporting Skills Report

The supporting skills report on the next page provides a means of recording information about a candidate’s skills. A workplace assessor (or nominee) does this by referring to documentation, asking the candidate questions and/or seeking advice from the candidate’s supervisor/mentor.

Complete the form in the following way.

#### Step 1

Place a cross (X) in the box to indicate areas from where evidence has been sourced.

Supporting Skills Report		
<b>Candidate’s name</b>		<b>Date</b>
<b>Supervisor’s/Assessor’s name</b>		//
<b>Enterprise instructions</b>		<b>Rating</b>
1. Applies correctly without constantly making reference to them.		①
2. Refers to them regularly and applies information correctly.		2
3. Awareness of their existence but not referred to or used.		3
Technical manuals	X	Identify a minimum of three.
Quality systems	X	
Computer systems	X	
Environmental requirements	X	

#### Step 2

Review documentation and/or ask questions of the learner or their mentor/ supervisor.

#### Step 3

For each area, establish the appropriate level (1, 2 or 3) that reflects the capability of the learner. Place a circle around the corresponding number. Evidence should be collected from a number of sources before rating the candidate.

**Note:** A rating of 2 or 3 indicates further training or experience is required. A rating of 1 indicates the candidate has demonstrated their competence in this area.

<b>Supporting Skills Report</b>	
<b>Candidate's name</b>	Date
<b>Supervisor's/Assessor's name</b>	/ /
<b>Enterprise instructions</b> 1. Applies correctly without constantly making reference to them. 2. Refers to them regularly and applies information correctly. 3. Awareness of their existence but not referred to or used.	<b>Rating (circle #)</b> <b>1</b> <b>2</b> <b>3</b>
Technical manuals	Identify a minimum of three.
Quality systems	
Computer systems	
Environmental and sustainable energy requirements	
Occupational health and safety requirements	
Equal opportunity/Ethical practice/Cultural diversity	
Enterprise vehicles	
<b>Customer relations</b> 1. Customers are included in discussion effecting operational issues 2. Knowledge of but limited application of customer relations. 3. Requires more understanding of customer needs.	<b>Rating</b> <b>1</b> <b>2</b> <b>3</b>
Public	Identify a minimum of two.
Workers providing other services	
Clients and land owners	
Authorities	
<b>Self development</b> 1. Desire to expand beyond the present job role. 2. Keeps abreast of new products and services. 3. Requires more understanding of the job role.	<b>Rating</b> <b>1</b> <b>2</b> <b>3</b>
Systematic problem solving	Identify a minimum of two.
Personal well being	
Time management	
Professional development	
<b>Team Work</b> 1. Shares ideas, assists and accepts assistance from others 2. Accepts ideas and assistance from others. 3. Prefers not to assist or accept assistance from others	<b>Rating</b> <b>1</b> <b>2</b> <b>3</b>
Communications	Identify a minimum of two.
Team involvement	
Competency enhancement	

## Enclosure A8 — Questioning

It may be necessary as part of the assessment process, to gather additional evidence to clarify specific aspects of competence, especially in relation to the associated performance criteria. The RTO Assessor (or their nominee) may need to ask questions of the candidate, their supervisor or their trainer. A form is provided in this enclosure for documenting their responses.

The form provides guidelines for questioning a candidate about the performance criteria related to each element of competence. Typically, the elements in each of the Competency Standard Units in this Training Package follow a similar structure. Principally they generally cover *planning for*, *carrying out* and *completing* the job function.

In this section of the Document you will also find two tables which provide guidelines for assessing a candidate's response to these questions.

If the assessment is formative (as part of a training process) then the response given by the candidate should be consistent with the 'Appropriate coverage to questions – level 1'.

If the assessment is summative (final) the responses should be consistent with the 'Appropriate coverage to questions – level 2'.

Note to assessors:

1. As Competency Standard Units are typically structured around PLAN ⇔ CARRY OUT ⇔ COMPLETE jobs in the workplace, the form for recording responses is generic.
2. Please make reasonable adjustments to the form as required to accommodate particular aspects of individual Competency Standard Units.

### **Level 1 - Appropriate Coverage of Responses to Questions**

#### **Element 1 – Planning for job/task functions (L1)**

Issues about involvement of personnel, enterprises operational requirements and the requirements of regulators would not normally be expected.

Coverage should involve such things as:

#### **OHS:**

- Clarifying instructions given if any doubt exists as to what is required.
- Checking with others involved if any personal protective equipment is needed.
- Identifying hazards and risks associated with the work, including any first aid and other similar requirements

#### **Tools, equipment etc:**

- Identifying the tools and equipment that are required.
- Explaining where any special equipment is located and how arrangements will be made to have them available, if required.

#### **The Work Schedule:**

- Identifying the work and relevant processes, procedures and personnel required.
- Identifying the process of work to be undertaken.
- Identifying the work site activities and issues to be attended to.

### **Element 1 – Planning for job/task functions (L1)**

- Identifying the authorities associated with the work.
- Identifying any isolation procedures/permits that may apply.

### **Element 2 – Carrying out job/task functions (L1)**

Coverage should involve such things as:

#### **OHS:**

- Keeping the immediate work area clear of debris.
- Keeping tools clean and organised when not in use.
- Keeping clear of such things as moving parts, live electrical conductors, hazards, and obstacles.
- Wearing work clothes and personal protective equipment when required.
- Performing the technical work required.
- Applying the relevant knowledge and skills underpinning performance.

#### **Tasks:**

- Following instructions given by others.
- Observing what is occurring, listening to explanations about why tasks are performed in certain ways and asking questions when required.

### **Element 3 – Completing job/task functions (L1)**

Coverage should involve such things as:

- Cleaning tools and equipment.
- Returning tools and equipment to their normal storage place.

## **Level 2 - Appropriate Coverage of Responses to Questions**

### **Element 1 – Planning for job/task functions (L2)**

Coverage should involve, but not limited to, such things as:

#### **OHS:**

- Clarifying instructions given if any doubt exists as to what is required.
- Arranging for any special personal protective equipment to be available.
- Checking to see if the work site is accessible.

#### **Personnel:**

- Identifying other personnel involved in the work and coordinating proposed activities.

#### **Regulatory requirements:**

- Arranging for relevant work instructions and installation specifications to be available, if

**Element 1 – Planning for job/task functions (L2)**

required.

- Arranging work permits/isolation, etc.

**Tools, equipment etc:**

- Arranging the tools and equipment that are required.
- Coordinating where any special equipment is located and how arrangements will be made to have them available, if required.

**The Work Schedule:**

- Confirming the plan and process of work to be undertaken.
- Confirming the work and relevant processes, procedures and personnel required.
- Confirming the work site activities and issues to be attended to.
- Confirming the authorities associated with the work.
- Confirming isolation or work permits authorities.

**Element 2 – Carrying out job/task functions (L2)**

Coverage should involve, but not limited to, such things as:

**OHS:**

- Keeping the immediate work area clear of debris.
- Keeping tools clean and organised when not in use.
- Keeping clear of such things as moving parts, live electrical conductors and obstacles.
- Wearing work clothes and personal protective equipment when required.
- Having barriers in place to exclude public access to the work place, as required.
- Ensuring all personnel involved are alerted to work activities and communications are established and maintained.
- Keeping alert to the working environment while watching for unexpected occurrences.
- Confirming appropriate competence of first aid and persons, including other requirements such as confined space and the like, where appropriate.

**Engineering tasks – specific actions should be included that are additional to the following:**

- Performing tasks independently with reference to enterprise instructions.
- Accept and act on initial advice and feedback provided by others.
- Observing what is occurring, listening to explanations about why tasks are performed in certain ways and asking questions when required.
- Applying essential knowledge and associated skills and providing solutions to “what if” scenarios.

**Technical assistance:**

- Further reference to enterprise instructions.
- Reference to the requirements of regulations, work instructions or other relevant standard.
- Recall of theory or application.

- Involvement of others with greater experience.

### **Element 3 – Completing job/task functions (L2)**

Coverage should involve, but not limited to, such things as:

#### **Performance checks:**

- Checking that all guards & covers removed during the activities are replaced & adjusted.
- Check that all temporary arrangements required during the process work have been removed.
- Carrying out any tests required by regulation or work instructions.
- Operating the installed/repared parts or system to ensure it functions as specified.

#### **Notification:**

- Informing all immediate personnel involved that the work is completed.
- Informing clients and others that the work is completed.
- Removing all signs and barriers, as necessary.
- Reporting any damaged tools and equipment and arrange replacement.

#### **Paperwork:**

- Completing store/inventory paperwork.
- Completing the work log or management reports precisely by recording what occurred and providing recommendations/solutions to be followed up in point form.

## **Instruction for Recording Responses to Questions**

### **Step 1**

Identify the elements of competence on which questions will be asked.

### **Step 2**

Identify if the response expected is to be typical of a candidate who undergoing a formative assessment (level 1) or summative assessment (level 2). This may be different for each element involved.

### **Step 3**

Ask the main question and indicate (Y or N) whether the candidate's response addresses the coverage required.

### **Step 4**

Ask follow up questions to probe any areas not recorded as Y in Step 3. Record Y or N to the response given in the space provided.

From all the evidence presented a holistic judgement is then made.

## Questions

<b>Unit Title:</b> _____					
<b>No.</b> _____					
<b>Candidate's name:</b> _____					
<b>Assessors name:</b> _____					
<b>Main Question for the 'Planning Work' Element</b>	<b>Expected Response Level</b>			<b>Not used</b>	
	<b>(circle)</b>	<b>1</b>	<b>2</b>	<b>(tick)</b>	
<b>What are the main things you would consider when you are planning and preparing for work?</b>					
<b>Issues to be cover in response to the main question – and – Follow up questions, if required</b>				<b>Coverage (Y or N)</b>	
What occupational health and safety issues do you consider?					
Who are the personnel you would involve?					
What enterprise requirements need to be taken into account?					
What regulatory requirements need to be taken into account?					
What tools, equipment and other items need to be arranged to do this job, where will you get them from and how will you arrange to have them made available when you need them?					
What work schedule will be followed?					
<b>Main Question for the 'Carry-Out Work' Element</b>	<b>Expected Response Level</b>			<b>Not used</b>	
	<b>(circle)</b>	<b>1</b>	<b>2</b>	<b>(tick)</b>	
<b>What are the main things you will do to ensure the work you carry out is done productively?</b>					
<b>Issues to be cover in response to the main question – and - Follow up questions, if required</b>				<b>Coverage (Y or N)</b>	
What are the main OHS practices and precautions that are specific to this work function?					
What are the main engineering tasks involved in carrying out this job?					
What would you do if the work you were undertaking became technically difficult and you could not complete it to requirements?					

<b>Unit Title:</b>	
<b>No.</b> _____	
<b>Candidate's name:</b> _____	
<b>Assessors name:</b> _____	
What essential knowledge and associated skills would support a response to providing solutions to “what if” scenarios?	

<b>Unit Title: (Cont.)</b>					
<b>No.</b> _____					
<b>Main Question for the ‘<i>Completing Work</i>’ Element</b>	<b>Expected Response Level</b>			<b>Not used</b>	
	<b>(circle)</b>	<b>1</b>	<b>2</b>	<b>(tick)</b>	
<b>What are the main things you will do</b> <b>What are the main things you will do</b> <i>What needs to be done to finalise the job?</i>					
<b>Issues to be cover in response to the main question – and – Follow up questions, if required</b>				<b>Coverage (Y or N)</b>	
What checks need to be made to insure the work you undertook meets specified performance requirements?					
Who do you notify that the work has been completed?					
What paperwork needs to be completed and what will you write about?					

## **Enclosure A9 — Practical Demonstration**

As part of evidence provided to demonstrate competence against detailed competency standards, you, the assessor, may need to observe the candidate demonstrating practical tasks. The Engineering Practical Skills Form is provided here to help assessors record these work-based observations. The notes taken are analysed and from this a rating is given for the candidates engineering skills.

Note to assessors:

- The form for recording responses is generic to all Competency Standard Units.
- Make reasonable adjustments to the form as required to accommodate particular aspects of individual Competency Standard Units.
- You may only need to observe candidates on particular (not all) elements of competence.
- If the assessment is formative (for feedback purposes), then the level of supervision that applies during work activities should apply during the assessment activity.

### **Instructions for Completing the Engineering Practical Skills Form**

The form provides a means of recording information about a learner's engineering practice. A workplace assessor (or nominee) does this by an observation of pre-arranged activities and determining an engineering skills rating.

#### **Step 1**

Enter the title of the Competency Standard Unit and the Unit Number in the space provided.

#### **Step 2**

Enter the learner's name in the space provided.

#### **Step 3**

Enter the name of the person who is completing the form (this may be the assessor or someone who the assessor nominates to gather the information).

#### **Step 4**

Enter the date on which the evidence is gathered.

#### **Step 5**

Determine the elements of competence being observed (circle yes or no).

#### **Step 6**

Determine the level of supervision that is to apply to the Elements being observed. Use the Supervision Level code from the bottom left of the form (A, B or C) and enter in the second column.

#### **Step 7**

Observe the learner perform tasks related to the element(s) being assessed, checking that they address the required Performance Criteria. Record in the first column of the

table under the heading ‘Notes from Observation’ key points to indicate whether the learner:

Has acted in a way that meets specifications required by manufacturers, regulations or client specifications.

1. Has followed established enterprise procedures.
2. Met the requirements of the Competency Standard being assessed.
3. Needed to be shown or told how to perform tasks beyond what is reasonably expected given his/her level of experience and therefore requires further training.

### **Step 8**

Using the Engineering Skills Rating codes at the bottom right of the table, enter the appropriate letter in the space provided to indicate the level of competence demonstrated in relation to the Competency Standard being assessed.

From all the evidence presented a holistic judgement is then made.

<b>Engineering Practical Skills Form</b>			
<b>Competency Standard Unit title:</b> _____		<b>Date:</b> ____/____/____	
<i>Candidate's name:</i> _____		<i>Assessor's Name:</i> _____	
<b>Notes from observation</b>		<b>Supervision</b> Enter A, B or C	<b>Engineering Practice</b> Enter D, E, F, G
<i>Plan activities:</i> Yes or No (circle to indicate if evidence is being gathered)			
<i>Carry out activities:</i> Yes or No (circle to indicate if evidence is being gathered)			
<i>Complete activities:</i> Yes or No (circle to indicate if evidence is being gathered)			
<b>Supervision - Level</b>		<b>Engineering Skills - Rating</b>	
A	The learner is working under direct supervision.	D	Met required specifications.
B	The learner is working under limited supervision	E	Followed established enterprise procedures.
C	The learner is working under general supervision with a high degree of autonomy	F	Met competency standard requirements

Learner's Signature .....

Assessor's Signature .....

G	Further training required
---	---------------------------

## **Enclosure A10 — Final/Challenge Test**

A test may be required if the assessment process does not provide:

- sufficient, authentic or current evidence
- particular aspects of evidence related to equipment operation
- particular aspects related to safety
- all the requirements related to the influence of external bodies such as regulatory authorities

A final test should:

- cover the conditions associated with the ‘Critical Aspects of Evidence’ statement in Competency Standard Units
- take into account the principles of assessment and be sufficiently rigorous
- be consistent with the policies and practices of the Registered Training Organisation who is providing the recognition.

**Enclosure A11 — Contracted Entry Level Profiling Model — Sample assessment instruments that support a profiling model**

In relation to the industry preferred assessment model for contract entry-level competency development programs (Australian Apprenticeships), longitudinal approaches to assessment activities are considered more efficient and effective. This is best achieved by implementing a process of frequently gathering reliable data from the workplace by the learner and having it verified in a form that can be easily used and consistently interpreted.

One option is to use a machine-readable data scan card or direct web entry process, operating in conjunction with a sophisticated computer software program to achieve this result. The design of the system known as Profiling reflects the key requirements outlined in the relevant Competency Standard Units making up the competency development plan/program. Learners report directly on their exposure to required work experiences in a structured way. Additional to the off-the-job technical training required for contracted entry level learners Profiling gathers specific workplace information reliably and systematically.

Data gathered frequently from the workplace accumulates over the competency development period and is reported graphically at given periods. This approach encourages self review and participation in the system and eliminates bias and minimises the effects of low levels of literacy (see over the page for an example).

The information gathered under Profiling, forms one component of a two part, in some cases three part, Training Program that supports competency development in a way preferred by the industry. The components are:

1. off-the-job training (technical subjects/topics), and
2. on-the-job training (workplace activities), and
3. a specific final “safety systems (capstone)” test, where applicable

Typically, the off-the-job component requires the successful completion of technical subjects/topics of training against essential knowledge and associated skills (EKAS) clauses included in the respective Competency Standard Units. More often than not the EKAS are aligned to EKAS Learning Specifications that expand on the essential knowledge and associated skills clauses; providing more detailed information on depth and breadth of learning required, for RTOs. The on-the-job component requires a profile to develop from workplace experiences/exposures. Finally, a specific safety assessment test is conducted, where applicable, for regulatory and industry requirements.

In relation to the on-the-job workplace data (experiences/exposures) is gathered and reported on against the respective aspects of industry determined competency standards, using predefined industry norms. Typically the information gathered pertains to the:

- activity against each element of competency and indirect information against the performance criteria
- quality, breadth and range of equipment, processes, techniques and applications experienced and worked with/on in the workplace
- level of supervision of a learner’s workplace experiences

- hours of exposure (recording hours only is not generally considered Profiling)

Entry against the prescribed criteria is completed regularly (e.g. weekly) by the learner, the software program calculates the data against industry predefined norms and regular reports are produced (typically quarterly) for the use and information of RTOs, employers and the learner. Assessors use this information in a holistic way to identify and analyse trends and anomalies against the predefined industry norms.

The advantage of Profiling over many other mediums such as manually based log-books which require extensive and laborious analysis is that it is simple and directly reflective of the workplace experiences undertaken at the time. It provides evidence for:

- managing workplace skill development/ performance of competency required to produce quality work
- progressive assessment and supporting the attainment of a national qualification
- the attainment of an electrical workers' licence/regulated registrations, where appropriate
- the need for job rotation
- allocating work
- RTOs — in this way reducing the demand for an array of workplace assessors.

To gain an appreciation of what a data card and a report may look like a sample of each is included over the page.

### **Sample Data Card and Quarterly Report– Provided over the page**

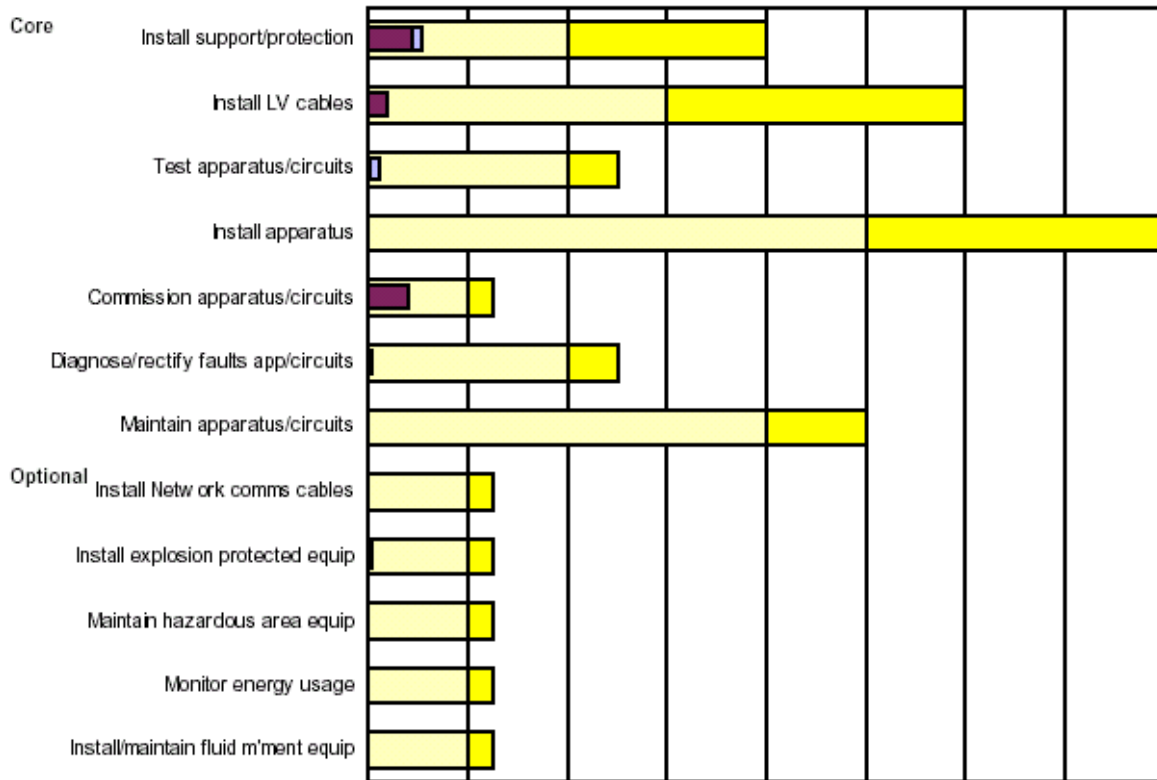
Note: details of fields determined by Industry to accommodate enterprise requirements



**Sample Profiling Report**

First Zzsample (999999)

**Apprentice On Job Experience Profile - Progressive and Benchmarks Points  
Systems Electrician - Quarterly Report, May 2002**



Indicative progress learning values



\* indicates Optional competency selected by the learner in Schedule C

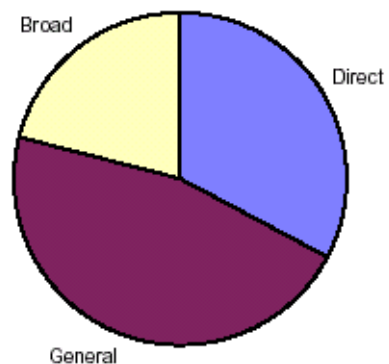
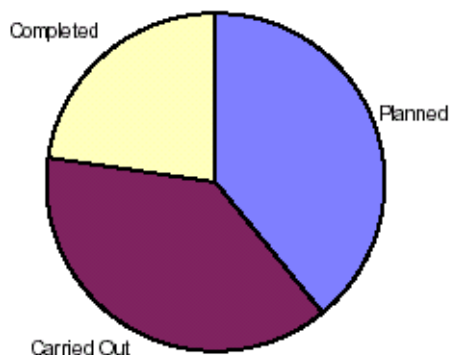
Apprentice Signature ..... Date .....

Employer Signature ..... Date .....

Host Signature (if applicable) ..... Date .....

**Apprentice role**

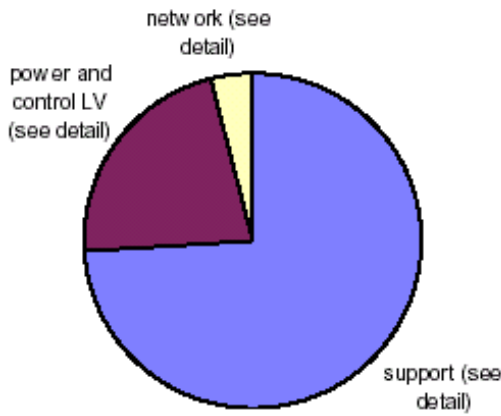
**Supervision level**



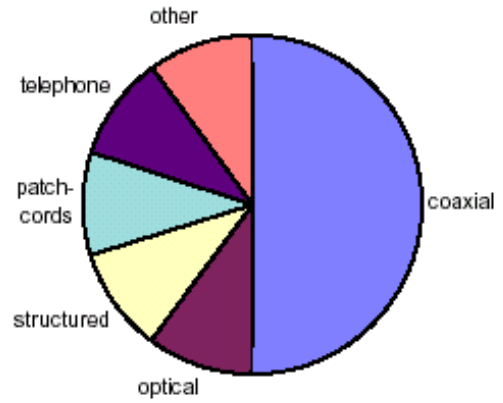
**Sample Profiling Report (cont.)**

**First Zzsample (999999)**

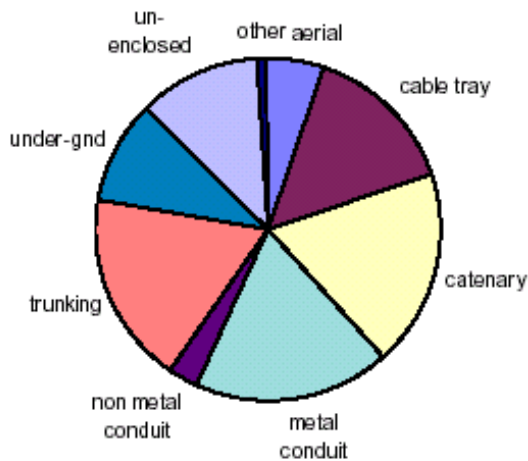
**Electrical wiring system type**



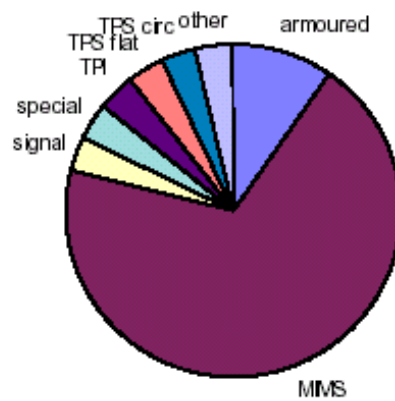
**Electrical wiring detail: Network communications**



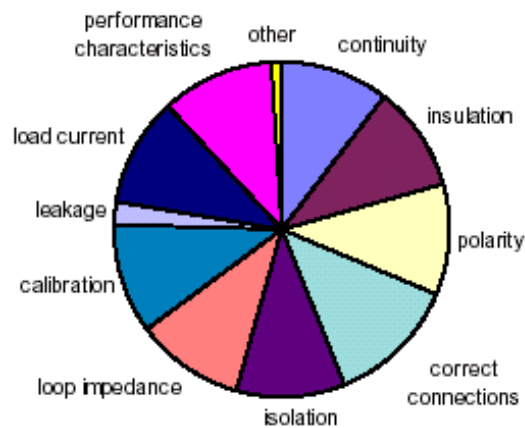
**Electrical wiring detail: Support and protection**



**Electrical wiring detail: Power & control - LV**



**Testing techniques used**



## **Enclosure B: Administrative forms**

- Enclosure B1** Notification of workplace assessment
- Enclosure B2** Application for recognition of prior learning/ current competence
- Enclosure B3** Assessee comment/feedback
- Enclosure B4** Candidates competency achievement report to a Registered Training Organisation

### **Enclosure B1 — Notification of workplace assessment**

This form is used to notify a learner about their assessment. The learner is advised of the type of evidence being sought, the Competency Standard Unit(s) of competence being considered, who will be involved and the time and place of the activity.

### **Enclosure B2 — Application for recognition of prior learning/ current competence**

Candidates should use this form to apply for recognition. The applicant needs to provide their personal details, the Competency Standard Unit(s) for which they seek recognition, the type of evidence being provided and the names of referees.

### **Enclosure B3 — Assessee comment/feedback**

This form is used by the learner (or RPL applicant) to make comments about the workplace assessment process and/or decision. It should be distributed prior to an assessment event being conducted. The workplace assessor should be sent a copy of each form completed and should retain completed forms in case of any future review and/or inquiry.

### **Enclosure B4 — Candidates competency achievement report to an RTO**

This form summaries a workplace assessment process and allows workplace assessors to make recommendations to an RTO about deeming competence of a learner or RPL applicant.

**Enclosure B1 — Notification of a Workplace Assessment****Learners Name:** \_\_\_\_\_ **Date of notification:** / /**Assessors Name:** \_\_\_\_\_ **Tel:** \_\_\_\_\_**Qualification Title:** \_\_\_\_\_

The workplace assessment will be carried out on the following Competency standard units		For the following reason (tick)	
Unit No.	Unit Title	Advice	Completion

**Location** \_\_\_\_\_ **Date:** / / **Time:** \_\_\_\_\_

Information has already been gathered from or is to be gathered from the following sources indicated below.

No	Source of Information	Already Gathered (tick)	To be Gathered (tick)
1	<b>Work Activity Records</b> - experiences mostly relate to re-occurring workplace events.	Paper Based	
		Electronic	
2	<b>Technical Results</b> (i.e. modules) – part of the program that develops your technical knowledge and skill		
3	<b>Portfolio</b> – personal and academic detail, employment and work achievements, references and the like		
4	<b>Self Analysis</b> – provides guidance on the type of evidence required and guides reference to other information		
5	<b>Item Range</b> - list of components, tools, systems, plant, test equipment, etc on which experience is gained		
6	<b>Supervisor's Report</b> - general comments about applying technical skills, being safe and productive		
7	<b>Soft Skills Report</b> - your ability to follow instructions, deal with clients and work in teams		
8	<b>Questioning</b> - covers issues related to your performance when planning, carrying out and completing work		
9	<b>Practical Demonstration</b> - a demonstration of your ability to perform tasks in a actual or simulated situation		
10	<b>Final Test</b> – evidence related to critical aspects of what is required by you to demonstrate competence		
11	<b>Other</b> (list)		

Note: Once all the information is collected and the data analysed the results about your progress towards or achievement of competence will be forwarded to you for your comments. If you require any additional information you should contact the assessor (above telephone number) or your nominated supervisor/mentor.

**Name** \_\_\_\_\_ **Signature** \_\_\_\_\_

**Enclosure B2 — Application for Recognition of Prior Learning/ Current Competence**

**Name:** \_\_\_\_\_ **Date of Birth:** / /

**Address:** \_\_\_\_\_

**Telephone:** \_\_\_\_\_ **Mobile** \_\_\_\_\_ **e-mail** \_\_\_\_\_

**Recognition Sought** \_\_\_\_\_

**Training Package** \_\_\_\_\_

**Qualification No. and Title** \_\_\_\_\_

**Competency Standard Units (Candidate to List)**

Unit Title	Unit No.

**Evidence Provided**

Type	Tick if Attached
<b>Certificates</b>	
<b>Curriculum Vitae</b>	
<b>Transcript of Academic Record – modules completed/equivalent</b>	
<b>References</b>	
<b>(other)</b>	

**Referees**

Name	Organisation and Title of Referees	Contact Number of Referees

**Candidate's Signature:** \_\_\_\_\_ **Date:** / /

**Enclosure B3 — Assessee comment/feedback**

**To be completed by the candidate following an assessment event**

**Location:** \_\_\_\_\_ **Date:** \_\_\_/\_\_\_/\_\_\_ **Time:** \_\_\_\_\_

**Assessor's Name:** \_\_\_\_\_

Please complete the following and return it to the Assessor.

**Candidates' Name:** \_\_\_\_\_

**Contact N<sup>o</sup>:** \_\_\_\_\_

I have read the Final Report for this assessment event and,

(tick)

**Agree with the outcome.**

**or**

**Disagree with the outcome.**

Comments:

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**Candidate's Signature:** \_\_\_\_\_ **Date:** \_\_\_/\_\_\_/\_\_\_

**Enclosure B4 — Candidates competency achievement report to RTO**

This recommendation is made to (enter RTO name) \_\_\_\_\_

It is recommended that (learner’s name) \_\_\_\_\_  
(contact and identification details) \_\_\_\_\_

\_\_\_\_\_ be attributed competence  
in the following Competency standard units.

These Units are from the Qualification (Title and No.)

Unit No.	Competency standard unit Title	Assessors Initials

The recommendation was made based on analysed evidence taken from the following sources	Tick
Work Activity Records	
Module (Learning Specification) Results	
Portfolio	
Self Analysis	
Item Range – Learner’s Report	
Supervisor’s Report	
Soft Skills Report	
Questioning	
Practical Demonstration	
Final Test	
Other (enter)	

**Statement**

The recommendation to attribute competence to the above mentioned individual is based on the evidence requirements outlined in Competency Standard Units from the

\_\_\_\_\_  
(Enter the Number and Title of the Training Package.)

Assessor's Name \_\_\_\_\_

Signature \_\_\_\_\_

Date: / /

## Enclosure C: Glossary of Terms

Definitions of all terms used in this section are set out below.

<b>Term</b>	<b>Definition/Explanation</b>
<b>Appeal process</b>	A process whereby the person being assessed or other interested party, such as an employer, may dispute the outcome of an assessment and seek reassessment.
<b>Assessment</b>	The process of collecting evidence and making judgements on whether competency 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 outcomes of accredited courses.
<b>Assessment context</b>	The environment in which the assessment will be carried out. This will include physical and operational factors, the assessment system within which assessment is carried out, opportunities for gathering evidence in a number of situations, the purpose of the assessment, who carries out the assessment and the period of time during which it takes place.
<b>Assessment guidelines</b>	Assessment guidelines are the endorsed component of a Training Package which underpins assessment and which sets out the industry approach to valid, reliable, flexible and fair assessment. Assessment guidelines include the assessment system overview, assessor requirements, designing assessment resources, conducting assessment and sources of information on assessment.
<b>Assessment judgement</b>	Assessment judgement involves the assessor evaluating whether the evidence gathered is valid and authentic, and whether there is sufficient and reliable evidence to make the assessment decision. The assessment judgement will involve the assessor in using professional judgement in evaluating the evidence available.
<b>Assessment materials</b>	Assessment materials are any resources that assist in any part of the assessment process. They may include information for the candidate, assessment tools or resources for the quality assurance arrangements of the assessment system.
<b>Assessment plan</b>	An assessment plan is a document developed by an assessor that includes the elements and Competency Standard Units to be assessed, when the assessment will occur, how the assessment will occur, the assessment methods to be used and the criteria for the assessment decision.
<b>Assessment process</b>	The assessment process is the agreed series of steps that the candidate undertakes within the enrolment, assessment, recording and reporting cycle. The process must suit the needs of all stakeholders and be both efficient and cost-effective. The agreed assessment process is often expressed as a flow chart.
<b>Assessment strategy</b>	Assessment strategy means the approach to assessment and evidence gathering used by the assessor or RTO. It encompasses the assessment process, methods and assessment tools.

<b>Term</b>	<b>Definition/Explanation</b>
<b>Assessment system</b>	An assessment system is a controlled and ordered process designed to ensure that assessment decisions made in relation to many individuals, by many assessors, in many situations are consistent, fair, valid and reliable.
<b>Assessment tool</b>	An assessment tool contains both the instrument and the instructions for gathering and interpreting evidence: <ul style="list-style-type: none"> <li>• Instrument[s] — the specific questions or activity developed from the selected assessment method[s] to be used for the assessment. A profile of acceptable performance and the decision making rules for the assessor may also be included.</li> <li>• Procedures — the information/instructions given to the candidate and/or the assessor regarding conditions under which the assessment should be conducted and recorded.</li> </ul>
<b>Candidate</b>	A candidate is any person presenting for assessment. The candidate may be: <ul style="list-style-type: none"> <li>• a learner undertaking training in an institutional setting</li> <li>• a learner/worker undertaking training in a workplace</li> <li>• an experienced worker wanting their skills recognised</li> <li>• any combination of the above.</li> </ul>
<b>Competency</b>	The specification of knowledge and skill and the application of that knowledge and skill to the standards of performance required in the workplace.
<b>Competency standard</b>	Competency standards define the competencies required for effective performance in the workplace. Standards are expressed in outcome terms and have a standard format comprising of Unit title, Unit descriptor, Elements of Competency, Performance Criteria, Range Statement and Evidence Guide. See also Unit[s] of Competency.
<b>Competency standard unit</b>	Also see Unit of Competency
<b>Critical aspects of competency</b>	A statement in a Unit of Competency that provides clear meaning as to what is to be achieved in the assessment process.
<b>Currency of evidence</b>	Evidence that is relevant to what is outlined in competency units and not outdated or irrelevant.
<b>Dimensions of competency</b>	The concept of competency includes all aspects of work performance and not only narrow task skills. The four components of competency are: <ul style="list-style-type: none"> <li>• task skills</li> <li>• task management skills</li> <li>• contingency management skills</li> <li>• job/role environment skills.</li> </ul>
<b>Electronic Profiling</b>	An innovative electronic based logbook system used by apprentices to record, and report on their workplace activities. A specially designed data entry card is used to capture work experiences (e.g. weekly) against industry approved competency standards and reported against industry-defined benchmarks. <i>See</i> Section 3.5 Assessment Processes within the

Term	Definition/Explanation
	Electrotechnology Industry and section Appendix A — Enclosure A11 Contracted entry level Profiling Model.
<b>Element of Competency</b>	The basic building block of the Competency Standard Unit. Elements describe the tasks that make up the broader function or job described by the unit.
<b>Essential Knowledge and Associated Skills clauses</b>	EKAS clauses provide the content specifications that must be achieved by learners in terms of the body of essential knowledge and associated skills.
<b>Essential Knowledge and Associated Skills learning specification</b>	EKAS learning specification is specific learning content that is complete in itself and expands on the Competency Standard Units EKAS clauses in terms of depth and breath. It may underpin many, few or one Competency Standard Unit(s). It covers one or more aspects of knowledge and skills. An EKAS LS can be separately delivered and assessed with percentage achievement reporting, and may be linked with other EKAS LSs for delivery purposes in the same discipline area.
<b>Evidence / quality evidence</b>	<p>Evidence is information gathered which, when matched against the performance criteria, provides proof of competency. Evidence can take many forms and be gathered from a number of sources. Assessors often categorise evidence in different ways for example:</p> <ul style="list-style-type: none"> <li>• direct, indirect and supplementary sources of evidence</li> <li>• evidence collected by the candidate or evidence collected by the assessor</li> <li>• historical and recent evidence collected by the candidate and current evidence collected by the assessor.</li> </ul> <p>Quality evidence is valid, authentic, sufficient and current. It enables the assessor to make the assessment judgement.</p>
<b>Evidence gathering techniques</b>	Evidence gathering technique means the particular technique or method used to gather different types of evidence. This may include methods or techniques such as questioning, observation, third party reports, interviews, simulations and portfolios.
<b>Evidence Guide</b>	Evidence Guide is part of a Competency Standard Unit. Its purpose is to guide assessment of the unit in the workplace and/or a training environment. The Evidence Guide specifies the context of assessment, the critical aspects of evidence and the required or underpinning knowledge and skills. The Evidence Guide relates directly to the Performance Criteria and Range Statement defined in the Competency Standard Unit.
<b>Fairness</b>	See section 3.4.1 Assessment Principles
<b>Flexibility</b>	See section 3.4.1 Assessment Principles
<b>Holistic / integrated assessment</b>	An approach to assessment that covers the clustering of multiple units/elements from relevant competency standards. This approach focuses on the assessment of a ‘whole of job’ role or function that draws on a number of units/elements of competence. This assessment approach also

<b>Term</b>	<b>Definition/Explanation</b>
	integrates the assessment of the application of knowledge, technical skills, problem solving and demonstration of attitudes and ethics.
<b>Industry Skills Council/Industry Training Advisory Bodies (ITABs)</b>	National bodies comprising representation from the industry parties responsible for the development, review, implementation, and providing advice on qualifications scopes and competency standards in given industries.
<b>Module</b>	A specific learning segment that is complete in itself. It deals with one or more aspects of knowledge and skills. A module is separately delivered and assessed and may be linked with other modules in the same study area and aligned to a competency standard unit(s).
<b>Australian Apprenticeship Centre</b>	An organisation who provides information on apprenticeships, traineeships and the related qualifications and processes.
<b>Portfolio</b>	See section 3.5 Assessment Processes in the Electrotechnology Industry.
<b>Profiling</b>	See section 3.5 Assessment Processes in the Electrotechnology Industry.
<b>Performance Criteria</b>	Evaluative statements which specify what is to be assessed and the required level of performance. The Performance Criteria specify the activities, skills, knowledge and understanding that provides evidence of competent performance for each Element Of Competency.
<b>Qualification</b>	Qualification means, in the vocational education and training sector, the formal certification, issued by a Registered Training Organisation under the Australian Qualifications Framework, that a person has achieved all the requirements for a qualification as specified in an endorsed Training Package or in an Australian Qualifications Framework accredited course where no relevant Training Package exists.
<b>Range Statement</b>	Part of a competency standard, which sets out a range of contexts in which performance can take place. The range helps the assessor to identify the specific industry or enterprise application of the Competency Standard Unit.
<b>Reasonable adjustment</b>	The nature and range of adjustment to an assessment tool or assessment method which will ensure valid and reliable assessment decisions but also meet the characteristics and background of the person(s) being assessed.
<b>Recognition [Recognition of Prior Learning, Recognition of Current Competency and Skills Recognition]</b>	Recognition is a term that covers Recognition of Prior Learning, Recognition of Current Competency and Skills Recognition. All terms refer to recognition of competencies currently held, regardless of how, when or where the learning occurred. Under the Australian Recognition Framework, competencies may be attained in a number of ways. This includes through any combination of formal or informal training and education, work experience or general life experience. In order to grant recognition of prior learning/current competency the assessor must be confident that the candidate can present evidence that he or she is currently competent against the endorsed industry or enterprise competency standards or outcomes specified in Australian Recognition Framework accredited courses. The evidence may take a variety of forms and could

Term	Definition/Explanation
	include certification, references from past employers, testimonials from clients and work samples. The assessor must ensure that the evidence is authentic, valid, reliable, current and sufficient.
<b>Records of assessment</b>	The information of assessment outcomes that is retained by the Organisation that is responsible for issuing the nationally recognised Statement of Attainment or qualification.
<b>Registered Training Organisation (RTO)</b>	Registered Training Organisation (RTO) means a training organisation registered in accordance with the Australian Recognition Framework, within a defined scope of registration (refer definition Scope of Registration).
<b>Reliability</b>	See section 3.4.1 Assessment Principles
<b>Sampling</b>	See section 3.5 Assessment Processes in the Electrotechnology Industry.
<b>Statement of Attainment</b>	Statement of Attainment means a record of learning, recognised under the AQF, which although falling short of an AQF qualification, may contribute towards a qualification outcome, either as attainment of competencies within a Training Package, partial completion of an AQF accredited course leading to a qualification, or completion of a nationally accredited short course which may accumulate towards a qualification through Recognition of Prior Learning processes.
<b>Sufficiency of evidence</b>	See section 3.4.3 Assessment Judgments
<b>Training Package</b>	Training Package means an integrated set of nationally endorsed competency standards, assessment guidelines and Australian Qualifications Framework qualifications for a specific industry, industry sector or enterprise.
<b>Training Agreement</b>	An agreement outlining the training and assessment which forms part of a Australian Apprenticeship Training Contract and is registered with the relevant State or Territory Training Authority.
<b>Training Plan</b>	Training Plan means a program of training and assessment which forms part of a Australian Apprenticeship/traineeship Training Contract and is registered with the relevant State or Territory Training Authority.
<b>Transcript of results — statement</b>	List of candidate’s modules/subjects/ EKAS learning specifications completed as part of a Competency Standard Unit(s) or qualification.
<b>Unit(s) of Competency / Competency standard units</b>	Competency Standard Unit means the specification of knowledge and skill and the application of that knowledge and skill to the standard of performance required in the workplace. Competency Standard Units define the outcomes for training delivery and assessment and lead to the issuing of Australian Qualifications Framework qualifications and Statements of Attainment. See also <i>Competency Standard</i> .
<b>Validity</b>	See section 3.4.1 Assessment Principles
<b>Validation</b>	Validation involves reviewing, comparing and evaluating assessment

<b>Term</b>	<b>Definition/Explanation</b>
	processes, tools and evidence contributing to judgements made by a range of assessors against the same standards. Validation strategies may be internal processes with stakeholder involvement or external validations with other providers and/or stakeholders.

