



**Australian Government**

**Department of Education, Employment  
and Workplace Relations**

**USER GUIDE FOR**

**TAE40110**

**Certificate IV in Training  
and Assessment**





# User Guide for the Certificate IV in Training and Assessment (TAE40110)

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# About this *User Guide*

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This *User Guide* has been developed to support a process of continuous improvement in the implementation of the Certificate IV in Training and Assessment, as required by the *Australian Quality Training Framework (AQTF) Essential Standards for Registration*, particularly those elements of Standard one concerned with the vocational competence of trainers within the Vocational Education and Training sector.

This *User Guide* is not designed to be followed slavishly by training organisations, nor is it intended to introduce an additional quality assurance layer. Rather, the aim of this *User Guide* is to support the implementation of the repackaged Certificate IV in Training and Assessment (TAE40110) by providing practical advice for training organisations delivering the qualification.

In this *User Guide* you will find guidance for issues of best practice delivery and examples of implementation in a variety of contexts. The *User Guide* supports the development of a framework for delivery and assessment of the qualification by providing advice on:

- consulting with industry to determine appropriate learning and assessment strategies
- unpacking the qualification and its component parts
- clustering of units where appropriate and meaningful
- contextualising to meet the needs of varying contexts, audiences and pathways
- addressing embedded components, e.g. employability skills, diverse learning needs, inclusivity and OHS
- developing integrated assessments which meet the needs of adult learners, workplace contexts, critical aspects of assessment of units of competency and the principles of assessment
- preparing for and participating in validation and moderation activities.

The *User Guide* is divided into three major components:

- Introduction to TAE40110 – information about TAE40110 and its place in the training and education industry environment
- RTO preparation – guidance on issues that RTOs should consider when preparing to deliver and assess TAE40110
- TAE40110 unpacked – advice, examples and references to help RTOs unpack TAE40110 for delivery and assessment that meets industry and learner needs.

The information provided within this *User Guide* is consistent with the TAE10 Training and Assessment Training Package.

**Important to note: This *User Guide* should be read in conjunction with the TAE10 Training Package, Standards for NVR Registered Training Organisations made under the National Vocational Education and Training Regulator Act 2011<sup>1</sup>, AQTF 2010 and any relevant State/Territory regulation relative to VET delivery, in conjunction with the relevant purchasing guide for TAE40110.**

**RTOs wishing to add TAE40110 to their Scope of Registration should refer to processes and documentation from either their respective State Training Authority or the Australian Skills Quality Authority (ASQA), depending upon who is the relevant regulator.**

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<sup>1</sup> The Standards for NVR Registered Training Organisations replace the former AQTF standards for relevant applicants/RTOs with the introduction of the Australian Skills Quality Authority (ASQA)

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# Section 1: Introduction to TAE40110

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## Purpose of the qualification

The TAE10 Training and Education Training Package, developed by Innovation and Business Skills Australia (IBSA), represents part of the continuing cycle of quality improvement in Training Packages. The Certificate IV in Training and Assessment (TAE40110), contained within TAE10, has been designed to address the entry level skills and knowledge required to deliver Training Package qualifications within the National Training Framework. Under the VQF and AQTF 2010, it is the qualification required for all people delivering Training Package qualifications and accredited curricula in the VET sector.

The Australian Productivity Commission<sup>2</sup> has outlined the key functions of the Australian VET sector as:

- inspiring, stimulating and enriching learners from all segments of the community
- providing the skills needed by the economy and
- contributing to social inclusion and civic participation.

The TAE40110 provides the foundation skills and knowledge for trainers and assessors to begin work in the VET sector. However, for the VET sector to truly deliver on the functions described by the Productivity Commission, skills and knowledge beyond TAE40110 are also required. As such, IBSA views TAE40110 as an entry-level qualification which provides the basis for training and assessing in a competency based system while introducing the rudiments of facilitating learning and the transmission of skills and knowledge.

As the foundation for workforce capability in the VET sector, it is essential that TAE40110 be delivered in such a way that it establishes both a sound base for practitioners to continue to build and extend their skills and knowledge, and an expectation that they will do so.

Sources of information that RTOs should consult when planning to implement the Certificate IV in Training and Assessment (TAE40110) include:

- [TAE10 Training and Education Training Package](#)
- [IBSA TAE10 Training and Education Training Package FAQs](#)
- [IBSA TAE40110 Transition Guide](#)
- [IBSA TAE14010 Certificate IV in Training and Assessment User Guide](#)
- State/territory Purchasing Guide and state/territory-specific AQTF 2010 requirements, where applicable
- [Self-assessment tool for Certificate IV in Training and Assessment](#) (TAE40110).

## Structure of the qualification

The TAE40110 qualification comprises 10 units – seven core units plus three elective units. The core units are:

- TAEASS401B *Plan assessment activities and processes*
- TAEASS402B *Assess competence*
- TAEASS403B *Participate in assessment validation*
- TAEDEL401A *Plan, organise and deliver group-based learning*
- TAEDEL402A *Plan, organise and facilitate learning in the workplace*
- TAEDES401A *Design and develop learning programs*

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<sup>2</sup> Productivity Commission, November 2010, *Vocational Education and Training Workforce: Productivity Commission Draft Research Report*, Australia.

- TAEDES402A *Use training packages and accredited courses to meet client needs.*

At least two elective units must be selected from the elective units listed below. One elective unit may be selected from any currently endorsed Training Package or accredited course. Elective units must be relevant to the work outcome, local industry requirements and the qualification level. Where a unit is chosen from another currently endorsed Training Package or accredited course, it must be from a qualification or course at Certificate III level or above, and must contribute towards the vocational outcome of the program.

The elective units are:

#### **Assessment**

- TAEASS301B Contribute to assessment
- TAEASS502B Design and develop assessment tools

#### **Delivery and facilitation**

- TAEDEL301A Provide work skill instruction
- TAEDEL403A Coordinate and facilitate distance-based learning
- TAEDEL404A Mentor in the workplace
- TAEDEL501A Facilitate e-learning

#### **Language, literacy and numeracy**

- TAEELN401A Address adult language, literacy and numeracy skills

#### **Training advisory services**

- TAETAS401A Maintain training and assessment information

#### **Imported units**

- BSBAUD402B *Participate in a quality audit*
- BSBCMM401A *Make a presentation*
- BSBLED401A *Develop teams and individuals*
- BSBMKG413A *Promote products and services*
- BSBREL402A *Build client relationships and business networks*
- BSBRES401A *Analyse and present research information*

Skill Sets in the Training and Education Training Package comprise groups of units from TAE40110 that are designed to meet an identified need or industry outcome.

A table outlining the composition of the five Skill Sets in TAE10 is included in [Section 5](#).

## **Industry workforce profile**

Key characteristics of the current Australian VET workforce, as determined by the Productivity Commission<sup>3</sup>, are listed below.

- Multiple job holding is common in the VET sector. About one out of every five VET workers, and one out of every four trainers or assessors, has more than one job.
- The VET workforce, especially the TAFE workforce, is older than the average for the labour market, as most VET workers gain industry experience prior to joining the sector.

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<sup>3</sup> Productivity Commission, November 2010, *Vocational Education and Training Workforce: Productivity Commission Draft Research Report*, Australia.

- Nearly all trainers and assessors in TAFE, and about 80 per cent of those in the non-TAFE VET sector, hold a post-school qualification. However, many VET trainers and assessors do not hold either a qualification specialising in VET teaching or equivalent educational qualifications.
- There is no typical pathway into the sector, with trainers and assessors joining the sector under a variety of employment arrangements.
- The average tenure of trainers and assessors in VET is 5 to 10 years, but with wide dispersion around this range. Fourteen per cent of trainers and assessors have been employed in the sector for fewer than 2 years; while 43 per cent have tenures of 10 years or more.
- The VET workforce displays high internal job mobility. More than 80 per cent of workers change jobs within the sector during their VET career.
- VET workers are committed to their careers in the sector. Only 7 per cent intend to leave the sector within the next 12 months.

Working in VET has changed dramatically over the past decade, with the role of a VET practitioner being the subject of much debate, research and published material. There is no argument that roles and functions to be undertaken and managed in an RTO have multiplied. VET practitioners are now key workers in the knowledge economy and must be competent in facilitating the creation, transmission and acquisition of knowledge<sup>4</sup>.

Entry level skills at [Australian Qualifications Framework](#) (AQF) level 4 prepare VET practitioners for the early stages of working in this complex environment. With working experience, continued professional development and targeted skill development contribute to the acquisition of advanced skills of facilitation and assessment.

In 2009 a national survey of VET practitioners' skills<sup>5</sup> found that teachers were concerned about their capacity to meet the needs of their workplace roles and that that capacity was diminishing. The resulting report<sup>6</sup> stated that:

- the current skill levels of the average Australian VET trainer and assessor meet only 80% of this group's professional work requirements
- by 2014, the current skill levels of the average VET trainer and assessor will meet only 62% of this group's professional work requirements.

This concern, combined with the AQTF 2010 / VET Quality Framework (VQF) underpinning requirements of skills in design, development and application of planning documents for the delivery of training and assessment, highlights the value of a workforce development model, incorporating ongoing professional development, for the VET workforce.

**External links:**

- [Australian Qualifications Framework](#) (AQF)
- [VET Quality Framework](#) (VQF)
- Productivity Commission, [Education and Training Workforce study](#)
- [The JMA Analytics Model of VET Capability Development](#)

<sup>4</sup> Palmer, L., 2010, citing Efimova, L., 2004, *Discovering the iceberg of knowledge work: A weblog case*, Telematica Instituut, The Netherlands, retrieved 10 May 2010, <https://doc.telin.nl/dsweb/Get/Document-34786>.

<sup>5</sup> Mitchell, J., and Ward, J., 2009, *National Survey of Vocational Education and Training (VET) Practitioner Skills*.

<sup>6</sup> Mitchell, J., and Ward, J., 2010, *The JMA Analytics Model of VET Capability Development: A report on the National Survey of Vocational Education and Training (VET) Practitioner Skills*, JMA Analytics, Australia.

## Target learners

The TAE10 Training and Education Training Package notes that:

*A particular issue with TAE40110 Certificate IV Training and Assessment is the target market for this qualification. While there are many applications where Certificate IV qualifications can be identified as being fit-for-purpose for a wide client base, this qualification assumes that the learner is engaged in a training and education environment or has a vocational skill at a level that supports training and education in the subject area in which it is intended to teach.*

VET practitioners come to the sector through a variety of pathways and with widely varied educational and career histories. People undertaking the TAE40110 may have backgrounds that include:

- substantial on the job experience in enterprises, including peer tutoring and/or mentoring
- frontline leadership roles in industry contexts with responsibility for skills development of staff
- expertise and/or qualifications in specific vocational areas, e.g. personal services such as hairdressing, beauty therapy, massage therapy; construction industry such as plumbing, carpentry, building management; information and communication technology over a range of industries; business services from management, through to marketing, legal studies and administration
- experience and/or qualifications in other education sectors or fields - primary, secondary, higher education, language, literacy and numeracy provision.

The TAE40110 acknowledges the diversity of VET workforce entrants and is designed to provide the essential foundations on which further skills and knowledge can be built through on the job experience, further learning or both.

Regardless of background, all people undertaking the TAE40110 will have an area of special expertise in which they are planning to work. It is IBSA's position that this qualification is NOT intended for people without a specialist field. To be a trainer or assessor, an individual must have a topic or field in which they are skilled to deliver. Following this logic, trainers/assessors delivering TAE10 should have specialist skills in training and assessment.

People may enter the VET sector workforce through work in a wide range of contexts, including:

- TAFE institutes
- Dual sector universities
- Adult and community education providers
- Private training organisations
- Secondary schools
- Enterprise RTOs.

The nature of the training and/or assessment organisation and the context in which it delivers VET will determine the Skill Sets of its trainers and assessors on their entry to the VET sector. Some individuals will enter with strengths in industry expertise but little knowledge and skill in how people learn. Some training organisations have a preference for part-time trainers who maintain industry knowledge and experience by continuing to work in their specialist field. In these cases, trainers may have little time to acquire the knowledge of learning theories and methodologies needed for the delivery of training and assessment.

Conversely, a number of entry level trainers and assessors have educational qualifications and experience which position them well in terms of learning theories and methodologies but have had limited exposure to a competency based assessment system.

This diversity of learners and VET contexts reflect a wide range of specific learning needs which need to be addressed through contextualised program design and delivery.

## *Entry requirements for TAE40110*

While there are no specific prerequisites for entry into TAE40110, the qualification requires an underlying level of English language and literacy. The 'Requirements for candidates' section of TAE10 notes:

*It is part of an RTO's responsibility to provide appropriate information to candidates to ensure that candidates understand the requirements of the units of competency prior to assessment. TAE assessors carrying out this responsibility must ensure TAE candidates or potential candidates are advised effectively of the underlying skill requirements of TAE10 Training and Education Training Package units.*

*In particular, advice about the underlying level of English language, literacy and numeracy skills required to meet the outcomes of TAE10 Training and Education Training Package units must be made clear prior to commencement of the learning and/or assessment process, and candidates who may have difficulty meeting these requirements must be provided with advice and options, such as appropriate language, literacy and numeracy skills training.*

*Candidates must also be advised that competence will include assessment of the specified language and literacy Performance Criteria and Required Skills of individual TAE10 Training and Education Training Package units. This includes effective language, communications and interpersonal skills and the ability to write a range of documentation.*

*For example, TAE10 candidates are expected to read and interpret training packages, develop and document learning programs and assessment tools, present information, facilitate in a number of contexts using a range of skills, and prepare various records and documents.*

*Technology applications are also required as part of the competency specification of some units. Further, complex cognitive skills in planning, research, interpretation, analysis and synthesis form part of the skills requirements of many units.*

*In a learning and assessment pathway, some of these skills can be developed through the learning process. However, this will depend on the approach adopted in the learning strategy and learning program content and the level of resourcing available.*

*In some situations, implementation may be based on an assumption that learners/candidates possess these skills. In these circumstances, and in an assessment-only pathway, TAE candidates must be made aware of the specific skills that underpin the outcomes and performance requirements of TAE10 Training and Education Training Package units, to ensure they are capable of demonstrating competence. Where essential skills need to be acquired, options for meeting these skill gaps must be provided.*

As the above extract makes clear, a number of English language, literacy and numeracy (LLN) skills underpin the successful completion of TAE40110. Before they begin, candidates must be informed of the learning and/or assessment process of the nature of these skills. To achieve competency they will need to demonstrate the ability to:

- read and interpret training packages and other training resources
- develop and document learning programs and assessment tools
- use technology, including relevant computer software
- present information
- use a range of interpersonal and communication skills to facilitate learning in a variety of contexts.

Any concerns by the prospective candidate about meeting these requirements must be addressed through counselling and advice about options including appropriate LLN skill development. Depending on specific learning needs and the capacity of the RTO to address them, learners may undertake LLN skill development before undertaking the TAE40110 or concurrently with the qualification. In some cases, the RTO may be able to package LLN skill development into delivery of the qualification.

Under certain conditions your State Training Authority (STA) may allow for delivery outside of Australia and delivery in a language other than English (LOTE), with a proviso that the qualification record that it has been delivered in a LOTE. You should contact your State Training Authority (STA) for more information.

## Entry and career pathways

### *Skill Sets*

Skill Sets are defined as single units of competency, or combinations of units of competency from an endorsed Training Package, which link to a licence or regulatory requirement, or to a defined industry need.

There are numerous industry examples where achieving the whole TAE40110 is not relevant to an individual's career path or job requirements, particularly in situations where training or assessment is not the core role of the individual. For example, this may occur where a skilled worker is needed only to conduct assessments against standards of on-the-job performance, or where individuals train, coach or mentor others within a workplace using accredited or non-accredited training. In these cases, a Skill Set can provide the relevant competencies for the work role.

There are five Skill Sets in TAE10. They are:

- Assessor Skill Set
- Enterprise Trainer Skill Set
- Enterprise Trainer and Assessor Skill Set
- Sustainable Practice Skill Set
- Workplace Supervisor Skills Set.

A table outlining the composition of the five Skill Sets in TAE10 is included in [Section 5](#).

In responding to industry and learner needs, RTOs should consider whether the full TAE40110 is required by their learners or whether a particular Skill Set would more effectively address their needs.

### *Pathways*

The current Diploma of Training and Assessment TAA50104 has been revised and replaced by a Diploma of Vocational Education and Training TAE50111. This qualification will be aimed at those who wish to develop more advanced skills in training and assessment. In addition, a Diploma of Training Design and Development TAE50211 has been developed for those who look to progress into instructional design and course development.

IBSA has addressed a gap in qualifications for language, literacy and numeracy (LLN) specialists through inclusion of a Vocational Graduate Certificate TAE70110 and a Vocational Graduate Diploma TAE80110 in language, literacy and numeracy within TAE10. LLN elective choices in TAE40110 and TAE50110 can provide a pathway into these specialist qualifications for practitioners who would like to enter the LLN field.

A table outlining the qualifications contained within TAE10 is included in [Section 5](#).

## Section 2: Information for the provider

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This section focuses on the preparation that an RTO will need to undertake before implementing delivery of the TAE40110.

Research into the expectations and experiences of practitioners undertaking the Certificate IV in Training and Assessment (TAA40104) found a number of areas where outcomes from the qualification could be markedly improved.<sup>7</sup> While some of these findings commented on the structure of the former Certificate IV qualification, they also have implications for the way in which RTOs implement TAE40110 and should be taken into account when planning for delivery and assessment. In particular, the research found a number of critical factors for improving outcomes, namely:

- the allocation of sufficient time and space for program participants to practise and apply their teaching and assessment skills and techniques and to develop their ability to recognise and respond appropriately to the diverse learning needs of VET students and clients
- the creation of a more flexible program structure, one which can be readily adapted to cater for the diversity of job roles and responsibilities of VET practitioners, possibly through the introduction of differentiated qualifications, skills sets and an orientation to VET programs
- an expectation of continuing professional support and advice through mentoring, coaching and supervised practice, particularly for those who have no previous experience of training or the sector, built into the Certificate IV
- the provision of appropriately experienced and qualified teachers and trainers capable of modelling good practice in the delivery of the Certificate IV in Training and Assessment.

### Staff recruitment, induction and support

As already noted, research into the expectations and experiences of practitioners undertaking the Certificate IV in Training and Assessment (TAA40104) found that outcomes from the qualification could be markedly improved through the provision of appropriately experienced and qualified teachers and trainers capable of modelling good practice.<sup>8</sup>

The vocational competence that is described by TAE10 is in the field of education, training and assessment. Accordingly, those who deliver recognised training in TAE10 through, or on behalf of, an RTO must be able to demonstrate their vocational competence in education, training and assessment. The benchmarks for demonstrating this vocational competence are the relevant competency standards of TAE10 or equivalent competence.

The following vocational competence requirements apply to persons providing assessment services for TAE10, including assessments relating to TAE10 qualifications and individual TAE10 units of competency.

- Persons who conduct assessments against the units of competency leading to the award of TAE40110 Certificate IV in Training and Assessment must have successfully completed TAE40110 Certificate IV in Training and Assessment or have equivalent competence
- Persons who conduct assessments of candidates against individual units of competency from TAE10 Training and Education Training Package must hold formal recognition of competence in

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<sup>7</sup> Clayton, B., et al., 2010, *Practitioner expectations and experiences with the Certificate IV in Training and Assessment (TAA40104)*, NCVET, Australia.

<sup>8</sup> Ibid.



each unit in which they wish to conduct assessment or be able to demonstrate equivalent competence.<sup>9</sup>

Relevant AQTF 2010 / VET Quality Framework (VQF) Standards for NVR Registered Training Organisations SNR4.4/SNR15.4 requirements for all trainers and assessors are listed below.

1.3 Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.

1.4 Training and assessment is delivered by trainers and assessors who:

- a. have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and
- b. have the relevant vocational competencies at least to the level being delivered or assessed, and
- c. can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and
- d. continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

1.5 Assessment including Recognition of Prior Learning (RPL):

- a. meets the requirements of the relevant Training Package or accredited course
- b. is conducted in accordance with the principles of assessment and the rules of evidence
- c. meets workplace and, where relevant, regulatory requirements
- d. is systematically validated.

IBSA recommends that trainers and assessors working with TAE10 have current practical knowledge and skill both in the area of training and assessment and in the typical industry and workplaces of their learners or candidates for assessment. This could be achieved and demonstrated through activities such as:

- current experience training and assessing workplace trainers, assessors, coaches and mentors
- recent assessment and workplace training activities
- attendance at professional development activities
- participation in networks or communities of practice
- participation in moderation and validation activities
- current experience with the industry or enterprise competency standards that are the basis of assessment and training
- current experience of the training and assessment system in which the learner or candidate operates.

In their recruitment of TAE trainers and assessors, RTOs need to consider what these staff will contribute to overall staff capability. Prior experience, existing qualifications, including TAA and/or specific education qualifications, may contribute to the conferral of equivalence or, alternatively, an [RPL process](#) may be implemented. The IBSA [self-assessment tool](#) can be used to 'demonstrate equivalent competency'.

### *Equivalence*

The National Skills Standards Council (NSSC) policy on the training and assessment competencies to be held by trainers and assessors under the AQTF Standard 1.4(a) / VQF SNR4.4/14.5, as agreed by the NSSC and published in its December 2011 communiqué is included below.

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<sup>9</sup> TAE10 *Training and Education Training Package*, Version 1, Assessment Guidelines, p.79.



**TRAINERS MUST<sup>10</sup>:**

- i. hold the TAE40110 Certificate IV in Training and Assessment from the TAE10 Training and Assessment Training Package as a minimum qualification or be able to demonstrate equivalence of competencies \*;  
and
- ii. be able to demonstrate vocational competencies at least to the level being delivered and assessed;  
and
- iii. be able to demonstrate how they are continuing to develop their VET knowledge and skills as well as maintaining their industry currency and trainer/ assessor competence.

**PERSONS DELIVERING TRAINING UNDER THE SUPERVISION\*\* OF A TRAINER MUST:**

- i. work under the supervision of a trainer with the TAE40110 Certificate IV in Training and Assessment or of a person who has demonstrated equivalence of competencies; and
- ii. hold the TAE10 Enterprise Trainer Skill Set or be able to demonstrate equivalence of competencies within two years of commencing to deliver training while under supervision; and
- iii. be able to demonstrate vocational competencies at least to the level being delivered and assessed as well as maintaining their industry currency.

**Notes:**

1. *Evidence used to demonstrate equivalence of competencies may include consideration of relevant past training, including consideration of superseded and pre-existing teaching qualifications, experience, and professional development.*
2. *Supervision is the provision of regular and ongoing guidance, direction and leadership from a person holding the TAE40110 Certificate IV in Training and Assessment or from a person who has demonstrated equivalent competencies. The supervising person monitors and is accountable for the training delivery.*
3. *Persons who are delivering training under the supervision of a person holding the TAE40110 Certificate IV in Training and Assessment, or a person who has demonstrated equivalent competencies at the date of this Determination (8 December 2011), must obtain the TAE10 Enterprise Trainer Skill Set or demonstrate equivalence of competencies on or before 1 July 2013*

Trainer Skill Set or demonstrate equivalence of competencies on or before 1 July 2013.

**ASSESSORS MUST:**

- i. hold the TAE10 Assessor Skill Set or be able to demonstrate equivalence of competencies; and
- ii. be able to demonstrate vocational competencies at least to the level being assessed;  
and
- iii. be able to demonstrate how they are continuing to develop their VET knowledge and skills as well as maintaining their industry currency and assessor competence.

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<sup>10</sup> [http://www.nssc.natese.gov.au/\\_data/assets/pdf\\_file/0006/62277/NSSC\\_Communique\\_3\\_-\\_December\\_2011.pdf](http://www.nssc.natese.gov.au/_data/assets/pdf_file/0006/62277/NSSC_Communique_3_-_December_2011.pdf)

**Note:**

*If a person does not have all the assessment competencies as defined in (i) ,(ii) and (iii) then one or more persons with the combined expertise in (i), (ii) and (iii) may work together to conduct the assessment*

*\* Vocational competency is defined as broad industry knowledge and experience, usually combined with a relevant industry qualification. A person who has vocational competency will be familiar with the content of the vocation and will have relevant current experience in the industry. Vocational competency must be considered on an industry-by-industry basis and with reference to the guidance provided in the Assessment Guidelines of the relevant Training Package.*

*\*\* Direct supervision is achieved when a person delivering training on behalf of the RTO has regular guidance, support and direction from a person designated by the RTO who has the trainer competencies in (i) or (ii) above and who monitors and is accountable for the training delivery. It is not necessary for the supervising person to be present during all training delivery.*

As outlined above, RTOs are explicitly required to ensure that their trainers and assessors are able to demonstrate relevant [current industry skills](#). Training Packages include advice specific to the industry related to the vocational competencies of assessors. This may include advice on relevant industry qualifications and experience required for assessing against the particular Training Package or for specific qualifications within the package. The Training Package will also provide specific industry advice outlining what it sees as acceptable forms of evidence to demonstrate the maintenance of currency of vocational competency.

**It is important to note that the NQC outlined in its June 2010 determination, following the endorsement of the TAE10 Training Package that:**

- **the new policy includes provision for trainers and assessors to ‘demonstrate equivalent competencies’. In other words, it is not the NQC’s intention to require trainers and assessors to upgrade their formal qualifications if they are able to demonstrate that they have gained the required competencies through continued professional practice. The NSSC have reaffirmed this position in the guidance note 1 above.**

***Implementation of the new requirements***

The Council has agreed to a transition period for the implementation of these requirements with the date for adherence set at 1 July 20123.

Providers and their trainers and assessors should contact their registering body in the first instance if they have queries about the new policy or how it will be implemented.

***Demonstration of equivalent competence***

Demonstration of equivalent competence is where an RTO accepts that someone has broadly achieved the outcomes and standard of performance of a unit of competency (through other units of competency, subjects, courses, programs or experiences) and that their current competence is equivalent for the purposes of the AQTF / VQF Standards for RTOs.

The process for determining equivalence would typically involve the mapping of one form of certification or set of experiences to the TAE10 Units of Competency, focusing on whether the outcomes match and

achievement of the unit outcomes and performance requirements is demonstrated. The test of equivalence is that the unit outcomes and performance be demonstrated.

RTOs, and people whose equivalent competence has been accepted for such purposes, should keep copies of completed self-assessment tools as documented evidence of having equivalent competence for TAE10 vocational competence requirements and AQTF compliance purposes.

IBSA has made a free [self-assessment tool](#) available for VET practitioners wishing to develop confidence in their capacity to meet the 'demonstrate equivalent competency' test of the new NQC policy for AQTF / VQF trainer and assessor competencies, due to be implemented from July 2013. This tool will also obviously satisfy the same 'demonstrate equivalent competency' requirements for those wishing to assess units from TAE40110.

All persons conducting assessments against competency standards in TAE10 should demonstrate current skills and knowledge in assessment practice, which could be met by a combination of evidence, including:

- relevant work history
- attendance at professional development activities focusing on best practice in assessment and/or workplace training
- colleague/peer support and participation in trainer/assessor professional networks
- participation in networks and communities of practice
- participation in moderation and validation activities
- knowledge of current practices in assessment and workplace training
- recent assessment and workplace training activities
- knowledge of language, literacy and numeracy issues in the context of assessment and workplace training.

VET practitioners with either BSZ or TAA qualifications who have continued to practise as trainers and assessors and maintained currency in line with the training package guidelines should have no difficulty in satisfying their employers and auditors of their conformance with the 'demonstrate equivalent competency' test.

### **Induction**

Induction of new staff is important for implementing an RTO's training and assessment strategy effectively and consistently. A planned induction process should be used by RTOs to ensure that all new staff delivering TAE40110 become familiar with:

- the regulatory environment in which they will be delivering the qualification including
  - VET Quality Framework (VQF) or AQTF Essential Conditions and Standards for Initial / Continuing Registration (AQTF2010)
  - any state requirement (e.g. the Victorian Registration and Qualifications Authority's *Guidelines for VET Providers*)
  - the organisations' quality assurance system and documentation
- the responsibilities of the role being undertaken
- the system in place to provide workplace support
- the organisational development strategy to assist their professional development planning.

Support structures such as buddying and/or mentoring can be valuable tools for new staff in the early days of delivering training and assessment in the VET environment. Through this process, new staff are introduced to the RTO's particular systems, processes and expectations. Established staff may benefit from fresh ideas and perspectives that the newer staff member may have gained in previous roles.

Where direct supervision is implemented as a strategy in employing Certificate IV in Training and Assessment practitioners, a formal learning program with milestones is now required by the June 2011 NQC determination to be developed and implemented. The practice of direct supervision is a transition strategy to support the development of skills in the workplace and part of a pathway towards a qualification. An open-ended practice of supervised delivery which does not involve some element of formal learning and recognition of that learning does not reflect good practice, either from the perspective of workforce management or an educational pathway and is now expressly disallowed by the NQC June 2011 determination.

***Example of Good Practice:***

- [Staff induction](#)

***Maintaining industry currency***

As already noted, Standard 1 of AQTF 2010 and VQF SNR 4.4/SNR 15.4 outline requirements in relation to industry currency:

1.4 Training and assessment is delivered by trainers and assessors who:

- have the necessary training and assessment competencies as determined by the National Quality Council or its successors*
- have the relevant vocational competencies at least to the level being delivered or assessed*
- can demonstrate current industry skills directly relevant to the training/assessment being undertaken*
- continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.*

In relation to good practice in maintaining industry currency, TAE10 states:

*All persons conducting assessments against the competency standards in TAE10 Training and Education Training Package should:*

- demonstrate current skills and knowledge in assessment practice, which could be met by a combination of evidence, including:
  - relevant work history
  - attendance at professional development activities focusing on best practice in assessment and/or workplace training
  - colleague/peer support and participation in trainer/assessor and/or professional networks
  - participation in networks and communities of practice
  - participation in moderation and validation activities
  - knowledge of current practices in assessment and workplace training
  - recent assessment and workplace training activities
  - knowledge of language, literacy and numeracy issues in the context of assessment and workplace training
- have current knowledge of the industry and workplace of the TAE learners/candidates, which would include:

- familiarity with the industry/enterprise competency standards to be used by the learner/candidate as the basis of assessment and/or training
- an understanding, where applicable of the training and/or assessment system in which the learner/candidate operates
- knowledge of the requisite assessor qualifications for the industry or enterprise.

The RTO, and especially staff involved in the delivery and assessment of the TAE, need access to continuous professional development. There is considerable ongoing research and consultation going on in the VET delivery and assessment field of which TAE practitioners should be aware. RTOs and staff need to be tapped into networks and other mechanisms for being kept informed of latest thinking and developments. For staff delivering TAE, VET education is their specialist field therefore they need strategies for maintaining industry knowledge and for incorporating that into delivery. RTOs would also be wise to use their TAE staff as a source of ongoing professional development and knowledge for staff delivering in other fields.

### *Ongoing professional development*

Given the AQTF/VQF requirement that trainers and assessors undertake ongoing professional development to maintain currency in their training qualification as well as their technical qualification, it is reasonable to assume that an entrant to the VET workforce would be expected to grasp the basic skills and concepts required to operate effectively in the VET environment.

However, as time in the VET sector increases, and the demands of roles and responsibilities increase, the skills and knowledge required by practitioners expands. For example, the skills and knowledge required by a sessional teacher who delivers a three hour module per week or a workplace assessor responsible for assessing against a particular suite of competencies are at a different level of complexity to those required by a course coordinator who oversees the development of a training and assessment strategy or a team leader with responsibility for managing and monitoring validation and moderation processes.

RTOs implementing TAE40110 need to have a professional development framework to support learning and development pathways of staff delivering the qualification. This framework needs to meet the needs of both the organisation and the individual.

#### ***Example of Good Practice:***

- [Building capability through networks](#)

## **Underpinning knowledge and skills**

When TAE40110 is unpacked, the following subjects are threaded through the underpinning knowledge component.

- VET sector – environmental context and drivers.
- Competency-based training and assessment framework.
- Learning styles, adult learning principles, learning theories, learning and assessment design.
- Generic skills, including oral and written communication, negotiation, liaison, consultation, administration and management (self and group).
- Legal requirements, OHS, access and equity.

The list above summarises the specialist knowledge that practitioners working with TAE40110 would be expected to have. Where other trainers and assessors have some skills and knowledge in delivery and assessment and specialist knowledge in the field in which they deliver, TAE40110 practitioners should be

expected to have specialist knowledge in the area of training and assessment. As the Certificate IV in Training and Assessment is an entry-level qualification, it cannot be considered to provide 'specialist' knowledge of training and assessment. RTOs should be conscious of the need for practitioners working with TAE40110 to have, and to maintain, specialist knowledge in the training and assessment field.

The TAE40110 Training Package specifies the following requirements for TAE assessors.

**Competency requirements of TAE assessors**

*The vocational competence of TAE10 Training and Education Training Package is education, training and assessment. Accordingly, persons who deliver recognised training in TAE10 units of competency and qualifications, through or on behalf of an RTO, must be able to demonstrate their vocational competence in education, training and assessment. The benchmarks for demonstration of this vocational competence are the relevant competency standards of TAE10 Training and Education Training Package or equivalent competence.*

*The following vocational competence requirements apply to persons providing assessment services for TAE10 Training and Education Training Package, including assessments relating to TAE10 qualifications and individual TAE10 units of competency.*

- *Persons who conduct assessments against the units of competency leading to the award of TAE40110 Certificate IV in Training and Assessment must have successfully completed TAE40110 Certificate IV in Training and Assessment or have equivalent competence.*
- *Persons who conduct assessments of candidates against individual units of competency from TAE10 Training and Education Training Package must hold formal recognition of competence in each unit in which they wish to conduct assessment or be able to demonstrate equivalent competence.*

The IBSA Board have made a very public statement in its submission to the Productivity Commission review of the VET workforce<sup>11</sup> that it has formed a view that the point of professional recognition in VET practice should be established at Diploma level. This has particular relevance in the context of the delivery of the Certificate IV in Training and Assessment. IBSA is specifically of the view that the minimum qualification of those delivering the Certificate IV in Training and Assessment is the Diploma of Vocational Education and Training. While the Skills Council is not in the position to mandate this, we will continue to represent this view in all the forum in which we engage, with a view to encouraging the industry to embrace this standard as the preferred position.

In maintaining their [industry currency](#), trainers and assessors delivering TAE40110 must ensure that they are aware of developments in these fields of knowledge created by ongoing research and public discourse. Many materials and websites can be used to stay informed, and these should be consulted during the design and development of programs and resources for TAE40110 to ensure that they meet the underpinning skills and knowledge components of the qualification.

Sources of information on developments within the VET sector and the training and assessment field are listed below.

**External links:**

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<sup>11</sup> <http://www.pc.gov.au/projects/study/education-workforce/vocational>

Training.gov.au is a national database containing information on Training Packages, qualifications, courses, units of competency and RTOs. <http://www.training.gov.au>.

Training.com.au is a portal providing access to Australian VET information, products and services. <http://www.training.com.au>.

The Australian Flexible Learning Framework is the e-learning strategy for the VET sector. The website provides e-learning products and services. <http://www.flexiblelearning.net.au>.

State Training Services, NSW Department of Education and Communities, provide information and advice on skills recognition and RPL materials. <http://www.skillsrecognition.nsw.gov.au>.

The National Quality Council provides advisory publications for RTOs including: Guide for developing assessment tools 2009; Validation and Moderation – Code of Practice 2009; Validation and Moderation – Implementation Guide 2009. The work of the NQC has now been taken over by the NSSC. [http://www.nqc.tvetaustralia.com.au/nqc\\_publications](http://www.nqc.tvetaustralia.com.au/nqc_publications).

Many of the policy functions of the NQC have been taken over from July 2011 by the National Skills Standards Council (NSSC). Policy guidance and other materials relevant to the VET system will be published by this body. <http://www.nssc.tvetaustralia.com.au/home>.

Industry Skills Councils (ISCs) develop many resources that can be accessed through the individual ISC websites. <http://www.isc.org.au>.

The VET component of Education Network Australia (EdNA) includes a free online network for educators and a searchable resource database. [http://www.edna.au/edna/go/vet/vet\\_resources/](http://www.edna.au/edna/go/vet/vet_resources/).

The Australian Core Skills Framework (ACSF) is a nationally recognised mechanism for describing levels of performance in the five core skills of learning, reading, writing, oral communication and numeracy. <http://www.deewr.gov.au/SKILLS/PROGRAMS/LITANDNUM/ACSF/Pages/default.aspx>.

The National Centre for Vocational Education Research (NCVER) is Australia's principal VET sector research and evaluation organisation providing access to a range of research papers and VET statistics. <http://www.ncver.edu.au>.

The Department of Education, Employment and Workplace Relations (DEEWR) is the Australian government department responsible for VET. <http://www.deewr.gov.au>.

TAFE Directors Australia (TDA) is the peak national body incorporated to represent Australia's public TAFE Institutes and university TAFE divisions, and the Australia-Pacific Technical College (APTC). <http://www.tda.edu.au>.

The Australian Council for Private Education and Training (ACPET) is the national industry association for independent providers of post-compulsory education and training, for Australian and international students, <http://www.acpet.edu.au>.



**Example of Good Practice:**

- [Building and extending practitioner skills](#)

## Delivery environments

The TAE40110 is delivered in a wide range of settings by many training and assessment organisations. At the end of 2010, approximately 800 RTOs were registered to deliver TAA40104. These ranged from small, niche market business consultancies in particular industries to a diverse range of charitable organisations, sporting and recreational bodies, and of course public, private and enterprise-based providers in all sizes and locations.

The nature of the RTO providing TAE40110 will naturally have implications for the way in which the qualification can be delivered and assessed. The size, location, resources and capabilities of the RTO are influencing factors, as are the business goals and overarching philosophy or purpose of the organisation. Whether the qualification is being delivered for the purposes of internal staff development or for external clients will also affect program planning. All of these factors have implications for:

- the [packaging of units](#) and selection of electives offered to candidates
- use of specific [Skill Sets](#) for particular environments
- [moderation and validation](#) practices
- access to [practice environments](#)
- decisions about [delivery duration](#).

Despite the variety of contexts in which TAE40110 is delivered and assessed, the elements of good practice program planning remain the same. A systematic approach to planning that is based on the requirements of the Training Package will ensure that the qualification is delivered well in any environment.

## Industry consultation

The requirement for RTOs to consult with industry is a key component in the AQTF 2010 Standards / VQF for RTOs. AQTF 2010 Standard 1.2 / VQF SNR 4.2 requires that:

*Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.*

RTOs that deliver the Certificate IV in Training and Assessment need to identify industry or employer stakeholders who will form part of this consultation process. Although not all employers of TAE40110 candidates are in the training and education industry, the qualification is part of the training and education industry and consultation with stakeholders from that industry will be necessary.

The relevant industry stakeholders will vary according to the nature of the program and target learners.

- Programs customised for delivery to an enterprise client will involve detailed consultation with the enterprise, including with staff and management at a variety of levels. They may also include consultation with professional bodies, associations, business partners, suppliers or customers relevant to the enterprise.
- Programs for internal workforce development needs will involve consultation with various levels of management and across departments. They may also include consultation with relevant staff associations and professional bodies.



- Public programs open to a wide variety of learners are the most challenging for industry consultation. In these cases, the environments in which learners are likely to be employed should be considered and relevant organisations or associations identified for advice or consultation. These may include relevant Industry Skills Councils (ISCs), community organisations and VET professional bodies, such as the Enterprise Registered Training Organisation Association (ERTO), TAFE Directors Australia (TDA), and the Australian Council for Private Education and Training (ACPET).

RTOs also need to recognise that for many learners, TAE40110 is a pathway to further learning in the training and education field. For this reason, RTOs may also need to consult with higher education bodies responsible for the delivery of higher level qualifications in education and training.

In all cases, a structured approach to consultation should be used to consider stakeholder needs and how/whether they are achieved through the program. Information gained from industry consultation should be taken into account in developing or customising training and assessment strategies. Information gathered may include:

- nature of the work environment – e.g. organisation size, geographic location and type (public, private, enterprise or not-for-profit)
- employment status of trainers/assessors (sessional, contract or permanent positions) and whether training/assessing roles are the employees' primary role or only a component of their role
- employer preferences about the way in which the program is delivered
- how qualifications should be structured and delivered or assessed, including advice from industry skills councils, licensing bodies and similar groups
- industry training needs identified in reports from government, industry and research bodies
- characteristics of the client group that need to be accommodated in training and assessment.

***External links:***

- [Australian Council for Private Education and Training \(ACPET\)](#)
- [Enterprise Registered Training Organisation Association \(ERTO\)](#)
- [TAFE Directors Australia \(TDA\)](#)
- [Industry Skills Councils \(ISCs\)](#)

***Example of Good Practice:***

- [Catering for industry expectations](#)

## Packaging electives to meet learner needs

TAE40110 comprises 10 units – seven core units and three electives. At least **two elective units** must be selected from the list below. **One elective unit** may be selected from any currently endorsed Training Package or accredited course relevant to the work outcome, local industry requirements and the qualification level.

### TAE40110 electives:

- TAEASS301B Contribute to Assessment
- TAEASS502B Design and develop assessment tools
- TAEDL301A Provide work skill instruction
- TAEDL403A Coordinate and facilitate distance-based learning
- TAEDL404A Mentor in the workplace
- TAEDL501A Facilitate e-learning
- TAELN401A Address language, literacy and numeracy skills
- TAETAS401A Maintain training and assessment information
- BSBAUD402B Participate in a quality audit
- BSBCMM401A Make a presentation
- BSBLED401A Develop teams and individuals
- BSBMKG413A Promote products and services
- BSBREL402A Build client relationships and business networks
- BSBRES401A Analyse and present research information

The packaging rules of the TAE40110 require that an elective selected from outside the electives listed above ‘must contribute towards the vocational outcome of the program’. This allows RTOs to package the qualification for the specific industry needs of the learner. It is implicit that the candidate is undertaking the qualification to train and assess in some vocational context in which they are currently competent. A unit from a qualification which they have already achieved in that vocational context could be used as an elective for the TAE40110. Alternatively if they do not have a qualification then it is expected that they would use their third elective to achieve at least one unit of competence in their vocational context.

The nature of the training and assessing organisation in which learners work, or intend to work, will shape their needs from the TAE40110. As much as possible delivery of the qualification, including the way in which it is packaged with electives, should be tailored to the needs of respective employing organisations. Ideally RTOs delivering TAE40110 will use [industry consultation](#) to guide decisions about program planning, including the packaging of elective options.

Just as [Skill Sets](#) are designed to meet the particular needs of work roles in different contexts, the full TAE40110 can be packaged with a variety of electives to meet the needs of different cohorts.

When designing the program, consideration of the learning needs of the particular group will help determine the most appropriate electives to include in the program. Things to consider are the work roles and functions of the learners, the learner groups they will be training/teaching/assessing and the learning environment in which they will be delivering their learning programs. This will include understanding:

- the level of administrative responsibility of the learner group – assessment plans and records, staff development, VQF / AQTF documentation
- their role in the workplace team – leader, course developer, client liaison, industry contact
- focus of delivery – workplace, distance, multi campus
- the type of learners they will be working with – early school leavers, students from non-English backgrounds, delivery of higher qualifications.

This information will help you determine the best cluster of electives.

The Victorian Purchasing Guide provides a number of examples of Training Programs. For example:

<p><b>Enterprise Trainer</b> whose primary function is delivering training and assessment in a workplace environment.</p>	<p>TAEASS502B <i>Design and develop assessment tools</i>            TAEDEL404A <i>Mentor in the workplace</i>            TAELLN401A <i>Address adult language, literacy and numeracy skills</i></p>
<p><b>Training Coordinator</b> who is involved in the delivery and management of training and assessment in a workplace.</p>	<p>TAETAS501A <i>Undertake organisational training needs analysis</i>            TAELLN401A <i>Address adult language, literacy and numeracy skills</i>            BSBREL402A <i>Build client relationships and business networks</i></p>
<p><b>Vocational Education Trainer</b> whose primary purpose is delivering training and assessment in a formal education setting.</p>	<p>TAEASS301B <i>Contribute to assessment</i>            TAEDEL501A <i>Facilitate e learning</i>            TAETAS401A <i>Maintain training and assessment information</i></p>

## Program planning

When planning for the delivery of competency based training programs it is wise to start from the final outcome – what does competency look like? In other words, address the dimensions of competency – the aspects of work performance represented by:

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

Steps in the planning process can be summarised as follows.<sup>12</sup>

1. What evidence do I need to collect in 'real' or realistically simulated environments? What other evidence do I need? How do I ensure it meets the principles of validity in:
  - a. content – the match between the required knowledge and skills specified in the competency standards and the assessment tool's capacity to collect such evidence
  - b. face validity – face refers to the relationship between assessment tasks and real work-based activities; the extent to which the assessment tasks reflect real, work-based activities
  - c. construct – the degree to which the evidence collected can be used to infer competence in the intended area, without being influenced by other non-related factors (e.g. literacy levels).
2. How will I get this evidence? Consider:
  - a. the methods of collection that will form your assessment plan – will the chosen methods actually measure what it purports to measure and is it practical to use? Does the evidence it collects cover the knowledge and skills that are essential to competent performance as set out in the unit of competency?
  - b. the benchmark criteria – what marking guides and/or exemplars and assessment records will I need to develop:
    - i. to ensure fairness and flexibility with reasonable adjustments outlined?
    - ii. to record expected responses appropriate to the AQF level?
    - iii. the decision-making rules you will implement to define satisfactory responses? For example – what constitutes a satisfactory response? How will you deal with an incomplete response? Will you have a cut-off point, e.g. will 8/10 correct responses be sufficient; will you elicit more information for two responses not given or will you require a reassessment? Your instructions need to be clear to ensure intra/inter-rater reliability.
  - c. the detailed mapping of assessment activities against unit requirements, including:
    - i. Elements
    - ii. Required Skills and Knowledge
    - iii. critical aspects for assessment and evidence required to demonstrate competency
    - iv. employability skills.
  - d. recording and reporting documentation, including:
    - i. summary report and assessor signoff
    - ii. feedback to and from learner
    - iii. organisational requirements met.

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<sup>12</sup> Dwyer, J., November 2010, *Quality Assessment Practices TAE10*, VELG TAE Training Summit, 8 November, Queensland.

3. What processes and tools do I need to implement to achieve this assessment plan?
  - a. [Learning needs](#) of specific cohort – any support strategies necessary?
  - b. [Context](#) of learning program – workplace, distance, online, institution, enterprise? What does this mean in terms of:
    - i. the packaging of qualifications – clusters, electives?
    - ii. facilities and resources – technology, support personnel, subject expertise?
    - iii. the RPL process?
    - iv. the flexibility of delivery?
    - v. information for students?
  - c. Source and/or design resources – mode?
4. Link planning for delivery and assessment in a single Training and Assessment Strategy.

**Resources:**

[Template: What does competency look like?](#)

**Example of Good Practices:**

[Customising programs for industry clients](#)

[Planning and preparation](#)

### *Delivery duration*

Ideally the duration of delivery will be established during the planning process as a result of considering the requirements of the Training Package and the needs of the target learners. The time required for the delivery of TAE40110 may vary widely and will be influenced by:

- location/accessibility of training – in remote areas, transport and seasonal variations may limit access to training sites at certain times of year
- demands on learner time – learners working full or part time may have limited time available to participate in training or assessment activities. In this case, the program may need to be spread over a longer timeframe
- access to [practice environments](#) – learners who are not currently working in a suitable practice environment will need access to a simulated environment that may take time for the RTO to establish
- learner support needs – some learner cohorts may need more assistance with aspects of the [required knowledge and skill](#) than others, particularly if they have little experience of the VET sector or have a limited educational background.

In taking these variables into account, RTOs should also remain conscious of guidance contained in the AQF which outlines an expected ‘volume of learning’ for Certificate IV qualifications of 6 to 24 months<sup>13</sup>. To place this into a more specific context, the Victorian Purchasing Guide indicates that the expected ‘nominal hours’ (the anticipated hours of supervised learning or training deemed necessary in order to adequately present the educational material) is between 255 and 315 depending upon electives chosen. This would

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<sup>13</sup> Approved as part of revised AQF in November 2010. Final approved version will be published following MCTEE in March 2011.

suggest that without consideration for personal study time, research and assignments, and practice to develop skill levels, programs for those without prior experience would be expected to be a minimum of 41 days or 8 full-time teaching weeks.

Variation in the duration of training under competency-based training is expected. Nevertheless, RTOs planning to deliver the qualification in significantly less time than that suggested by State/Territory Purchasing Guides should carefully consider their rationale for this decision. Do the target learners have particular advantages, such as previous experience or prior learning, that allow them to cover content more quickly? If not, the planned program may not meet their learning needs.

Nominal hours are not described within Training Packages; training is competency-based. However, nominal hours are often associated with funded training and sometimes they are provided along with sample training programs in Purchasing Guides or Implementation Guides that States and Territories develop to support funding delivery.

Contact your State or Territory training authority for a copy of the relevant Purchasing Guide.

### *Training and Assessment Strategies*

To assist in achieving high quality outcomes that meet client, industry and community expectations, you may develop a Training and Assessment Strategy, which documents the planning done during the development of a training and assessment program.

Training and Assessment Strategies outline the characteristics of the learner group, the clustering of units, the delivery schedule, assessment activities, and mapping of evidence collection modes that ensure principles of assessment and rules of evidence are met.

Training and Assessment Strategies involve:

1. *Planning and design* – this involves industry and community involvement, teaching/training expertise, and learning pathways. The development and delivery of learning and assessment programs, strategies and resources need to be linked to key components of TAE40110:
  - a. organising clusters of units within thematic categories where appropriate and possible
  - b. integrating assessment activities mapped to:
    - i. skills
    - ii. knowledge
    - iii. critical aspects of evidence
    - iv. employability skills
    - v. sustainability skills.
  - c. ensuring that the assessment activities reflect the AQF level and can be used to gather evidence that demonstrates:
    - i. the depth and breadth of the participant’s knowledge and understanding at the required level of complexity
    - ii. skill at the required level of complexity underpinned by cognitive, technical, communication, creative, interpersonal and generic skills
    - iii. application of these knowledge and skills in context with the required level of autonomy, responsibility and accountability (Strengthening the AQF, Advice to the MCTEE, Nov., 2010, p.7).
2. *Development and delivery of learning and assessment programs, strategies and resources that:*
  - a. reflect innovation and flexibility
  - b. have technology support
  - c. are responsive to clients’ needs.

3. Review and evaluation of learning and assessment that is
  - a. well designed
  - b. supported by well-understood processes for proactively engaging with clients, stakeholders and other best-practice organisations locally, nationally and beyond to continuously improve training and assessment services.<sup>14</sup>

**Example of Good Practice:**

- [Quality Assurance systems](#)

### *Language, literacy and numeracy requirements*

Language, literacy and numeracy (LLN) skill requirements are incorporated into the competencies of TAE40110, as they are in all Training Package competencies. RTOs and their trainers and assessors delivering TAE40110 should be aware of these requirements. Further information on unpacking the LLN requirements of TAE40110 is included in [Section 3](#).

In supporting individual learner needs, RTOs should consider the LLN skill levels of learners before they begin any training program. In the case of TAE40110 RTOs should determine whether learners already have the LLN skills described in the qualification. If learners do not have these skills, RTOs will need to consider how they will build the LLN skills of learners to achieve the LLN requirements specified in the competencies.

It is highly unlikely that all learners in TAE40110 will have the required LLN skills on entry, given the average LLN skills of the Australian population. Findings from the 2006 Adult Literacy and Life Skills survey<sup>15</sup> indicate that almost half of the Australian adult population (7 million people) do not have the reading skills considered necessary to meet the demands of everyday life and work. These people are highly likely to experience difficulty participating in some aspects of training and assessment for TAE40110. They will also need to build their LLN skills to achieve the competencies described by the qualification.

RTOs need to consider whether their trainers have the ability to build learners' LLN skills. Depending on the extent of learners' LLN skill development needs, advice from specialist LLN practitioners may be needed.

Given the extent of LLN issues within the general Australian population, and therefore within the VET learner population, many RTOs are recognising the need to build the ability of practitioners to identify and support learners with LLN needs. Mechanisms RTOs have used for building staff capability include:

- participation in DEEWR-funded professional development and/or awareness-raising workshops around the Australian Core Skills Framework (ACSF)
- participation in professional development and/or awareness-raising initiatives conducted by Industry Skills Councils
- in-house delivery of the TAE40110 LLN elective unit, TAELN401A *Address adult language, literacy and numeracy skills*
- use of professional development materials linked to TAELN401A on the 'Taking the Lead' website developed by Service Skills Australia.

RTOs must also plan for the intention that this elective unit will become a core unit from June 2014. IBSA outlined in the Case for Endorsement to the NSSC for the revised Diploma level qualifications in TAE10 that:

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<sup>14</sup> AQTF, 2007, *Excellence Criteria for Registered Training Organisations – Draft*, Commonwealth Government, p.10.

<sup>15</sup> Australian Bureau of Statistics, *Adult Literacy and Life Skills Survey: Summary Results, 2007*.

“the unit *TAELLN401A Address adult language, literacy and numeracy skills* will be included in the core of the Diploma of Vocational Education and Training (TAE50111) (thereafter) it is IBSA’s intention that this will be the case until June 2014 at which point this unit will be included into the core of the Certificate IV in Training and Assessment (TAE40110) and the current elective in the Diploma *TAELLN501A Support the development of adult language, literacy and numeracy skills* will be included into the core of the Diploma of Vocational Education and Training (TAE50111)”.

**External links:**

- [Australian Core Skills Framework](#)
- [Taking the Lead](#)

**Learner needs**

The Productivity Commission’s draft report noted that:

*A significant, and increasing, proportion of the VET student population has characteristics that indicate the potential for disadvantage. Members of disadvantaged groups tend to require more from the VET workforce, than do their peers.*<sup>16</sup>

In its submission to the Productivity Commission, the New South Wales Government stated that disadvantaged students place:

- a wide range of demands on the TAFE workforce in relation to, for example:
  - counselling and advisory services
  - foundational and employability skills programs
  - community liaison and partnerships
  - intermediate pathways for at-risk groups
  - targeted resources to support engagement for particular student backgrounds
  - customising programs to meet an extremely diverse range of individual needs.<sup>17</sup>

VET’s role in promoting social inclusion and civic participation demands that it provide educationally or vocationally disadvantaged groups with access to technical and further education. These groups may include:

- women
- persons of Indigenous background
- persons of non-English speaking background
- persons with disabilities
- persons from socially and geographically isolated areas.

SNR 5 of the VQF (Standard 2 of the AQTF 2010) requires that RTOs address access and equity through:

- establishing the needs of clients, and delivering services to meet these needs
- delivering training, assessment and support services that meet the needs of individual learners.

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<sup>16</sup> Productivity Commission, November 2010, *Vocational Education and Training Workforce: Productivity Commission Draft Research Report*, Australia.

<sup>17</sup> New South Wales Government submission to the Productivity Commission, November 2010, *Vocational Education and Training Workforce: Productivity Commission Draft Research Report*, Australia.



The current structure of TAE40110 has been designed to ensure that entry level trainers and assessors develop the core competencies necessary to meet these regulatory requirements. Candidates undertaking TAE40110 are expected to consider the individual needs of their learners when demonstrating performance for all competencies within the qualification. Electives such as TAELLN401 *Address language, literacy and numeracy skills within training and assessment practice* provide the opportunity to explore specific areas in more depth.

However, it is also likely that these issues will need to be addressed by the practitioner of TAE40110. The [LLN requirements](#) of TAE40110 have been discussed previously. Strategies that can be used to address the needs of some TAE40110 learner cohorts include:

- clustering or ordering units in a way that makes sense to learners and is compatible with their background knowledge and learning context
- offering elective choices that are relevant to the learning and vocational goals of learners
- contextualising delivery and assessment (and learning and assessment materials) to the learning environment in which the learners will be working
- making [reasonable adjustments](#) as appropriate for individual learners
- providing additional support services as appropriate for the learner cohort, e.g. community or workplace-based mentors.

## Assessment practice for the Certificate IV

### *Systems and processes*

To meet the requirements of the VQF / AQTF 2010, RTOs need systems, processes and templates that provide the basis for planning, delivering, assessing and reporting the qualification. These include:

- a planning framework for delivery and assessment of the qualification
- a tool for mapping assessment activities against:
  - elements
  - Required Skills and Knowledge
  - critical aspects for assessment and evidence required to demonstrate competency
  - employability skills
- exploring the critical aspects of evidence in relation to such matters as observed teaching practice, workplace evidence and simulation
- good practice in simulation - guidance on where it is and is not applicable
- good practice in RPL
- mechanisms for validation and moderation.

### *Validation and moderation*

VQF SNR 4.5(d) (AQTF Standard 1.5(d)) requires that RTOs implement a planning framework for validation and moderation to inform continuous improvement.

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

Moderation is a process that ensures consistency of judgments. It is the process of bringing assessment judgments and standards into alignment. It is a process that ensures that the same standards are applied to all assessment results within the same unit/s of competency. It is an active process in the sense that adjustments to assessor judgements are made to overcome differences in the difficulty of the tool and/or the severity of judgments. Moderation occurs prior to results being recorded.<sup>18</sup>

Who should be involved in validation and/or moderation?

- Trainers and assessors.
- Broad industry representatives.
- Candidates.

Possible external panel members include employees of TAFE institutes, universities, RTOs, industry associations, ISCs, Industry Training Advisory Bodies (ITABs), state/territory Curriculum Maintenance Managers (CMMs), government agencies, external members of RTO advisory/governance bodies/boards, communities of practice, VET networks, private consultants and individuals and a wide range of private enterprises and companies.

**Resources:**

- [Template for planning and documenting a validation process](#)
- [Validation action sheet](#)
- Further templates and system planning suggestions can be found in the NQC *Validation and Moderation – Implementation Guide 2009*, available from the NQC website (also see link below).

**External links:**

- [ASQA publications](#)
- [NQC publications](#)
- [AQTF publications](#)

**Example of Good Practice:**

- [Assessment moderation and validation](#)

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<sup>18</sup> AQTF, July 2010, *Users' Guide to the Essential Conditions and Standards for Continuing Registration*, Commonwealth Government.

## Assessment and partnership arrangements

SNR 6.3 of the VQF reads:

*Where applicable, the applicant has a defined process and mechanism to monitor training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.*

(Element 3.3 of Standard 3 of the AQTF reads:

*The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration).*

The Guide to Compliance in the AQTF 2010 Users' Guide to the Essential Conditions and Standards for Continuing Registration identifies the following processes as evidence of meeting this requirement.

**Documented agreements** are in place with each organisation that provides training and/or assessment on the RTO's behalf. The agreements describe the responsibilities of each party and the management strategies to be implemented, including monitoring arrangements.

The implementation of the **agreement is monitored** to ensure that it is being adhered to and that improvements are made, where required.

**Improvements** to arrangements for the establishment, monitoring and implementation of agreements are demonstrated.

## Resources for delivery and assessment

The Training and Assessment planning process will have identified the relevant, accessible resources that need to be developed and ready for use.

These products will need to be revised and customised to meet the particular learning needs of specific cohorts. Commercial off-the-shelf material, particularly assessment instruments, must be revised to reflect the learning environment and context in which they are being used and the audience to whom they are directed.

Validation and moderation activities that feed into continuous improvement processes can also be applied to the revision and updating of these learning and assessment resources.

### **Example of Good Practice:**

- [Developing customised resources](#)

### **Resources:**

- [Ideal characteristics of an assessment tool](#)

### **External links:**

- WA Department of Education and Training, [Designing Assessment Tools for Quality Outcomes in VET](#), 2008

## Implementation checklist

The following self-assessment checklist<sup>19</sup> is useful for the assessor when reviewing the administration, scoring, recording and reporting components of an assessment plan. Check to see that the assessment plan has the following information documented to enable another assessor to implement it in a consistent manner.

Major component	Type of information
<b>The Context</b>	<p>The purpose of assessment (e.g. formative, summative).</p> <p>Target group (including a description of any background characteristics that may impact on performance).</p> <p>Unit/s of Competency.</p> <p>Selected methods.</p> <p>Intended uses of the outcomes.</p>
<b>Competency Mapping</b>	Mapping of key components of task to Unit/s of Competency.
<b>Information to Candidate</b>	<p>The nature of the task to be performed (how). This component outlines the information to be provided to the candidate which may include:</p> <ul style="list-style-type: none"> <li>• standard instructions on what the assessor has to say or do to get the candidate to perform the task in a consistent manner (e.g. a list of questions to be asked by the assessor)</li> <li>• required materials and equipment</li> <li>• any reasonable adjustments allowed to the standard procedures</li> <li>• level of assistance permitted (if any)</li> <li>• ordering of the task/s.</li> </ul>
<b>Evidence from candidate</b>	Describe the response format – how the candidate will respond to the task (e.g. oral response, written response, creating a product and/or performance demonstration).
<b>Decision-making rules</b>	<p>Instructions for making Competent/Not Yet Competent decisions (the evidence criteria).</p> <p>Scoring rules if grades and/or marks are to be reported (if applicable).</p> <p>Decision-making rules for handling multiple sources of evidence across different methods and/or tasks.</p> <p>Decision-making rules for determining authenticity, currency and sufficiency of evidence.</p>
<b>Range and conditions</b>	Location (where).

<sup>19</sup> NQC, 2009, *Guide for the development of Assessment Tools*, Commonwealth Government, p.21.

	<p>Time restrictions (when).</p> <p>Any specific assessor qualifications and/or training required to administer the tool.</p>
<b>Materials/resources required</b>	<p>Resources required by candidate.</p> <p>Resources required by the assessor to administer the tool.</p>
<b>Assessor intervention</b>	Type and amount of intervention and/or support permitted.
<b>Reasonable adjustments</b>	Justification that the alternative procedures for collecting candidate evidence do not impact on the standard expected by the workplace, as expressed by the relevant unit/s of competency.
<b>Evidence of validity</b>	<p>The assessment tasks are based on or reflect work-based contexts and situations (face validity).</p> <p>The tool, as a whole, represents the full range of skills and knowledge specified within the Unit/s of Competency (content validity).</p> <p>The tool has been designed to assess a variety of evidence over time and contexts (predictive validity).</p> <p>The boundaries and limitations of the tool in accordance with the purpose and context for the assessment (consequential validity).</p> <p>The tool has been designed to minimise the influence of extraneous factors (factors that are not related to the unit of competency) on candidate performance (construct validity).</p> <p>The tool has been designed to adhere to the literacy and numeracy requirements of the Unit/s of Competency (construct validity).</p>
<b>Evidence of reliability</b>	<p>There is clear documentation of the required training, experience and/or qualifications of assessors to administer the tool (inter-rater reliability).</p> <p>The tool provides model responses and/or examples of performance at varying levels (e.g. competent/not yet competent) to guide assessors in their decision-making (inter and intra-rater reliability).</p> <p>There are clear instructions on how to synthesis multiple sources of evidence to make overall judgement of performance (inter-rater reliability).</p> <p>If marks or grades are to be reported, there are clear procedures for scoring performance – for example marking guidelines, scoring rules and/or grading criteria (inter-rater reliability).</p>
<b>Recording Requirements</b>	<p>The type of information to be recorded.</p> <p>How it is to be recorded and stored, including duration.</p>
<b>Reporting requirements</b>	What will be reported and to whom?

	What are the stakes and consequences of the assessment outcomes?
<b>Supplementary information</b>	Any other information that will assist the assessor in administering and judging the performance of the candidate.

# Section 3: Information for the practitioner

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**This section focuses on what RTOs, trainers and assessors should consider in relation to planning for the delivery of individual TAE40110 programs. It focuses on the skills and knowledge that learners need to develop and demonstrate.**

Key points to remember for the implementation of a TAE40110 program are listed below.

- This is an entry-level, vocational qualification. Candidates need opportunities to practise and apply their new skills. Knowledge developed through the program should be related to practical tasks and work environments.
- The VET environment is constantly changing. Training Packages are continuously improved and revisions are made to frameworks, including the VQF, AQTF and AQF. Roles and responsibilities are altered, such as in the case of the new VET regulator (ASQA). As a provider of TAE40110, you are affected by these changes, but it is also your responsibility to ensure that your program content is current. It is not possible for off-the-shelf delivery and assessment materials to be 100 percent up to date - TAE40110 practitioners will need to adjust them as changes arise.
- The learning needs of each and every cohort must be considered and programs adjusted to reflect that consideration.

## Addressing embedded components

There are a number of generic skills embedded within the units of competency of the qualification. These include:

- the language, literacy and numeracy ([LLN](#)) skills and knowledge necessary to perform tasks and demonstrate knowledge and understanding to the level required in the critical aspects of evidence of the units of the qualification
- the aspects of occupational health and safety that underpin achievement of competency within the dimensions of competency
- knowledge and skill in the areas of delivery and facilitation, including inclusive practice, recognition of diversity and development and promotion of a learning culture, are integral components of those units focussed on delivery and assessment
- the facets of [employability skills](#) as outlined in the TAE40110 employability skills summary.

When planning for the delivery and assessment of this qualification it is essential that you address these embedded components. Documentation of how delivery and assessment strategies address the embedded components should be clearly linked to the relevant parts of the unit/s of competency.

A range of support materials and case studies linked to addressing the embedded components of the qualification are outlined below.

### ***Example of Good Practice:***

- [Linking learning to the AQTF](#)

## *Employability Skills*

The TAE10 Training Package includes an Employability Skills summary for TAE40110. These summaries are designed to help trainers and assessors identify and include the important industry application of Employability Skills in their learning and assessment strategies.

### **Resources:**

- [TAE40110 Employability Skills Summary](#)

## *Language, literacy and numeracy (LLN)*

The Australian Core Skills Framework (ACSF) describes reading, writing, oral communication, numeracy and learning skills over five levels. ISCs have started to use the ACSF to describe the level of language, literacy and numeracy skill required by units of competency and/or qualifications. While the TAE40110 does not currently include information on ACSF levels, you can unpack the qualification to identify required LLN skills.

A table outlining the required LLN skills in TAE40110 core units is included in [Section 5](#).

Further information on LLN skill requirements is included in the Elements and Performance Criteria of each unit. One method for identifying these requirements is through the use of trigger words – these are words that alert you to the presence of LLN requirements.

By finding the trigger words in a unit of competency and considering the documents, activities or contexts to which the words are being applied, you can build an understanding of the complexity of reading, writing, speaking and listening required for competency. These requirements can be mapped to ACSF levels and/or used to develop pre-training assessments to gather information about the LLN skill development or support needs of target learners.

A table listing LLN trigger words in TAE40110 core units is included in [Section 5](#).

Not all units in TAE40110 require the same level of LLN skill. Learners may need LLN support or skill-building strategies for some units, but not for others. The field and/or environment in which the learner will be working may also influence the level of LLN skill required. You should consider the implications of the way units are worded for different learners, such as:

- ‘in accordance with organisational requirements/policies/procedures/systems’
- ‘use appropriate industry/profession terminology’
- ‘ensure LLN used is appropriate to learners’.

A number of resources have been developed to help practitioners think about the LLN requirements of their learners, their training program and the training specification. Practitioners delivering and assessing TAE40110 should be conscious that training and assessment should:

- reflect the LLN requirements of the qualification/unit of competency
- accommodate the LLN skills of learners
- match the LLN demands of the workplace.

A diagram explaining the need to balance LLN requirements in training and assessment is included in [Section 5](#).



**Resources:**

- [Table of required LLN skills in TAE40110 core units](#)
- [Table of trigger words for TAE40110 core units](#)
- [Balancing LLN requirements in training and assessment](#)

**External links:**

- [The Crux of the Matter](#) is a Queensland DET publication providing advice on addressing LLN in line with AQTF requirements.
- [Taking the Lead](#) is an online resource database, news site and professional development resource developed and hosted by Service Skills Australia.

## Addressing required knowledge and skill

When TAE40110 is unpacked, the following subjects are threaded through the underpinning knowledge component.

- VET sector – environmental context and drivers
- Competency-based training and assessment framework
- Learning styles, adult learning principles, learning theories, learning and assessment design
- Generic skills, including oral and written communication, negotiation, liaison, consultation, administration and management (self and group)
- Legal requirements, OHS, access and equity.

When planning for the delivery and assessment of these skills and knowledge, it is essential that the learning and assessment activities be mapped to:

- particular skills
- specific knowledge
- relevant critical aspects of evidence
- facets of employability skills
- sustainability skills.

Assessment activities must also reflect the AQF level 4 and can be used to gather evidence that demonstrates:

- the depth and breadth of the student's knowledge and understanding at the required level of complexity
- skill at the required level of complexity, underpinned by cognitive, technical, communication, creative, interpersonal and generic skills
- application of these knowledge and skills in context with the required level of autonomy, responsibility and accountability.<sup>20</sup>

Any learning and assessment programs, strategies and resources should be developed to:

- reflect innovation and flexibility
- have technology support
- be responsive to clients' needs.

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<sup>20</sup> AQF, November 2010, *Strengthening the AQF*, Advice to the MCTEE, Commonwealth Government, p.7.

## Contextualisation advice

Any contextualisation of units of competency from TAE10 must be within the bounds of the following advice. In contextualising units of competency, RTOs:

- must not remove or add to the number and content of Elements and Performance Criteria
- may add specific industry terminology to Performance Criteria where this does not distort or narrow the competency outcomes
- may make amendments and additions to the Range Statement as long as such changes do not diminish the breadth of application of the competency and reduce its portability
- may add detail to the Evidence Guide in areas such as the Critical Aspects of Evidence or resources and infrastructure required, where these expand the breadth of the competency but do not limit its use.

## Delivery methods

Delivery of TAE40110 should model the training and assessment practices required in the delivery of all Training Package qualifications. As preparation for workforce entry, TAE40110 is uniquely positioned to influence future practice in the VET sector. In the case of TAE40110, the way in which it is delivered and assessed has the potential to contribute significantly to learners' understanding of the qualification content.

Many different delivery approaches can be used according to the specific needs of the learner cohort. Some of the benefits and challenges of various delivery models are listed in the table below.

Delivery Method	Benefit	Challenge
Online/distance	Ability for learners and practitioners to participate from anywhere.	Generating learner and practitioner interaction requires effort, often not enough time is allocated for this.
Classroom-based	Ability to generate discussion and opportunities for learners to share and learn from each other.	Relating learning and assessment to real workplaces can be difficult if learners are not working in a training environment.
Clustered	Ability to streamline delivery and assessment by linking related content from different units.	Careful mapping and documentation to ensure that all aspects of each competency are assessed.
Work-based	Ability to relate learning directly to workplace requirements and use direct observation assessment methods.	Scheduling of learning and assessment opportunities can be impacted by organisational operations.
Self-paced	Ability for learners to proceed at their own pace, faster or slower than a standard program.	Sometimes limited access to other learners or colleagues to discuss/share learning and experiences.

**Example of Good Practices:**

- [Delivery in the workplace](#)
- [Online delivery](#)
- [Multi-mode delivery](#)

## Clustering for delivery and assessment

The interrelated nature of units within TAE40110 presents opportunities for units to be clustered for delivery and/or assessment.

The core units fall into natural groups according to their stream – Design, Deliver, Assess – allowing the development of learning activities that address common concepts. Units may also be clustered to allow learning and assessment activities to flow through the stages of designing a learning program, delivery of the program and implementation of the assessment process. There is no set rule for clustering, other than the opportunity to create meaningful adult learning experiences that link common concepts and reinforce learning within a relevant context. Clustering also provides the opportunity for integrated, holistic assessment instruments that can meaningfully address the dimensions of competency.

Many elective units can be grouped with core units to form logical clusters. However, it is important to remember that electives should be selected to meet workplace or learner needs, rather than to fit a particular delivery approach.

Core unit cluster:	May also include one or more of:
<p>Design cluster</p> <p><b>TAEDES401A <i>Design and develop learning programs</i></b></p> <p><b>TAEDES402A <i>Use training packages and accredited courses to meet client needs</i></b></p>	<p>TAEASS502B <i>Design and develop assessment tools</i></p> <p>TAELLN401A <i>Address adult LLN skills</i></p> <p>BSBMKG413A <i>Promote products and services</i></p> <p>BSBREL402A <i>Build client relationships and business networks</i></p> <p>BSBRES401A <i>Analyse and present research information</i></p>
<p>Delivery and facilitation cluster</p> <p><b>TAEDEL401A <i>Plan, organise and deliver group-based learning</i></b></p> <p><b>TAEDEL402A <i>Plan, organise and facilitate learning in the workplace</i></b></p>	<p>TAEDEL301A <i>Provide work skill instruction</i></p> <p>TAEDEL403A <i>Coordinate and facilitate distance-based learning</i></p> <p>TAEDEL404A <i>Mentor in the workplace</i></p> <p>TAEDEL501A <i>Facilitate e-learning</i></p> <p>BSBCMM401A <i>Make a presentation</i></p> <p>BSBLED401A <i>Develop teams and individuals</i></p>

<p>Assessment cluster</p> <p><b>TAEASS401B <i>Plan assessment activities and processes</i></b></p> <p><b>TAEASS402B <i>Assess competence</i></b></p> <p><b>TAEASS403B <i>Participate in assessment validation</i></b></p>	<p>TAEASS301B <i>Contribute to assessment</i></p> <p>TAEASS502B <i>Design and develop assessment systems</i></p> <p>TAETAS401A <i>Maintain training and assessment information</i></p> <p>BSBAUD402B <i>Participate in a quality audit</i></p>
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Elective units may also be clustered together without the inclusion of core units. Possible groupings include:

- TAEDEL404A *Mentor in the workplace* and BSBLED401A *Develop teams and individuals*
- TAEDEL403A *Coordinate and facilitate distance based learning* and TAEDEL501A *Facilitate e-learning*
- TAEASS502B *Design and develop assessment systems* and BSBRES401A *Analyse and present research information*
- TAETAS401A *Maintain training and assessment information* and BSBAUD402B *Participate in a quality audit*.

Client needs and pathways should be used to inform decisions about clustering. Providers also need to ensure that the program they develop gives learners who are undertaking individual units (rather than the full qualification) the opportunity to develop and demonstrate all of the individual unit's requirements.

***Example of Good Practice:***

[Clustering](#)

## Practice environments

All TAE40110 candidates need access to a learning and assessment environment where they can access information and apply their skills. This environment is referred to as the 'practice environment'. The practice environment should be as realistic as possible and as much as possible should reflect the environment (or industry face) in which learners will be practising in future.

A study of the expectations and experiences of practitioners undertaking the Certificate IV in Training and Assessment found that outcomes from the qualification could be markedly improved if serious consideration were given to the allocation of sufficient time and space for program participants to practise and apply their teaching and assessment skills and techniques and to develop their ability to recognise and respond appropriately to the diverse learning needs of VET students and clients.<sup>21</sup>

Providers should consider the industry specialisations of their learners when thinking about the type of practice environment that would be appropriate.

- Would a trainer/assessor specialising in hairdressing expect to deliver sessions in a computer laboratory?
- What resources would a mechanical engineering trainer/assessor expect to have access to?

<sup>21</sup> Clayton, B., et al., 2010, Practitioner Expectations and Experiences with the Certificate IV in Training and Assessment (TAA40104), NCVET.

Many candidates need assistance to find a suitable practice environment.

If candidates are employed in an organisation that delivers training and/or assessment services, then their workplace is the practice environment. Training providers and practitioners will need to collaborate with the candidate's supervisor, and possibly other staff in the workplace, to make arrangements for observations and third party reports.

Candidates who are not employed may be able to access other environments where training and/or assessment takes place. Examples include community or sporting organisations such as the CFA, Neighbourhood Houses, a local pool or cultural associations. Training providers and practitioners may need to liaise with various community members to make arrangements for observations and third party reports.

Some candidates, particularly those participating in distance or e-learning programs, may be able to use the online environment as their practice environment. While an RTOs might be able to establish a virtual learning community that enables the online demonstration of all TAE40110 competencies, if the candidate is intending to work in other environments when they complete their qualification it is probably inadvisable for the virtual learning community to be their sole practice environment.

Some providers of TAE40110 make arrangements for candidates in classroom-based programs to apply their learning on fellow learners in the classroom environment. This can be an effective mechanism for practising skills but for assessment purposes, efforts should be made to ensure that the training and assessment environment is as realistic as possible, with access to real resources, learners and systems.

**Example of Good Practice:**

- [Work-integrated pathway delivery](#)

## Assessment

As outlined in the Assessment Guidelines of TAE10:

*Assessment within the National Skills Framework is the process of collecting evidence and making judgments about whether competency has been achieved to confirm whether an individual can perform to the standards expected in the workplace, as expressed in the relevant endorsed unit of competency.*

*In the areas of work covered by this Training Package, the endorsed units of competency are the benchmarks for assessment. As such, they provide the basis for nationally recognised Australian Qualifications Framework (AQF) qualifications and Statements of Attainment issued by Registered Training Organisations (RTOs).*

### Planning for assessment

When developing the assessment plan for the qualification, the following processes are a guide to good practice.

- Developing or using an existing planning framework for delivery and assessment of the qualification.
- Developing a tool for mapping assessment activities against:
  - Elements
  - Required Skills and Knowledge
  - critical aspects for assessment and evidence required to demonstrate competency
  - employability skills.

- Linking Critical Aspects of Evidence in relation to such matters as observed teaching practice, workplace evidence and simulation in the mapping exercise.
- Using simulation where appropriate.
- Implementing an RPL process which meets the principles of assessment and the rules of evidence.
- Planning for validation and moderation of the assessment plan and its components.

### **Evidence collection**

The specific evidence requirements for each unit of competency succinctly list what a competent candidate must present for assessment. However, an assessor must also be confident that the candidate has met all aspects of the unit of competency when making an assessment decision. Documentation of the planning, delivery, assessment and reporting of outcomes against the Training Package requirements should support the decision-making.

It is the RTO’s decision whether they keep complete examples of assessment evidence or a sample for the purpose of audit. There must be sufficient evidence on file for the auditor to make a judgment on the validity, reliability and sufficiency of the evidence to support the assessment decision. For further advice, contact ASQA or your State Training Authority depending upon relevance.

**Resources:**

[Tool for checking against principles of assessment and rules of evidence](#)

[Template: What does competency look like?](#)

**Example of Good Practice:**

[Diagnostic assessment](#)

### **Reasonable adjustment**

*Reasonable adjustments are adjustments that can be made to the way in which evidence of candidate performance can be collected. While reasonable adjustments can be made in terms of the way in which evidence of performance is gathered, the evidence criteria for making competent/not yet competent decisions (and/or awarding grades) should not be altered in any way. That is to say, the standards expected should be the same irrespective of the group and/or individual being assessed; otherwise comparability of standards will be compromised.<sup>22</sup>*

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

In relation to reasonable adjustment and inclusive practice, the TAE10 Training and Education Training Package states the following.

*Providing reasonable adjustment for learners is based on legislative and regulatory requirements, as well as on the purpose of the organisation providing vocational education and training (VET). The term 'reasonable adjustment' in legislation relates only to people with a disability. However, all learners will benefit from inclusive practice that tailors practice to individual learner requirements.*

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<sup>22</sup> NQC, 2009, *Validation and Moderation – Implementation Guide*, TVET.

*Inclusive practice covers areas such as:*

- taking into account a candidate's language, literacy and numeracy requirements
- flexible assessment sessions to allow for such things as fatigue or administering medication
- equity checks, and revision where necessary of proposed assessment methods and tools
- considering a candidate's age and gender
- considering cultural beliefs, traditional practices and religious observances
- reasonable adjustment, where required.

*Reasonable adjustment, when considered in the context of the legislative responsibilities of trainers and assessors, is generally associated with:*

- personal support services, such as providing a reader, Auslan interpreter or scribe
- assistive technology or special equipment
- the format of assessment materials, for example electronic or oral assessment, Braille
- adjustments of the physical environment.

For a more detailed examination of trainer and assessor responsibilities in relation to reasonable adjustment, reference should be made to the accompanying Transition Guide for TAE10 Training and Education Training Package.

***External links:***

- [IBSA TAE40110 Transition Guide](#)
- [NQC Publications](#)

***RPL and assessment-only pathways***

The same principles of assessment and rules of evidence apply to RPL and assessment-only pathways as apply to all other assessment activities. The same level of planning against the Training Package, the design of evidence collection and the decision-making processes should apply. Validity, reliability, fairness and flexibility should underpin the design of the strategy and the instruments. There are a number of effective RPL resources available to support the development of such a strategy.

***External links:***

- Queensland Skills First, [RPL Assessor Kit for TAA40104 Certificate IV in Training and Assessment](#)
- WA Department of Education and Training, [RPL Assessment Tool Kit for TAA40104 Certificate IV in Training and Assessment](#)
- IBSA, [Self-assessment tool for TAE40110](#)

***Example of Good Practice:***

- [RPL assessment](#)
- [RPL processes](#)

## Ongoing professional development

TAE40110 is an entry-level qualification that can form the starting point for a career in the training and assessment field. Consequently, providers of TAE40110 play a significant role in shaping the future VET workforce. Providers should be conscious of the impact they have on VET workforce capability and the responsibility they have for equipping individual learners with the skills and knowledge to progress.

Recent research<sup>23</sup> has investigated the extent to which practitioners believe that the Certificate IV in Training and Assessment provides an effective foundation for the delivery and assessment of training in the VET environment. Findings indicate that graduates of the qualification consider they enter the field feeling prepared and reasonably confident, but emphasise that ongoing learning and support from experienced teachers and trainers is critical. Without this support, it appears that graduates struggle.

RTOs delivering TAE40110 need to plan for its delivery within the framework of ongoing professional development, taking into account the stages of a VET practitioner's working life and the diverse range of roles to be carried out in the RTO. Workforce planning and professional development activities can be linked with performance management activity to ensure that both the development needs of the individual and the organisational needs are met.

TAE40110 programs should prepare learners for the ongoing learning and development that will be expected of them as VET practitioners. Through the program learners should gain:

- an understanding of basics of delivery and assessment in a competency based training system
- an understanding of the need to continue building their skills and knowledge as their workplace experiences become increasingly demanding
- an awareness of the range of formal and informal opportunities that can contribute to continuing professional development
- a commitment to managing their own professional development.

To start learners on this pathway, TAE40110 programs can:

- model good practice by letting learners know about the professional development and ongoing learning that practitioners of the program are undertaking
- encourage learners to join networks and online discussion groups and to subscribe to relevant news services
- make learners aware of current research and discussion around VET workforce capability and ways that they can contribute
- discuss individual learning pathways with learners to identify next steps in their career/personal development.

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<sup>23</sup> Clayton, B., et al., 2010, *Practitioner Expectations and Experiences with the Certificate IV in Training and Assessment (TAA40104)*, NCVET.



# Section 4: Examples of Good Practice

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The following examples of good practice implementation of the Certificate IV in Training and Assessment have been sourced from a variety of RTOs and individual practitioners. IBSA is grateful for the generous way in which these organisations and individuals have shared their practice in the interests of building the capability of the VET system.

In presenting these examples, IBSA acknowledges that good practice exists in many other organisations and in a variety of forms. It is anticipated that over time this *User Guide* will accumulate and share further examples.

The examples included below are:

- [Staff induction](#) – *Sunraysia Institute of TAFE*, Victoria
- [Building capability through networks](#) – *Victorian Practitioners' Network*, Victoria
- [Building and extending practitioner skills](#) – *TAFE SA, North Institute, Elizabeth Campus*, South Australia
- [Catering for industry expectations](#) – *Let's Talk Training*, New South Wales
- [Customising programs for industry clients](#) – *Personal Best Performance*, Queensland
- [Planning and preparation](#) – *Let's Talk Training*, New South Wales
- [Quality assurance systems](#) – *Chisholm Institute of TAFE*, Victoria
- [Building LLN capability](#) – *Sunraysia Institute of TAFE*, Victoria and *Department of Further Education, Employment Science and Technology (DFEEST)*, South Australia
- [Assessment moderation and validation](#) – *TAFE NSW Sydney Institute*, New South Wales
- [Developing customised resources](#) – *The Pivot Institute*, Western Australia
- [Linking learning to the AQTF](#) – *Sunraysia Institute of TAFE*, Victoria
- [Delivery in the workplace](#) – *McMillan Staff Development*, Australian Capital Territory
- [Online delivery](#) – *GippsTAFE*, Victoria and *Frankie Forsyth Consulting Pty Ltd*, Tasmania
- [Multi-mode delivery](#) – *Sunraysia Institute of TAFE*, Victoria
- [Clustering](#) – *McMillan Staff Development*, Australian Capital Territory
- [Work-integrated pathway delivery](#) – *Centre for Education Excellence, Canberra Institute of Technology*, Australian Capital Territory
- [RPL assessment](#) – *John Dwyer*, Queensland and *Nita Schultz*, Victoria
- [RPL processes](#) – *Sunraysia Institute of TAFE*, Victoria
- [Diagnostic assessment](#) – *TAFE SA, North Institute, Business Services, Training and Assessment*, South Australia

## Staff induction

After completing a number of pilot programs Sunraysia Institute of TAFE (SuniTAFE) in Victoria's North West has successfully introduced mentoring into the induction process for all new staff. It is a contractual requirement that new teachers without the Certificate IV in Training and Assessment complete this qualification, and the mentoring program is integrated into their training.

Debbie McKinnon, Teacher Coordinator Adult Learning at SuniTAFE, believes the mentoring program is paramount to staff development:

*The program enhances the efficiency of the existing induction program. It also builds relationships between staff members, which then contribute to the creation of stronger work teams.*

Approximately twenty SuniTAFE staff were trained as mentors with the support of the TAFE Development Centre. Staff that are required to obtain the Certificate IV in TAA/TAE qualification have benefited from the elective unit TAEDEL404A *Mentor in the Workplace*, which is aligned with the mentoring program. This elective unit is now delivered to internal staff completing the Certificate IV in Training and Assessment, ensuring that SuniTAFE will have an ongoing supply of staff with skills in mentoring.

SuniTAFE mentors have factored time into their workload to accommodate their mentoring responsibilities. A formal institute policy governs the mentoring program and outlines participant responsibilities and record-keeping processes. Under the program, participants identify goals and objectives. Timeframes for meetings are agreed between the mentor and mentee, and actions to be taken between meetings are logged.

The mentors are able to meet together regularly as a means of supporting each other in their role. These meetings provide opportunities for debriefing and contribute to evaluation of the ongoing mentoring program.

While formal mentoring relationships are established for six months under the SuniTAFE program, the mentoring relationship can continue informally beyond this time. As McKinnon notes, this ongoing informal relationship between staff members can provide considerable benefit to the institute as well as a valuable source of learning and support for the individuals involved. According to McKinnon:

*Sessional staff in particular, value the extra connection and opportunity for feedback that the mentoring program provides. They don't see participation in the program as an imposition at all; rather it's welcomed as support and guidance from the organisation that makes them feel appreciated.*

### Key messages:

- Mentoring provides new staff with personalised support and guidance that enhances the induction process.
- Mentoring increases the ability of teaching staff to build effective client relationships in a training context.

## Building capability through networking

The Victorian Practitioners' Network (VPN) was established in 2002 as a body for sharing practice in delivery of the Victorian Diploma of VET Practice and later the Certificate IV in Training and Assessment. Originally conceived as a network for public providers, the informal and unfunded group has gradually become more diverse, with the inclusion of some practitioners from the private sector.

The VPN meets four times per year and has held an annual conference since 2007. The full-day meetings provide members with an opportunity to discuss issues with practitioners from across Victoria and participate in a half-day assessment validation session. Network practitioner Rosie Greenfield, says:

*The network is very much about sharing and helping each other to get better. There is a shared philosophical view that we are trying to develop wonderful trainers through our work. We focus on what we can learn from others in order to do that.*

Members use each other as sounding boards for the development of assessment tasks, the interpretation of Training Packages, implementation guides and purchasing guides and many other issues. In 2010 a focus for the network members was sharing their AQTF audit experiences. In general, network members had good audit outcomes and, according to Greenfield, participation in the network was a key part of that success:

*It's very hard to quantify but the benefit of the network is manifested in the quality of our delivery. Network members have access to new ideas that they can introduce into their programs. A number of TAFEs send their new staff members along as a professional development experience that contributes to their induction. Many practitioners can feel quite isolated, particularly those in regional RTOs. The network provides emotional support and an avenue for discussion and interaction with colleagues.*

While the value of participation in the network is clear to individual practitioners, it is not always obvious to RTOs. Greenfield believes that RTOs could do more to help their staff benefit from networking opportunities.

To ensure that practitioners and RTOs benefit from networking, RTOs should:

- actively encourage staff to attend networking events
- establish a systematic way of releasing staff for networking – including backfill arrangements and clear approval processes
- support internal sharing of knowledge gained through networking
- expect staff to report back (formally or informally) from network activities and apply learning in the workplace.

## Building and extending practitioner skills

Capability Builders – Assessment (CB-A) is a professional development program for experienced VET practitioners. Initially a Queensland VET Futures initiative, the Capability Builders model of professional development focuses on VET practitioners' working collaboratively to build their professional knowledge through engaging with 'real work' issues in their RTO, related to quality learning, teaching and assessment.

CB-A is conducted in South Australia by the Department of Further Education, Employment, Science and Technology (DFEEST). The program aims to develop new leaders in assessment practice through an action learning approach.

CB-A is conducted over a nine-month period that incorporates an initial two-day orientation program and a series of one-day key issue workshops and forums. During these sessions the 12 participants work together to share and build their knowledge of 'assessment for learning'. Within their own RTO each participant works with a group or team of staff to complete an action learning project to address a systemic assessment issue.

DFEEST has identified benefits from the CB-A program at the system, RTO and practitioner level. The action learning projects produce a tangible outcome for participating RTOs. They also serve as a series of exemplar strategies for integrated learning and assessment that can be shared with others. Additionally, participants in the program form a network of VET practitioners able to provide ongoing specialist advice on the design and implementation of integrated learning and assessment strategies.

A particular feature of CB-A is the diversity of participants. The program has a maximum intake of 12 participants selected from public, private, metropolitan and non-metropolitan RTOs. According to CB-A participant Peter Petkovic, the diversity of participants was a key to the program's success.

*By participating along with people from a range of other fields, you get a better idea about how assessment practices vary across industries and contexts. Our group included people from trade areas, the Australian Institute of Management, the South Australian Police and a variety of others. Everybody was willing to share and learn from each other.*

As a TAE practitioner, Petkovic particularly valued the opportunity to review and reflect on his own assessment practice. As he explains:

*This program helped me to understand where I fit in amongst assessment practices. When you've been working in the same field for many years you accumulate a lot of knowledge and experience, but you can also be naïve or secular – sometimes a level of arrogance can build up about your own level of interpretation and ability. CB-A was an opportunity for a kind of benchmarking – viewing assessment practices more broadly and comparing my own to what is out there. It was very empowering.*

While the CB-A program has benefit for all participating VET practitioners, it is especially relevant for TAE practitioners as it extends and broadens their knowledge of assessment practice.

An important feature of the CB-A program is the level of support that participating RTOs are required to provide for participants. A senior member of staff from each RTO is assigned to support the participant's action learning project, which must be formally approved by the RTO. This approach ensures that participants have the organisational support needed to fully participate in the program and to lead, implement and evaluate their work-based projects.

For Petkovic, the program and the action learning project have had a lasting impact. He maintains contact with other participants and has transferred knowledge to his own work team, influencing internal professional development and the design of products and services. Petkovic says:

*Nothing I've done in the past has been as worthwhile as this program. The benefits will continue to be felt well into the future.*

**Key messages:**

- Experienced TAE practitioners can continue to build and broaden their knowledge of the training and assessment field through professional development opportunities that expose them to ideas, thinking and practices from other fields.
- By actively supporting participants in professional development programs, RTOs can ensure that learning is transferred to other members of the participant's work team, resulting in the implementation of strategies and solutions at an organisational level.

## Catering for industry expectations

Let's Talk Training Pty Ltd is a new RTO being established in the Macarthur region of Sydney's South West – a major housing, retail and industrial growth area. The region is also a significant transport and logistics hub for road and rail freight distribution.

Andrew Dixon, co-founder of Let's Talk Training, is conscious of the industry and workforce profile of the Macarthur region and aims to establish a business that will serve local workforce development needs. To that end, Dixon has worked closely with the Macarthur Business Enterprise Centre (BEC), a not-for-profit community service provider of small business support services.

Through BEC, Let's Talk Training has made contact with local businesses to learn about their workforce development needs. Transport and Logistics and Business Management, including Frontline Management, have been identified as important locally. However, Dixon knows that the TAE Training Package will also be part of the new RTO's offerings.

*When we work with an enterprise client we look at the whole organisation – the structure and performance – and conduct a review that leads to a training solution. Part of that solution will generally include training people within the enterprise to train their own staff so that the enterprise can build and maintain its own capability over time.*

The Certificate IV in Training and Assessment, and related Skill Sets, can form an important part of holistic workforce development approaches. But for the Certificate IV to be delivered in a way that supports integrated skill building solutions, considerable consultation is necessary between the enterprise and the RTO.

Dixon has experienced industry consultation from the other side of the fence. While working as a training manager for large enterprises, he regularly met with RTO representatives offering single qualification solutions.

*In my experience very few RTOs really try to find out what an enterprise needs. Instead their consultation focuses on marketing the products or program they have available. But no qualification should be isolated; they all need to interact within the enterprise. RTOs should offer suites of qualifications that are complementary.*

In working with enterprise clients, Dixon believes that a 'continuous improvement flow chart' is critical, especially in the 'getting to know you' phase of the relationship. Let's Talk Training's focus when working with an enterprise client is to look at many levels within the enterprise and to also look at their customers to clarify and understand organisational processes in a way that will allow the development of a solution that aligns with enterprise objectives.

In addition to providing customised solutions for enterprises to build internal capacity, Let's Talk Training aims to cater for the needs of individuals in the Macarthur region who want to move into the training field. Finding a suitable 'practice environment' can be a challenge for RTOs delivering public TAE programs. Let's Talk Training will be capitalising on their relationship with the Macarthur BEC to identify local businesses willing to have TAE trainees deliver training to their employees. In a region with many small businesses and limited training opportunities, the BEC is keen to support a model that promises to build local workforce capacity and expand training provision.

### Key messages:

- Industry consultation is effective when it is embedded into the way in which an RTO operates, rather than an add-on to satisfy audit requirements.

- The primary purpose of industry consultation is to enable an RTO to better serve industry, either directly as enterprise clients or indirectly by skilling individuals for the workforce.
- Consulting with a variety of enterprises and industry organisations can lead to the development of innovative solutions and mutually-beneficial collaborations.

## Customising programs for industry clients

Personal Best Performance (PBP) is a Queensland-based training consultancy that provides customised training and development products and programs. PBP works almost exclusively with corporate clients in the manufacturing, engineering, mining and industrial equipment supply industries. As a micro-business PBP partners with Boyle Consulting, a small private RTO, to provide nationally accredited training and assessment services.

For PBP, delivery of the Certificate IV in Training and Assessment is core business. The organisation has long-term, repeat clients that demand high quality training and assessment. Ann Blackburn, principal and owner of PBP, explains client requirements from the Certificate IV:

*Industry clients are very specific about the outcomes they want from training. Manufacturing and industrial engineering enterprises want training that links with their work procedures and ISO systems. They want to develop good internal trainers to provide their in-house training. Many mining industry clients are already RTOs so they need their trainers and assessors to be qualified for AQTF compliance. For some enterprises their customers are mandating that all trainers and assessors on-site must have the Certificate IV qualification.*

PBP training programs are structured to provide clients with quality outcomes that are directly linked to business requirements. Four blocks of training – 20 delivery days – are generally spread over a six month period. In between the face-to-face delivery blocks, participants work on their work-based learning and assessment activities and communicate with the practitioner via Skype and email.

Assessment tasks and activities are designed around enterprise objectives. Often participants will develop the necessary tools, plans and documents that will allow their enterprise RTO to add a new unit to their scope of registration. At the end of the process, the enterprise has built staff capability and is ready to add relevant units to their scope. Blackburn notes that ‘occasionally the enterprises have simpler aims’ and the assessment strategy is customised to organisational context and need. However, the program continues to reflect her belief that a trainer completing TAE40110 should be capable of creating all of the auditable material required for an RTO to add to their scope.

Participants in the programs often have considerable workplace experience in the delivery of informal or non-accredited training, but little exposure to the VET environment. The PBP program aims to provide learners with ample opportunity to develop knowledge in this area. Coming to terms with VET terminology is an important aspect of the program. Learners unpack the TAE units, among others, and spend a lot of time finding their way around Training Packages and other sources of VET information. Blackburn explains:

*It might seem obvious, but the program is about developing competence – providing opportunities for the participants to learn. Sometimes in VET delivery the training program is too focussed on assessment instead of skill development. At the end of the PBP program participants can demonstrate competence because they know what they’re doing.*

The program uses a scenario approach that cascades through each activity block. Unit clusters for each of the activity blocks are:

- **Cluster one:** Design – TAEDES401 and TAEDES402 – using Training Packages and developing session plans.
- **Cluster two:** Delivery – TAEDEL401, TAEDEL402, BSBCMM401 and BSBLED401 – one-on-one and group deliveries and observation, allowing participants to see different delivery styles.
- **Cluster three:** Assessment planning – TAEASS401 and TAEASS502 – planning, designing and developing assessments (including RPL).



- **Cluster four:** Assessment participation and validation – TAEASS402 and TAEASS403 – conducting RPL assessments and validating assessment tools.

Enterprise managers are keen to see a return on their investment in training. PBP works collaboratively with enterprises to ensure that their objectives are met. Blackburn explains that this means ‘trainers push learners to complete the assigned projects.’ PBP trainers actively follow up with managers if participants are not getting the work done. Trainers also work with management to ensure that participants’ work commitments are not preventing successful completion of the program. Blackburn says:

*In effect we operate as an in-house function for our clients. We adopt their objectives for the training program and work closely with them to ensure that these are achieved.*

**Key message:**

- Industry clients have many differing reasons for wanting their staff to undertake TAE40110. Successful training programs link learning outcomes and activities directly to workplace and enterprise requirements.

## Planning and preparation

Let's Talk Training Pty Ltd is a new RTO being established in the Macarthur region of Sydney's South West. The business aims to deliver training for enterprises and individuals in the areas of business management, transport and logistics and workforce development. Delivery of TAE10 will be an important part of the RTO's offerings and Let's Talk Training co-founder, Andrew Dixon, is working toward getting the Certificate IV in Training and Assessment on scope.

Dixon believes that planning and preparation are crucial to effective delivery of the Certificate IV – these are the strengths he is drawing on to add the qualification to the new RTO's scope. Past experience delivering and managing training in the Australian Defence Force and in enterprise RTOs taught Dixon the value of 'looking outside the square' for the best ways to deliver information and engage with topics. He relishes the opportunity that the Certificate IV provides to expose learners to a variety delivery approaches.

As well as customised programs for enterprises, Let's Talk Training is planning for public face-to-face delivery of the Certificate IV in Training and Assessment. Thorough planning, including consultations with the local Business Enterprise Centre, is aiding the development of a program that encourages group learning and provides extensive opportunity for practical demonstration.

A high percentage of planning time is allocated to understanding the desired outcomes from each delivery session. A particular focus of planning is on finding alternatives to PowerPoint delivery of learning content. Trainers and assessors participate in group planning activities to identify how the session content could be covered more actively – through workplace or site visits, or syndicate activities. Dixon describes some of these activities:

*It's like 'a day in the life of...' – when trainers and designers are working on the development of learning programs they don't sit around thinking or reading about what tasks would be required in particular workplaces or job roles, they go out and look at them.*

Storyboards are used to map out each session in detail and check that it addresses the required learning objectives. These storyboards then provide trainers with a walk-through guide to the planned learning process.

In addition to the detailed plan, the program includes extra time on commencement for the practitioner to meet with individual learners to understand their background and their learning and career goals. Understanding where individual learners have come from, and their strengths and weaknesses, will allow the RTO to focus learning activities to meet individual needs.

Planning for the assessment process also focuses closely on individual needs. Let's Talk Training's approach to assessment is 'allowing the candidate to provide evidence of competency'. Considerable time is spent on validation and moderation to determine the appropriate assessment process. Planning involves firstly considering what evidence is required in relation to industry needs by consulting with industry and examining the Training Package. When a clear understanding of the position profile, the required skill and knowledge and the learner's needs is established, the appropriate assessment method will often become apparent.

The flexibility to adapt programs for individual needs relies on sound program planning and careful staff selection. According to Dixon, preparation to deliver the Certificate IV in Training and Assessment is primarily about confidence and the ability to continue learning.

*We have engaged with a number of trainers who have shown the passion to deliver the qualification. We want a team that will continue to develop their approach to delivery and assessment.*

**Key messages:**

- Developing a program plan that still allows for flexibility is important for meeting the learning and development needs of individual learners.
- Planning should be outcomes focussed, not compliance driven. Good program planning will never lose sight of the overall objective of enabling learners to build and demonstrate their knowledge and skill.

## Quality Assurance systems

Chisholm Institute of TAFE is one of the largest providers of vocational education in Victoria. The Institute delivers TAE40110 through a number of different departments across numerous locations to public, internal and corporate clients. To ensure consistency and quality of delivery and assessment across the Institute's operations, Chisholm has an established Quality Management System (QMS) that guides the implementation of all Institute programs. The QMS is the repository for Institution-wide policies and encompasses systems and processes that guide continuous improvement through ISO 9001:2008 and supports compliance with the VET Qualification Framework (VQF), Australian Quality Training Framework (AQTF), Education Services for Overseas Students (ESOS), the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) and other regulatory requirements.

When Chisholm implemented the new TAE40110 in 2010, the QMS provided the framework for developing or updating required processes, templates and record-keeping documents. As part of the process learning and assessment plans, evaluation plans and assessment validation and moderation plans were developed for each unit or cluster of units. Michelle Harrex, Senior Teaching and Learning Coordinator for Professional Learning and Development at Chisholm, explains:

*We have an overarching 'vanilla model' which is a standard suite of quality resources, including session plans and materials, assessment tasks and activities. Use of the model ensures that our standard program is a quality program. It also provides the basis for contextualisation and validation for different clients or delivery environments.*

Using this approach, Chisholm practitioners are equipped with all of the documents they need to comply with the QMS and other standards - they are able to continuously improve their programs and to maintain 'audit readiness' at all times. They also have the basis for meaningful consultation with other staff and with industry.

Harrex reports that fortnightly meetings with all TAE40110 delivery staff have been invaluable in the implementation of the new qualification. 'They have allowed us to look at session plans, case studies and marking guides and to think about how well the new materials are working in different environments.'

Regular discussion around the standard resources has provided opportunities for validation and future planning, allowing a continuous improvement process to be applied.

### Key messages:

- Effective implementation of all Training Package qualifications is underpinned by an effective planning framework linked to quality procedures and processes.
- Systematic approaches to meeting industry standards and other requirements can streamline planning, validation and record-keeping processes and provide a sound basis for contextualisation.

## Building LLN capability

Sunraysia Institute of TAFE (SuniTAFE) in Victoria's North West has identified language, literacy and numeracy (LLN) as an issue that affects learners in the region. As Debbie McKinnon, Teacher Coordinator Adult Learning at SuniTAFE, explains:

*The population of our region has a relatively low socio-economic base which can create language, literacy and numeracy barriers to effective learning outcomes. And, along with most of the country, we also have a shortage of teachers with specialist skills in language, literacy and numeracy support.*

In an effort to address these identified needs, SuniTAFE has begun packaging the elective unit, TAELLN401A *Address adult language, literacy and numeracy skills*, into TAE40110 for both internal staff and external clients. McKinnon believes that the ability to identify, understand and address learners' LLN issues will be increasingly important for all VET practitioners.

While SuniTAFE has student support services and a department that provides LLN skill development programs, McKinnon thinks that building the LLN awareness of general practitioners will encourage a more proactive approach to the provision of LLN support across the whole institute. She reports that already there seems to be a 'greater rapport developing between the departments' that will enable the provision of more targeted and timely LLN support.

In South Australia the need to build VET practitioners' knowledge and skills in working with clients who have LLN issues has been recognised at a State level. In response, the Department of Further Education, Employment, Science and Technology (DFEEST) has developed a professional development program to build workforce capability in this area.

The SA program is targeting experienced trainers, teachers and instructors working in teaching/training roles in both institutional and workplace settings in private, public and enterprise-based RTOs. Program participants will be connected with LLN practitioners for support and mentoring and will participate in four full-day workshops covering the following topics:

- Apply Australian Core Skills Framework (ACSF) to VET Practices
- Finding the Hidden LLN Challenges
- Learning and Assessment Strategies and Resources for LLN
- Effective Practice and Strengthening Partnerships.

Through the program, DFEEST aims to provide practitioners with the capabilities needed to address systemic LLN issues; support practitioners as they apply the principles of the ACSF to learning; and establish a network of advanced practitioners who are able to provide specialist advice on LLN issues. The program is aligned to the elective unit TAELLN401A *Address adult language, literacy and numeracy skills* enabling recognition for participants who complete assessment tasks.

### Key messages:

- The elective TAELLN401A *Address adult language, literacy and numeracy skills* is being used to provide entry-level practitioners with the ability to identify and respond to learners' LLN issues.
- RTOs, individuals and industry associations are using the elective TAELLN401A *Address adult language, literacy and numeracy skills* to build existing practitioners' awareness of LLN issues and how to address them.

## Assessment moderation and validation

TAFE Sydney Institute has made efforts to put effective moderation and validation procedures in place for the Institute. To build consistency of delivery and assessment across departments and ensure consistency across the Institute, a multi-pronged approach has been developed. For TAE40110, this involves:

- the use of standard learning materials and assessment tasks with local contextualisation to meet the needs of different groups of learners
- moderation of session plans and mapping of Required Skills and Knowledge
- assessment moderation within individual departments, including review and reflection on implementation
- cross-college biannual moderation meetings to compare and discuss approaches taken
- external validation of identified high risk assessments.

The Institute has delivered TAE40110 commercially and through Productivity Places Program funding since July 2010, with approximately 201 people completing the program in the 6 months to January 2011. The rapid implementation of TAE40110 in 2010 did not allow for lengthy validation processes during assessment development. Instead, the Institute has used both internal and external review and reflection to adjust the assessments after their initial use.

As part of the implementation of TAE40110, staff in the Business Studies department at Sutherland College conducted a risk assessment of the qualification assessment process. Two clustered assessments were identified as areas of most significant impact because of their centrality to the qualification and the complex combination of skills required. The high risk assessments were identified as:

- a clustered assessment that combines TAED401A and TAED301A into one assessment
- a clustered assessment that combines TAE401B and TAE402B into one assessment.

To ensure that these high risk assessments were as robust and valid as possible, Jenny Barlow – Head Teacher of Business Studies at the Institute’s Sutherland College (Gymea Campus) – arranged an external validation process. Barlow sought the assistance of staff from the NSW Police Service, an enterprise RTO with TAE40110 on scope, to review the two assessments.

Feedback and suggestions from the reviewers were gathered at a face-to-face workshop where two staff from each organisation worked together to map the assessments against competency requirements. The workshop resulted in improvements in the clarity of assessment instructions and also provided the Institute with useful suggestions for including RPL information for assessment candidates.

Institute staff found that the external validation experience provided a valuable opportunity to reflect on the requirements of the competencies using fresh perspectives from outside their organisation. When NSW Police Service develops their assessments for TAE40110, the Institute will reciprocate, using a similar process. Barlow expects that process will also provide new insights into the development of effective assessment tasks.

According to Barlow:

*It’s always interesting hearing other people’s perspectives; even within our own Institute people look at things in different ways and it’s not until you sit down formally to discuss particular assessments that you recognise there are different, and sometimes better, ways of doing things.*

**Key messages:**

- Assess the level of risk associated with assessments and focus validation and moderation efforts on those assessments where the adverse impacts of doing them poorly will be most significant.
- There is not usually 'one right way' to conduct assessments. Moderation should highlight many differences in approach and interpretation and consider the range of reasonable adjustments or variations that are acceptable.
- Validation is a means for checking that assessment processes address all of the rules of evidence and principles of assessment. Since different stakeholders may interpret units of competency differently, external validation can be an effective way to test whether RTO practice is meeting the needs of industry or other external stakeholders and whether the adjustments made are within reasonable boundaries.

## Developing customised resources

The Pivot Institute is a Perth-based training company and RTO delivering nationally recognised training and professional development opportunities across Western Australia. Pivot also provides customised training programs for corporate clients in the Health, Mining and Oil and Gas industries.

For all client groups, the Certificate IV in Training and Assessment is an important part of Pivot's offerings. However the company is conscious of the need to tailor its program, and the resources that support it, each time it is delivered. As Pivot Director, Elisa Uyen, explains:

*Training should be about the learner, not about fitting the learner to the resources you've got. The resources need to match the needs of the learner. We know that no resource can be everything to everyone - there always needs to be some customisation.*

The resources that Pivot prepares for use with corporate clients incorporate real documents, templates, systems and processes from the workplace. They reflect the way that the client organisation operates and link learning directly to the work environment. Uyen acknowledges that care needs to be taken in using this approach:

*We don't include workplace material in our resources if it is not good practice. The benefit for the client is that we will then work with them to make improvements if necessary - refining or reworking their assessment tools, templates or in-house learning programs. Often we can incorporate those improvements into our program as assessment tasks for the learners.*

Pivot programs are focussed on delivering benefit for the client organisation. By designing assessment tasks that take account of the organisation's needs, program outcomes can have the dual benefit of skilling staff and building organisational resources. Pivot staff liaise with relevant staff from the client organisation to identify desirable outcomes from the program. These may include adding units to scope, revising templates or developing assessment tools. As Uyen explains, 'with a learner group of 15 the client can end up with 30 sets of assessment tools and five of them validated.' The tools and validation records are a valuable addition to the client's continuous improvement process.

To customise the learning resources, Pivot staff work closely with the client organisation. At an initial meeting organisational and learner needs are discussed in relation to the requirements of the unit/s of competency. Examples are gathered, illustrating how the competency is relevant to the way the client organisation operates. For clients who require a full degree of customisation, a first draft of the resource is developed for the client to review. Changes to the resource are made as required before it is resubmitted to the client for sign off. Clients of Pivot have praised the RTO for the amount of research and consultation they do prior to program delivery, resulting in significant repeat business over many years.

Uyen explains that this level of client involvement and approval of the resources is necessary because these materials become an important future resource for the client. They cover all aspects of the qualification, or skill set, in a way that makes it directly relevant to the organisation and can be valuable guides for continuous improvement for clients that are enterprise RTOs.

Despite the careful attention to resource development, Uyen stresses that training sessions are designed first:

*Session plans are developed first and the resources come later. Sessions are designed to be interesting and useful to the learner and the client organisation in achieving their learning goals and the unit requirements. The sessions are also flexible, allowing the group to explore organisational issues such as assessment processes, continuous improvement and client management.*



While Pivot’s training sessions vary according to client needs, the resource content is always complete, as Uyen explains:

*Session content varies according to learner backgrounds. We find that in the health industry nurses already have a good base knowledge of work skill instruction because of the type of training they’ve done previously. We don’t need to spend much session time on this, but it still needs to be assessed and included in the resource.*

**Key messages:**

- Resources that incorporate real workplace templates, processes and systems make training more relevant and meaningful for learners.
- Developing customised resources in consultation with enterprise clients enables the RTO to develop a deeper understanding of client needs and how to meet them.

## Linking learning to the AQTF

Sunraysia Institute of TAFE (SuniTAFE) in Victoria's North West delivers TAE40110 internally to build staff capability. The program is used to ensure that staff have the skills and knowledge required to operate effectively in the SuniTAFE environment. One of the mechanisms used to do this within the program is to link learning to AQTF2010 Essential Standards.

As Debbie McKinnon, Teacher Coordinator Adult Learning at SuniTAFE, explains:

*We print out the essential standards and refer to them continually throughout the program as a kind of 'touchstone'. The AQTF is present throughout the whole of the program, rather than being compartmentalised as just one topic of background knowledge.*

For SuniTAFE, the essential standards provide a way of explaining the Institute's operating environment and its policies and procedures to employees. They are the basis of, and are used in, case studies and scenarios.

In practice this means that the standards are often put on butchers' paper in the classroom and learners will be prompted to 'remember back to our standards' when various issues come up in discussion. McKinnon says that 'this is a way of making direct links between the standards and why we do certain things as a trainer or assessor.'

For example, when learners think about issues such as recording accurate enrolment data, maintaining version control on documents or implementing continuous improvement approaches, they are encouraged to view them in light of the requirements of Standard 1. When developing programs and tools for the delivery and assessment they are encouraged to think about the requirements of Standard 2 in relation to respecting learners and fostering inclusivity.

McKinnon believes that being vigilant to the requirements of the AQTF throughout the Certificate IV program is especially important for TAE40110 now that the unit TAAENV401B Work effectively in VET has been absorbed into the delivery and assessment units. Continually referencing the essential standards is a means of ensuring that this content is not overlooked for new teachers – especially for those who may have some teaching experience from outside the VET sector.

While SuniTAFE initially developed the essential standards focus of the Certificate IV program to ensure that internal staff understood how the institute operated, it has since been rolled out to external learners. The success of the approach has made it a key feature of the SuniTAFE program. McKinnon says:

*It is such a direct and effective way to help learners understand how the VET system works and why it works in certain ways. We are also finding now that this approach can help us to bring out Employability Skills and think about how they contribute to competent workplace performance.*

### Key message:

- New trainers and assessors need to understand the impact of VET system requirements on their practice. This understanding can be developed by making direct links between learning content and the AQTF essential standards.

## Delivery in the workplace

McMillan Staff Development (McMillan) is a private RTO based in Canberra. The organisation offers a diverse range of customised and nationally accredited courses Australia wide. McMillan primarily delivers TAE40110 to enterprise and specialist industry RTOs that need to build their internal staff capability. This means that the 'practice environment' – one of the key challenges in effective delivery and assessment of TAE40110 – has been largely addressed. Heather McMillan says that McMillan has 'the luxury of working with organisations that have already identified learning gaps and have RTO structures in place'.

However, delivery in the workplace can pose other challenges and one of those is timing. One of McMillan's clients is a Canberra-based call centre. Workshop sessions for program participants are scheduled for quiet times during the call centre operations, meaning that sessions can start at 2am.

McMillan also needs to spread program delivery over a duration that allows organisations to deal with production schedules, planned and unplanned business operations and the logistics of backfilling. These variables influence not only which times and days are suitable for program delivery, but also the extent to which participants can achieve the work-based activities required for learning and assessment. A series of five delivery blocks is usually spread over about 3 months, but this varies in response to workplace realities.

Customising the program to meet organisational requirements is critical for effective workplace delivery, but McMillan is conscious of the challenge involved in ensuring the program remains true to the qualification requirements. As Heather McMillan explains:

*The unit (TAEDES402A) requires learners to unpack two different training specifications. We use a case study approach so that participants have a reason to unpack one Training Package that is outside their delivery area. The case study or scenario is needed because although participants have a workplace practice environment, there may only be one Training Package on scope in their workplace. We often use the Financial Services Training Package in the case study because although it's not really well known, everyone knows a bit about insurance and banking.*

Delivering in the workplace has significant advantages when participants need to demonstrate their competency in delivery and assessment units. McMillan works its client organisations to pair participants with real learners from the workplace for the duration of the program. As a result, the client organisation often benefits from the training and assessment activities conducted by participants and observed by qualified assessors.

To observe participants in real workplace settings, McMillan builds a collaborative relationship with client organisations to ensure access to a variety of workplace resources, such as scientific laboratories, business centres and computer labs. McMillan has found that small group sizes work best for this type of delivery. A group of 8-12 participants allows for plenty of feedback and individual attention from practitioners. It's also a manageable number for the organisation to find enough workplace buddies and learners for them to work with.

### Key messages:

- Customising to enterprise needs must remain aware of Training Package requirements to ensure valid assessment of competence.
- Delivery hours and times need to accommodate both planned and unforeseen workplace activity and allow participants time to complete their work-based project tasks between sessions.
- Building a collaborative relationship with the client organisation is essential for ensuring access to needed workplace resources.

Organisational clients can benefit from participants' learning activities in a variety of ways, including program development, training delivery and advice on VET systems and solutions.

## Online delivery

GippsTAFE, located in eastern Victoria, has offered VET programs online since 1999 and is now one of the largest providers of e-learning within Australia. A large part of this success has been the work of an Innovation Team responsible for leading cultural change within the institute to promote the adoption of sustainable innovations. The Innovation Team works directly with departments across GippsTAFE to introduce and embed innovations, including the use of e-learning.

To provide an accessible program to regional and remote learners, GippsTAFE offered the Certificate IV in Training and Assessment online for the first time in 2008. Twenty five learners enrolled in the qualification; most were located in rural areas of Gippsland and had work, farm or family commitments that prevented regular participation in face-to-face programs. The online environment met their needs.

Planning for delivery drew on the institute's extensive e-learning experience and made use of the learning management and administration systems that had already been put into effect by the Innovation Team. GippsTAFE also chose to use a co-facilitation arrangement for the program, bringing together a Gippsland-based practitioner with expertise in TAA delivery, and a practitioner with expertise in the online environment, Frankie Forsyth of Pelion Consulting and Frankie Forsyth Consulting Pty Ltd.

As a regional RTO, GippsTAFE has recognised that through online delivery, it can access expertise – practitioners and guest presenters – located outside their region to effectively expand their workforce capability. Forsyth, from her home in Tasmania, and the Gippsland-based practitioner, were able to work collaboratively via the online environment. Co-facilitation of the program provided many benefits for the learners, the RTO and the practitioners themselves. The practitioners alternated delivery of the weekly online sessions, but each practitioner was present for every session.

This approach to team-teaching:

- reduced the time needed for practitioners to debrief or share information outside of sessions and ensured continuity of the program
- provided back-up when one practitioner was unavailable (once during a thunderstorm Forsyth needed to go offline and her co-practitioner took over the session facilitation)
- allowed each practitioner to learn from watching the other, or to ask the other for assistance at key points – Forsyth provided technical expertise in the online environment, while her co-practitioner had more detailed knowledge of the VET system in Victoria
- enabled the non-presenting practitioner to talk to students in a separate area of Elluminate (GippsTAFE's Virtual Classroom) to provide one-on-one learning.

Many of the learners enrolled in the online program were eligible for RPL for some units. As a result, online sessions were structured around individual units of competency, although wherever possible the practitioners tried to avoid atomisation or repetition of topics. The program ran for six months between April and September.

Weekly live sessions were conducted in the evenings. The number of participants in each live session varied between about seven and fifteen learners, depending on the topic. While most learners participated from their home location, some made use of GippsTAFE access centres in Morwell and Yallourn.

According to Forsyth, variety is one of the keys to good online delivery.

*The program involved a lot of variety in methods of delivery and assessment. Learning activities were included: in the learning management system that participants accessed individually; in the live sessions via Elluminate; in online discussions and demonstrations; and there were also activities that learners had to do off-line between sessions. Online learning is not all about doing things on the computer.*

The GippsTAFE program used live Elluminate sessions for discussions with guest presenters, learner presentations, skill demonstration sessions and opportunities for peer review. These sessions were recorded enabling learners to review them, or catch up on missed sessions – and enabling GippsTAFE to keep them as part of AQTF record-keeping processes.

Learners were also able to access the TAA Toolbox. In preparing material for each session the practitioners drew on many sources including [flexiblelearning.net.au](http://flexiblelearning.net.au) and TAA resources developed previously by GippsTAFE and Pelion Consulting.

Communication is another important element of online delivery. For the GippsTAFE program, open communication between the learners and the practitioners was actively encouraged. As Forsyth explains:

*To build relationships at the start of the program we put up photos of everybody for the first session and did introductions in text-based discussions and via Elluminate. Each session included opportunities for the learners and the facilitators to share information about themselves. We also used Skype and discussions via phone and instant messaging. The learners were advised of preferred contact times for getting the facilitators' full attention, and because there were two of us there was someone available at most times.*

The small group size of the GippsTAFE program did allow practitioners to get to know each of the learners, and for learners to connect with each other. Forsyth acknowledges that, just as in face-to-face environments, learners don't all behave in the same way.

*Some learners hate the group stuff and some really enjoy the social aspect of learning; some are enjoying it but don't want to share online. It's all OK, but that's why you need variety in learning activities.*

Forsyth has found that Elluminate provides an insight into how individual learners are responding to the program. Unlike in an ordinary classroom, the Elluminate software provides an opportunity for the practitioner to see what learners are saying to each other – providing a glimpse into their levels of engagement and understanding of the session content.

The GippsTAFE program's approach to assessment also embraced variety. Learners were able to choose the most appropriate assessment method for their circumstances – online demonstrations, video recordings, third party reports and observed practice were all possible. While many participants chose online assessment, those with access to the workplace were more likely to choose the observed or video options.

Frankie Forsyth's tips for effective online delivery:

- *Set regular times for live sessions* – delivery needs to conform to a pattern so that learners can timetable it into their lives and commit to regular participation.
- *Allow learners to participate in a variety of ways* – learning activities should include voice, text and visuals; group activities (for sharing experiences); self-paced activities to work on alone and offline activities to do between sessions.

- *Provide reliable technical support and administration* – support from the RTO is essential for setting up and maintaining learning management systems and sound administrative processes for enrolment, feedback and record-keeping.
- *Maintain open lines of communication* – constant feedback and dialogue are needed between learners and the practitioner. Weekly sessions provide an opportunity to check how learners are going with the program, but learners also need access to practitioners between sessions for individual support.
- *Use a variety of assessment methods* – as with most competency based training, it is unlikely that learners will be able to demonstrate competency using only one medium. Assessment may include online demonstrations, written or recorded work submitted online, observed practice and third party reports.
- *Keep group sizes small* – small group sizes allow practitioners to build a relationship with individual learners. Interactive online sessions are difficult with more than about 15 participants, but groups with less than seven learners may not have enough synergy for active discussions.

## Multi-mode delivery

Sunraysia Institute of TAFE (SuniTAFE) in Victoria's North West has been implementing changes to improve service delivery across the entire institute. Early initiatives focused on enrolment and student services with an emphasis on putting the client first and increasing flexibility to meet their needs. Now the institute's focus is shifting to program delivery. Michael Schooneveldt, Senior Manager Education – Design and Innovation at SuniTAFE, explains:

*Increased flexibility in training delivery is integral to the concept of client-focussed service. Allowing the learner to choose the delivery method for different components of their course is an extension of the idea of flexibility.*

Schooneveldt is the project leader for a pilot initiative to develop a flexible, multi-mode delivery approach at SuniTAFE. With seed funding from the TAFE Development Centre, the institute has chosen to use internal delivery of TAE40110 for the pilot.

For many organisations, the relatively contained scope and duration of TAE40110 often make it an attractive choice for pilot projects. Additionally, the importance that the qualification has for internal staff capability, and for the VET system as a whole, encourages organisational investment and attention.

In preparing for multi-mode delivery of TAE40110 SuniTAFE has had to consider which delivery modes to offer for which components of the program. Units within the qualification have been grouped into logical clusters and SuniTAFE aims to run each cluster using a mixture of delivery modes. A matrix has been created that allow learners to mix and match different clusters and delivery modes to best meet their own needs.

As a relatively small regional institute, SuniTAFE is limited by student numbers. Not all clusters will be possible in a variety of different ways. Some clusters will only have certain modes available, as Schooneveldt explains:

*We don't have a huge resource base or a big market so we need to be a bit selective about finding the right units to do in different environments. Offering them more than once but not spreading ourselves too thinly will be a challenge.*

Getting up to speed with online delivery is another challenge for SuniTAFE. To date, the institute has not made extensive use of new technologies or online delivery environments so planning for multi-mode delivery has pushed the development of online capability for the institute.

However, SuniTAFE has had considerable experience in delivery of the Certificate IV in Training and Assessment using a variety of modes, including fast-tracked, weekends, night classes, workshops and self-paced. Schooneveldt does not believe that the institute's clients are looking for a wholly online approach to delivery; he expects that a mix and match approach is preferred.

One of the advantages of the multi-mode approach for learners is the opportunity to complete the course at a different rate from the standard duration. The increased flexibility also has the potential to more cost-effectively serve the needs of organisational clients who have previously required customised programs to accommodate specific time frames.

Through the pilot project, SuniTAFE aims to identify what works and what doesn't work in multi-mode delivery so that the option can be expanded across more programs. Criteria for evaluating effectiveness of the pilot have been developed. These include factors such as student take-up, client response, learner satisfaction and feedback from teaching staff. The impact of the delivery mode on consistency of delivery and assessment is also considered. SuniTAFE is hopeful that their approach can be used to build teamwork



among teaching staff by necessitating increased communication and information sharing between those responsible for different parts of the program.

According to Schooneveldt:

*Multi-mode delivery has the potential to provide significant benefits to our learners, but there are also potential benefits for our organisation. By planning and evaluating a pilot program we have the opportunity to thoroughly consider the impact this new approach can have on the way we operate and how best to maximise the benefits.*

**Key messages:**

- When planning new delivery approaches, RTOs need to respond to the needs of their clients but they must also consider their staff and resource capability and the program's ongoing viability.
- The implementation of new delivery approaches needs to also include strategies for evaluation and the identification of criteria to measure success.

## Clustering

McMillan Staff Development (McMillan) is a private RTO based in Canberra. The organisation offers a diverse range of customised and nationally accredited courses Australia wide. For McMillan, delivery of the Certificate IV in Training and Assessment is primarily to enterprise and specialist industry RTOs that need to build their own internal staff capability.

A workshop-based approach delivered in the client's workplace has allowed McMillan to cluster a number of units for training and assessment. The clusters align with the stages of the scenario-based delivery approach used for the program.

As Heather McMillan observes, 'the Certificate IV does fall into natural clusters of design, deliver, assess and validate'. McMillan's program has also strengthened the design cluster with the inclusion of elective units: BSBRES401 *Analyse and present research information* and TAETAS401 *Maintain Training and Assessment Information*. A cluster of these units and the two core design units (TAEDES401A *Design and develop learning programs* and TAEDES402A *Use Training Packages to meet client needs*) allows participants to identify a capability gap in their workplace and develop an appropriate program to meet the identified needs. The cluster also aligns with organisational needs for qualified trainers with a good understanding of the systems and practices in use within the RTO.

McMillan has found that a clustered approach makes sense for their enterprise clients because it enables a direct match between learning and workplace activities. For program participants, clustering simplifies the assessment process by allowing the simultaneous demonstration of required knowledge and skill for a number of related competencies.

In the planning stages, a clustered approach to assessment does require careful mapping against the individual units of competency to ensure that all unit requirements are being addressed. However, as Heather McMillan notes:

*Mapping and clustering are essential activities when customising programs to meet the needs of enterprise clients. The flexibility of today's Training Packages is that they can be packaged in a way that matches workplace activities and business goals.*

### Key messages:

- Units may be effectively grouped together for delivery and assessment when:
  - they have similar or related required knowledge and skill content
  - the selected elective unit/s support or extend the competencies described by the core units
  - a workplace activity naturally combines the skills and knowledge described by multiple units.
- Thorough mapping of assessments against the requirements of all units within the cluster is essential for ensuring the validity of assessment. It also simplifies the process of customising assessments for new clients.

## Work-integrated pathway delivery

Canberra Institute of Technology (CIT) is the leading training organisation in the ACT and surrounding region. Within CIT, the Centre for Education Excellence (CEE) is responsible for providing educational leadership and building staff capability in contemporary VET practice. CEE uses client-centred, project-based approaches to work collaboratively across the Institute. In 2010 CEE piloted a work-integrated pathway for internal staff to achieve TAE40110.

CEE's work-integrated pathway is particularly suited to new staff with an ongoing workload because learning and assessment activities are embedded into their work environment. As Teacher Education Assessment Coordinator, Cathy Baxter explains:

*Rather than requiring that participants come to classes, the work-integrated approach is based on an individual pathway developed in consultation with the participant's manager. It works best for people who are doing a reasonable amount of teaching and draws on real work activities like developing lesson plans and working with, and observing, other practitioners.*

The program involves a three-way partnership comprising the participant, a 'guide' and CEE. The guide for each participant is the education manager or a senior teacher appointed by the education manager of their department. The role of the guide is to:

- support the participant through the program
- suggest opportunities for the participant to gather the necessary skills and experience in the workplace
- participate in some assessment activities through discussion and reflection with the participant
- provide feedback and ideas on the participant's work.

An initial meeting of the participant, guide and CEE sets up the individual learning plan. At this point, the role of the guide is critical, as Baxter explains:

*The guide looks at tasks the participant is already doing that relate to the competency requirements. Then they identify other experiences or opportunities in the workplace that the participant could be involved in, such as validation processes and RPL assessments. The guide can then match the participant up with other staff, like the RPL coordinators, to give them the learning experiences they will need.*

The CEE program also draws on other learning opportunities in the CIT work environment. Participants are encouraged to attend the in-house professional development workshops that are available to all staff. Baxter outlines the approach:

*We have tapped into what's going on across CIT and mapped that against relevant learning areas. We particularly encourage learners to go and speak with CIT staff in counselling and equity to learn about diversity and working with people with disabilities. It's a far more direct and relevant way of learning.*

In the future, the program could possibly be integrated with other systems such as induction programs and probation policies. For example, educational managers involved with discussions and observations of probationary teachers could link observed skills with the achievement and recognition of some of the TAE competency requirements.

Feedback from participants in the CEE program has been positive. Baxter reports that 'participants like the way the program is related to their own context – they find it more meaningful'. Based on participant feedback, CEE has been refining the learning guide by including more specific advice on activities and

timelines. Although the flexibility of the program is highly valued, CEE has found that a slightly more structured approach reduces the amount of time it spends liaising with participants and guides to explain what they should be doing. CEE has also added a number of workshops to the program, providing participants with the opportunity of more formal learning for some content areas, such as the assessment of competence.

Baxter identifies time management as the most significant challenge in the introduction of the work-integrated pathway, because of the extent of one-on-one activity. However, over time the team has discovered that using regular mentoring meetings produces the best and fastest outcomes from the program. As Baxter says:

*With regular meetings everyone knows what they are supposed to be doing, and it makes things quicker in the long run.*

**Key messages:**

- RTOs can provide contextualised and relevant learning experiences for their staff by tapping into the variety of resources available in the work environment. These might include specialist staff, professional development programs, human resources systems, administrative systems and established policies and procedures.
- When the work environment is being used for learning purposes, learners benefit from having an experienced guide or mentor who can help them to reflect on their experiences and identify further work-based learning opportunities.

## RPL assessment

Good practice in RPL assessment is critical to competency based training. Accordingly, a number of State-based resources have been developed to assist RTOs and individual practitioners with implementing sound RPL processes.

In Queensland, the Department of Education and Training developed the Skills First RPL Assessor Kits with the aim of making RPL more user-friendly. The kits were also designed to encourage RTOs away from what was perceived as a heavy emphasis on paper-based approaches. John Dwyer was involved in the roll out of Queensland's Skills First RPL Assessor Kits. He provided professional development workshops for practitioners to support uptake of the kits and emphasised that the focus of the Skills First approach is on generating evidence, rather than on gathering it. As Dwyer explains:

*Mostly it's about modifying the way that information is collected from RPL candidates. Assessors should look for 'natural' documents – ones that occur naturally in the candidate's work or workplace – rather than have the candidates go trawling through filing cabinets and other document sources. These 'natural' documents can then be used as the basis of a competency conversation. Documents gathered initially may be supplemented by further documents identified or generated through the discussion.*

The 'competency conversation' is the first of three strands to the Skills First RPL assessment process; although Dwyer stresses that the three strands can be tackled in any order. The strands are:

1. competency conversation
2. practical demonstration
3. third party evidence

The 'competency conversation' approach favoured in the Skills First kits is designed to maximise the candidate's opportunities to demonstrate competence. It is not an oral exam but a means for the assessor to draw out further information on the candidate's experience, knowledge and skill. Key questions that capture the essence of each unit of competency are used to start the conversation. These questions use workplace language and are personalised for the individual candidate. Expected key points, derived from the unit of competency, have been developed for the assessor to use as a checklist, or a prompt.

Practical demonstrations are do-able, observable tasks that allow candidates to demonstrate their skills. Some candidates and assessors prefer to do the demonstration first and then lead into the competency conversation. These tasks are not necessarily different from standard assessment tasks for the unit/s, but according to Dwyer, 'it's best to avoid lots of little sub-tests in favour of one or two holistic tasks'.

Third party evidence is used to confirm the authenticity of evidence and to show consistency of performance. The Skills First RPL Assessor Kit states:

*It is critical information gleaned from the interview and observation be confirmed with those who can vouch for the candidate's skill over time. Supervisors would generally perform this role. Authentication may also be done through conversation but it cannot be stressed enough that it is essential assessors take careful notes to back up and record their judgement.*

Good documentation processes are critical for RPL. 'Sometimes the evidence disappears,' says Dwyer, which is why the Skills First kit includes templates and other documentation to help assessors with their record-keeping.

A similar approach to RPL has been used in the RPL Assessment Tool Kit for TAA40104 developed by the Western Australian Department of Education and Training. The WA kit also includes the use of questioning interviews, observation of practical tasks and third party reports where applicable. Recording templates are provided to support the documentation of evidence.

Although the VET sector is slowly developing an understanding of good practice in RPL assessment, TAE40110 does present particular challenges for RPL assessors. Assessors need to be highly competent themselves and know what competency should look like. They need to keep in mind the beginner status of TAE40110 and at the same time be aware of the AQF level requirements of the qualification.

Although many RPL candidates are experienced practitioners, they may not match the depth of knowledge or polish that the assessor – an experienced TAA practitioner – has. On the other hand, as Dwyer stresses:

*At Certificate IV level candidates must understand the qualification content, rather than just parrot it. After all, AQF level 4 requires broad factual, technical and some theoretical knowledge.*

Nita Schultz has conducted RPL assessments of TAA40104 for GippsTAFE in Victoria. She also uses an approach to RPL that includes questioning and observations. For Schultz, the process generally follows the following pattern.

- Initial interview – used to find out about the individual. What do they want out of RPL? Why are they doing it? What have they done in work and life that is related to the competencies? The interview is also used to outline the RPL process to the candidate and to advise them on the types of materials they can put together and the tasks they will need to demonstrate. The interview is recorded for RTO records.
- Observations – used to observe real practice. A couple of hours are spent observing the candidate, particularly at the start and end of delivery sessions to see how facilitation is done and how it is wrapped up. Sometimes this might be done via videoconferencing or online using Elluminate. Observations are also used as an opportunity to talk to the candidate about the materials or tools they are using, why they are using them and how they were developed or customised.
- Third party reports – used to verify the candidate’s consistency of performance. These are gathered by the assessor throughout the RPL process where available.
- Ongoing communication – used to build a relationship with the candidate allowing the RPL process to be tailored to their individual needs. Open communication between the assessor and candidate also provides more opportunities for the candidate to demonstrate their competency and underpinning knowledge. Schultz provides RPL candidates with her mobile phone number and encourages contact whenever necessary.
- ‘Mop up’ interview – used for knowledge questioning and feedback based on what was reported by third parties. This interview is also used to discuss outcomes and next steps with the candidate. Again, the interview is recorded for RTO records.

Schultz notes that RPL is time consuming because of the need for one-on-one time in interviews, questioning, observation and following up third parties. She estimates that at least 10 hours is required to do a good job of RPL for TAE40110. Schultz believes that RPL should be tailored to the individual:

*There is no standard approach. The theory of RPL is that people can acquire competency in a variety of ways and so there will not be a standard set of responses or documents that can be provided.*

**Important aspects of RPL assessment:**

- RPL assessors must have a sound knowledge of assessment and the qualification, including an understanding of what competency looks like.
- Authentication/verification is integral to RPL assessment. The assessor must be confident that the candidate's demonstrations of competency can be replicated.
- Thorough documentation is critical. Assessors must have records that provide evidence to justify the assessment decision.
- Responsiveness is important. RTOs should use processes that ensure RPL candidates are not kept waiting. Candidates should be given a clear idea of the timelines and when they can expect responses.
- Communication processes should be used to build a relationship between the candidate and the assessor. RPL is an individual process – building a relationship identifies the candidate as an individual with individual needs.

## RPL processes

At Sunraysia Institute of TAFE (SuniTAFE), potential clients for Skills Recognition are fully supported through their RPL journey in a variety of ways. Information about Skills Recognition is provided through a range of media, including websites, newspapers, open days, course handbooks, direct marketing and TAE course information sessions prior to course commencement. Students may also enrol in a unit, and then decide at a later stage to pursue the option of RPL.

Once identified, the RPL journey at SuniTAFE includes the following stages:

- The candidate meets with the Skills Recognition Centre (SRC) consultant, support staff and the Course Coordinator either in person, via teleconference, via email or a mixture of all three.
- The Course Coordinator helps the candidate work through the specific requirements of the units of competency to identify opportunities for RPL.
- The candidate decides whether to proceed with the RPL.
- The Course Coordinator provides the candidate with a list of unit-specific evidence which is valid and reflects currency.
- The assessment phase takes account of any gaps in the production of hard evidence. If the interview reveals that a candidate has the Required Skills and Knowledge but cannot provide hard evidence, assessment may take place using a combination of methods, such as oral questions, take-home assignment, interview, observations, third party reports, demonstration of skills which strengthen a 'portfolio' of evidence.
- SRC consultant and support staff assist the student through the remainder of the RPL journey with further input from the course specialist if clarification or assistance is needed.
- Assessment begins when the RPL 'portfolio' is lodged. The aim is to provide the candidate with feedback on the outcome at the earliest possible time so that, if necessary, they can gather further evidence or enrol in relevant unit/s.
- The assessor contacts the candidate to discuss gaps in evidence. Candidates have the opportunity to have the assessment reviewed upon further demonstrations of skill. An appeals process is also in place.
- Student Records Department issues statement of results.

### *The RPL experience*

#### **1. Initial discussion with Training and Assessment (TAA) teacher**

The client ('Client X') contacts the Training and Assessment (TAA) teacher in early February 2011 to discuss how to gain the Certificate IV in Training and Assessment. Initially the teacher asks the client what knowledge they have about the course and what they intend to do with the qualification. From here the teacher ascertains whether a full qualification or a Skills Set is required.

Discussion then takes place about the course options available. Client X informs the teacher that they were enrolled into the course in 2007, which is no longer the most current TAA qualification. The client explains that they did not complete all required units to gain the qualification owing to personal circumstances at the time and are now ready to do so.

#### **2. Scheduled meeting with Skills Recognition Centre (SRC)**

Upon establishing that RPL is a possible option for the student to gain equivalence from previous TAA units of study to current TAE units of study, the Course Coordinator organises a one-hour meeting to be held at the Institute's Skills Recognition Centre (SRC). An agreed time is scheduled for five days later. Client X, the Course Coordinator and SRC representative meet at the SRC.



Prior to the scheduled meeting, the Course Coordinator obtains the client's Statement of Results and completes the mapping from superseded units to the current units associated with qualification.

At the initial meeting, Client X is informed about the role of both Course Coordinator and SRC representative, support options, tools to assist with collating evidence and the RPL fee structure. Client X is shown the mapping document and the notes the Course Coordinator has recorded. Client X receives a copy of the mapping and a subsequent copy is kept with the client file.

The Course Coordinator informally interviews Client X to establish the vocational pathway and experience they had undergone from the period of 2008 to current. This enables the Course Coordinator to collate and record information pertinent to the skills and knowledge of the qualification TAE40104 Certificate IV in Training and Assessment. Client X answers accordingly, providing varied information about employment history and associated position descriptions. The Course Coordinator also enquires about non-formal learning and voluntary positions held in the community.

While this professional conversation is underway, the SRC representative completes many support roles. The SRC representative:

- takes copies of all original documents that Client X was asked to provide at the meeting
- makes notes on behalf of Client X to assist them to collate further suggested 'course specific' evidence
- records notes on the Institute's internal Communication Sheet (*Case Managed approach to SRC clients*).

These administrative actions serve two purposes:

- they meet AQTF requirements
- serve as a record of all contact with Client X, thus providing polished and consistent customer service.

### **3. Ongoing support**

Once the Course Coordinator has completed the interview with Client X, the SRC representative supports the remainder of the RPL process. This involves:

- assisting Client X to organise the portfolio of evidence
- accompanying Client X to enrolment events
- monitoring and tracking the assessment phase to ensure a timely assessment result is achieved.

The Course Coordinator is also available for any further clarification throughout the RPL process.

## Diagnostic assessment

TAFE SA Adelaide North Institute is a leading public provider of vocational and higher education and training. The Business Services program's TAA team is responsible for public programs in training and assessment as well as for internal staff capability across all campuses.

Over 12 months, the TAA team has been leading a process of cultural change within the Institute to introduce diagnostic assessment practices. Diagnostic assessment – or assessment for learning – involves using evidence and feedback to identify where learners are in their learning, what they need to do and how best to achieve this. In practice this requires the integration of learning and assessment strategies.

TAA lecturer and project leader Peter Petkovic recognises the importance of modelling good assessment practice for learners in TAA programs. According to Petkovic:

*The Certificate IV in TAA is about developing the next layer of practitioners. If we can use the program to expand their views about assessment, those learners will absorb it and use it in their own practice. We have the opportunity to have a major impact on VET workforce capability. So when it comes to assessment practice in the TAA program it's a case of: don't talk about, do it!*

Petkovic is conscious of the didactic models of assessment that many learners bring to the TAA program. Unless those learners are exposed to other ways of thinking about assessment, they will carry their more traditional views through into their own practice. Petkovic explains:

*We are encouraging people not to think about assessment as right or wrong, but about capturing the level of knowledge people have at a point in time and working out how to move learners on from there.*

All assessments in the Institute's TAA programs are now based on a diagnostic model. Using this approach, assessments have become an integral part of the learning process, rather than an adjunct to it.

Changing the organisational culture to introduce the new approach has not been without challenges. Significant professional development and encouragement have been needed for practitioners to expand their own level of assessment practice. Incorporating diagnostic assessment into the Moodle system used across the Institute has also required some new thinking. Petkovic acknowledges that cultural change requires ongoing maintenance and constant reinforcement:

*We are talking about significant cultural change for many practitioners – particularly in the assessment of RPL. At the moment RPL assessment practices exist in two modes of practice – credentialing and assessment for learning. We are trying to move assessors on to a pathway that will promote learning.*

Diagnostic assessment is continually on the agenda for staff meetings and discussions to allow practitioners to exchange information about how it is working. Through constant attention Petkovic believes that diagnostic assessment is becoming a perpetual part of practice.

Through their work across campuses and departments the TAA team has influenced assessment practices in other learning areas. Petkovic is thrilled when practitioners in other departments adopt assessment for learning because of the benefits it provides to learners. When assessment becomes more interactive – as a part of the learning process – learners recognise that it is adding value, rather than merely judging performance. Petkovic enthuses:

*I still get excited about diagnostic assessment. It's the next leap forward, like the rolling wheel on your mouse!*

**Key messages:**

- RTOs should be aware that the assessment practices they use in TAA programs contribute to program participants' understanding of assessment and influence participants' future practice.
- Assessment approaches that integrate learning into the assessment process build a culture of continuous learning and provide a more supportive environment for learners by acknowledging their current skills and knowledge within a learning pathway.

# Section 5: Templates and tools

**TABLE: Composition Skill Sets in TAE10**

Assessor Skill Set		
Target Group	Individuals wishing to obtain the assessment competencies to assess according to AQTF requirements.	
Units	TAEASS401B	Plan assessment activities and processes
	TAEASS402B	Assess competence
	TAEASS403B	Participate in assessment validation
Pathway	The TAEASS units provide credit towards TAE40110 Certificate IV in Training and Assessment	
Enterprise Trainer Skill Set		
Target Group	Individuals who train others within a workplace. The training may be accredited or non-accredited. The role may involve some coaching at individual or small group level.	
Units	TAEDEL301B	Provide work skill instruction
	BSBCMM401A	Make a presentation
Pathway	These units are elective units and provide credit towards TAE40110 Certificate IV in Training and Assessment.	
Enterprise Trainer and Assessor Skill Set		
Target Group	Enterprise trainers and assessors working in an enterprise registered training organisation (RTO) or in an enterprise that works together with an RTO in an auspicing arrangement. These people deliver and assess nationally endorsed units or qualifications.	
Units	TAEASS401B	Plan assessment activities and processes
	TAEASS402B	Assess competence
	TAEASS403B	Participate in assessment validation
	TAEDEL301B	Provide work skill instruction
Pathway	The TAEASS units provide credit towards TAE40110 Certificate IV in Training and Assessment.	
Sustainable Practice Skill Set		
Target Group	All trainers and assessors. In the first instance those who have a specific role in	

	delivering green skills or who train and assess in sectors where green skills development is identified as a priority.	
<b>Units</b>	TAESUS501A	Analyse and apply sustainability skills to learning programs
	TAESUS502A	Identify and apply current sustainability education principles and practice to learning programs
<b>Pathway</b>	These units are elective units and provides credit towards the TAA50110 Diploma of Training and Assessment as well as recognition in external accredited programs.	
<b>Workplace Supervisor Skill Set</b>		
<b>Target Group</b>	Supervisors and managers involved in developing the skills of their team. In particular these competencies are identified as essential skills for those engaged in supervising apprentices.	
<b>Units</b>	TAEASS301B	Contribute to assessment
	TAEDEL301A	Provide work skill instruction
	TAEDEL404A	Mentor in the workplace
<b>Pathway</b>	These units provide credit towards TAE40110 Certificate IV in Training and Assessment.	

**TABLE: TAE10 Pathway**

Skill Sets	TAE40110 Certificate IV in TAA	TAE50111 Diploma in VET	Vocational Graduate Certificate in Adult LLN Practice	Vocational Graduate Diploma of Adult LLN Leadership
	Core	Core	Core	Core
<b>Assessor</b>	TAEASS401B <i>Plan assessment activities and processes</i>	TAEASS501A <i>Provide advanced assessment practice</i>	TAELLN701A <i>Analyse and apply adult literacy teaching practices</i>	BSBRES801A <i>Initiate and lead applied research</i>
<b>Enterprise Trainer</b>	TAEASS402B <i>Assess competence</i>	TAEASS502B <i>Design and develop assessment tools</i>	TAELLN702A <i>Analyse and apply adult numeracy teaching practices</i>	TAELLN801A <i>Analyse policy and formulate strategic language, literacy and numeracy response</i>
<b>Enterprise Trainer and Assessor</b>	TAEASS403B <i>Participate in assessment validation</i>	TAEDEL502A <i>Provide advanced facilitation practice</i>	TAELLN703A <i>Develop English language skills of adult learners</i>	TAELLN802A <i>Research and implement new adult language, literacy and numeracy practices</i>
<b>Sustainable Practice</b>	TAEDEL401A <i>Plan, organise and deliver group-based learning</i>	TAEDES501A <i>Design and develop learning strategies</i>	TAELLN704A <i>Implement and evaluate delivery of adult language, literacy and numeracy skills</i>	Plus 5 electives

Skill Sets	TAE40110 Certificate IV in TAA	TAE50111 Diploma in VET	Vocational Graduate Certificate in Adult LLN Practice	Vocational Graduate Diploma of Adult LLN Leadership
<b>Workplace Supervisor</b>	TAEDEL402A <i>Plan, organise and facilitate learning in the workplace</i>	TAEENV501A <i>Maintain and enhance professional practice</i>	Plus 2 electives	
	TAEDES401A <i>Design and develop learning programs</i>	TAE LLN401A <i>Address adult language, literacy and numeracy skills</i>		
	TAEDES402A Use training packages and accredited courses to meet client needs	Plus electives		
	Plus 3 electives			

## TEMPLATE: Assessment validation report

Planning and recording Validation and Moderation activities – the ‘what, why, when, where, who and how’.

	<input type="checkbox"/> Training and Assessment Strategy for the qualification <input type="checkbox"/> Relevant unit/s of competency from Training Package <input type="checkbox"/> Assessment mapping matrix <input type="checkbox"/> Learning and assessment plans <input type="checkbox"/> Assessment instrument/s relevant to this validation <input type="checkbox"/> Moderation reports
--	--

Unit Code/s	Title of unit/s	AQF level
Qualification		Cluster
Learner cohort/target group		

Date of validation	
Validation method	<input type="checkbox"/> face-to-face <input type="checkbox"/> teleconferencing <input type="checkbox"/> video conferencing <input type="checkbox"/> virtual meetings – chat rooms, email correspondence - If this method is applied, is it supplemented by a real time meeting? <input type="checkbox"/> Yes <input type="checkbox"/> No
Participants in this validation	<p>Possible external panel members include employees of TAFE Institutes, Universities, RTOs, industry associations, ISCs, ITABs, CMMs, government agencies, external members of RTO advisory/governance bodies/boards, communities of practice, VET networks, private consultants and individuals and a wide range of private enterprises and companies.</p>



Assessment method/s and instruments used to assess this unit	<input type="checkbox"/> Demonstration <input type="checkbox"/> Project <input type="checkbox"/> Knowledge test <input type="checkbox"/> Report <input type="checkbox"/> Interview <input type="checkbox"/> Documents <input type="checkbox"/> Presentation <input type="checkbox"/> Work observation <input type="checkbox"/> Other _____
Timing of validation	<input type="checkbox"/> Assessment development <input type="checkbox"/> Assessment review <input type="checkbox"/> Course review
Any special points regarding delivery and assessment	Ensure any adjustment to the way in which evidence is collected is considered reasonable and does not alter the evidence criteria in any way.

Assessment brief	Yes	No	Comment/suggested improvement
1. Assessment instrument contains clear, comprehensible instructions for both candidate and assessor including: <ul style="list-style-type: none"> <li>a. the nature of the assessment activity</li> <li>b. range and conditions of the activity</li> <li>c. required materials and equipment</li> <li>d. any reasonable adjustments allowed</li> <li>e. level of assistance permitted (if any)</li> <li>f. ordering of the tasks.</li> </ul>			
2. Evidence/marking guides or checklists have been provided to students.			
3. Answer marking guides have been developed by the assessor.			
4. Reporting documentation has been developed to: <ul style="list-style-type: none"> <li>a. link back to the requirements of the qualification being assessed</li> <li>b. link into the RTOs reporting system.</li> </ul>			
5. Due dates and other important information are clearly stated.			

Assessment of competency	Yes	No	Comment/suggested improvement
1. Critical aspects of evidence are addressed.			
2. Underpinning knowledge is addressed.			
3. Underpinning skills are addressed.			
4. Mapping of unit of competency against the assessment activity has been developed.			
5. Level of difficulty is appropriate to the competency or competencies being assessed (AQF descriptors have been considered).			
6. Assessment tool reflects workplace practice.			

Reflects principles of assessment	Yes	No	Comment/suggested improvement
Valid: Validity refers to the degree to which the instrument actually measures what it says it measures and is practical to use.			
Reliable: Individual learners would get a similar result if tested on different occasions, given the same set of circumstances.			
Flexible: The assessment instrument can be adapted to suit work needs and site needs.			
Fair: <ol style="list-style-type: none"> <li>1. Instrument is non-discriminatory and inclusive.</li> <li>2. Instrument can be reasonably adjusted.</li> <li>3. Language, literacy, numeracy reflect the requirements of the Unit/s of Competency.</li> </ol>			

Reflects rules of evidence	Yes	No	Comment/suggested improvement
<p>Valid:</p> <p>Content validity means the evidence covers the knowledge and skills that are essential to competent performance as set out in the unit of competency.</p>			
<p>Sufficient:</p> <p>There is sufficient quality and quantity of evidence – as set out in the Critical aspects of evidence for the unit of competency.</p>			
<p>Authentic:</p> <p>The assessor is assured that the evidence presented for assessment is the candidate's own work.</p>			
<p>Current:</p> <p>Evidence demonstrates it is the current competency of the candidate.</p>			

Comments (Optional):

## TEMPLATE: Validation action sheet

	Item/issue	Action to be taken	By whom	Date	Complete
1					
1.1					
2.1					
2.2					
2.3					
2.4					
2.5					
2.6					
3					
3.1					
3.2					

RTO representative's name*	
Date report signed off:	

\*This person is required to check that recommendations from this report are carried out in the determined timeframe.

## Panel members

Name	Signature	Date
Chair*		

\* This person has responsibility for seeing that recommendations are carried out and significant improvements are noted in the RTO's Improvements register.

## TOOL: Ideal characteristics of an assessment tool

Ideal Characteristics of an Assessment Tool <sup>24</sup>	
Component	Description
The context	The target group and purpose of the tool should be described. This should include a description of the background characteristics of the target group that may impact on the candidate performance (e.g. literacy and numeracy requirements, workplace experience, age, gender, etc.)
Competency mapping	The components of the unit/s of competency that the tool should cover should be described. This could be as simple as a mapping exercise between the components of the task (e.g. each structured interview question) and components within a unit or cluster of units of competency. The mapping will help to determine the sufficiency of the evidence to be collected.
The information to be provided to the candidate	Outlines the task/s to be provided to the candidate that will provide the opportunity for the candidate to demonstrate the competency. It should prompt them to say, do, write or create something.
The evidence to be collected from the candidate	Provides information on the evidence to be produced by the candidate in response to the task.
Decision-making rules	The rules to be used to: <ul style="list-style-type: none"> <li>• check evidence quality (the rules of evidence)</li> <li>• judge how well the candidate performed according to the standard expected (the evidence criteria)</li> <li>• synthesise evidence from multiple sources to make an overall judgement.</li> </ul>

<sup>24</sup> NQC, 2009, *Guide for the Development of Assessment Tools*, Commonwealth Government, p.21.

Range and conditions	Outlines any restriction or specific conditions for the assessment such as the location, conditions time restrictions, assessor qualifications, currency of evidence (e.g. for portfolio-based assessments) and the amount of supervision required to perform the task (which may assist with determining the authenticity of evidence).
Materials/resources required	Describes access to materials, equipment, etc., that may be required to perform the task.
Assessor intervention	Defines the amount (if any) of support provided.
Reasonable adjustments (for enhancing fairness and flexibility)	This section should describe the guidelines for making reasonable adjustments to the way in which evidence of performance is gathered (e.g. in terms of the information to be provided to the candidate and the type of evidence to be collected from the candidate) without altering the expected performance standards (as outlined in the decision-making rules).
Validity evidence	Evidence of validity (such as face, construct, predictive, concurrent, consequential and content) should be provided to support the use of the assessment evidence for the defined purpose and target group of the tool.
Reliability evidence	<p>If using a performance-based task that requires professional judgement of the assessor, evidence of reliability could include providing evidence of:</p> <ul style="list-style-type: none"> <li>• the level of agreement between two different assessors who have assessed the same evidence of performance for a particular candidate (inter-rater reliability)</li> <li>• the level of agreement of the same assessor who has assessed the same</li> <li>• evidence of performance of the candidate, but at a different time (intra-rater reliability)</li> <li>• if using objective test items (e.g. multiple choice tests) than other forms of reliability should be considered such as the internal consistency of a test (internal reliability) as well as the equivalence of two alternative assessment tasks (parallel forms).</li> </ul>
Recording requirements	The type of information that needs to be recorded and how it is to be recorded and stored, including duration.
Reporting requirements	For each key stakeholder, the reporting requirements should be specified and linked to the purpose of the assessment.

**TABLE: Employability Skills summary for TAE40110.**

Employability Skill	Industry/enterprise requirements for this qualification include:
Communication	<ul style="list-style-type: none"> <li>• interpreting client needs and writing to these</li> <li>• using a range of communication skills, such as listening, questioning, reading, interpreting and writing documents</li> <li>• writing hazard and incident reports</li> <li>• using effective facilitation and interpersonal skills, including verbal and non-verbal language that is sensitive to the needs and differences of others</li> <li>• mentoring, coaching and tutoring techniques.</li> </ul>
Teamwork	<ul style="list-style-type: none"> <li>• working with colleagues to compare, review and evaluate assessment processes and outcomes</li> <li>• actively participating in assessment validation sessions</li> <li>• managing work relationships and seeking feedback from colleagues and clients on professional performance</li> <li>• developing and evaluating with others learning programs customised for individual or group needs.</li> </ul>
Problem-solving	<ul style="list-style-type: none"> <li>• identifying hazards and assessing risks in the learning environment</li> <li>• using time-management skills in designing learning programs</li> <li>• calculating costs of programs and logistics of delivery and accessing appropriate resources</li> <li>• generating a range of options to meet client needs.</li> </ul>
Initiative and enterprise	<ul style="list-style-type: none"> <li>• interpreting the learning environment and selecting delivery approaches which motivate and engage learners</li> <li>• monitoring and improving work practices to enhance inclusivity and learning</li> <li>• being creative to meet clients' training needs</li> <li>• applying design skills to develop innovative and flexible cost-effective programs.</li> </ul>
Planning and organising	<ul style="list-style-type: none"> <li>• researching, reading, analysing and interpreting workplace specifications</li> <li>• planning, prioritising and organising workflow</li> <li>• interpreting collected evidence and making judgements of competency</li> <li>• documenting action plans and hazard reports</li> <li>• working with clients in developing personal or group learning programs</li> <li>• organising the human, physical and material resources required for learning and assessment.</li> </ul>

Employability Skill	Industry/enterprise requirements for this qualification include:
Self-management	<ul style="list-style-type: none"> <li>• working within policy and organisational frameworks</li> <li>• managing work and work relationships</li> <li>• adhering to ethical and legal responsibilities</li> <li>• taking personal responsibility in the planning, delivery and review of training</li> <li>• being a role model for inclusiveness and demonstrating professionalism</li> <li>• examining personal perceptions and attitudes.</li> </ul>
Learning	<ul style="list-style-type: none"> <li>• undertaking self-evaluation and reflection practices</li> <li>• researching information and accessing policies and frameworks to maintain currency of skills and knowledge</li> <li>• promoting a culture of learning in the workplace</li> <li>• seeking feedback from colleagues</li> <li>• facilitating individual, group-based and work-based learning.</li> </ul>
Technology	<ul style="list-style-type: none"> <li>• using technology to enhance outcomes, including online delivery and research using the internet</li> <li>• using student information management systems to record assessments</li> <li>• identifying and organising technology and equipment needs prior to training</li> <li>• using a range of software, including presentation packages.</li> </ul>



**TABLE: Required LLN skills in TAE40110 core units**

Core Unit	Reading/writing skills	Oral communication skills
TAEASS401	Read and interpret relevant information to design and facilitate assessment and recognition processes.	Discuss assessment, including RPL processes with clients and other assessors.
TAEASS402	Read and interpret relevant information to conduct assessment.  Prepare required documentation and records or reports of assessment outcomes in required format.	Explain the assessment, including RPL process. Give clear and precise instructions. Ask effective questions. Provide clarification. Discuss process with other relevant people. Give appropriate feedback. Discuss assessment outcome. Use language appropriate to candidate and assessment environment. Establish a working relationship with candidate.
TAEASS403		Share information in validation meetings.
TAEDEL401		Motivate learners to transfer skills and knowledge.  Engage with the learner.
TAEDEL402	Read and interpret organisational documents, legal document and contracts.  Complete and maintain documentation.	Use effective verbal and non-verbal language. Use critical listening and questioning techniques. Give constructive and supportive feedback. Assist learners to paraphrase advice or instructions back to the trainer/facilitator. Provide clear and concrete options and advice. Use appropriate industry/professional terminology and language. Ensure language, literacy and numeracy used is appropriate to learners.

Core Unit	Reading/writing skills	Oral communication skills
TAEDES401	Read and interpret a range of documentation, including technical and subject matter documents, references and texts.	
TAEDES402		Collaborate with others in using training products.

## TOOL: LLN trigger words in TAE40110 core units

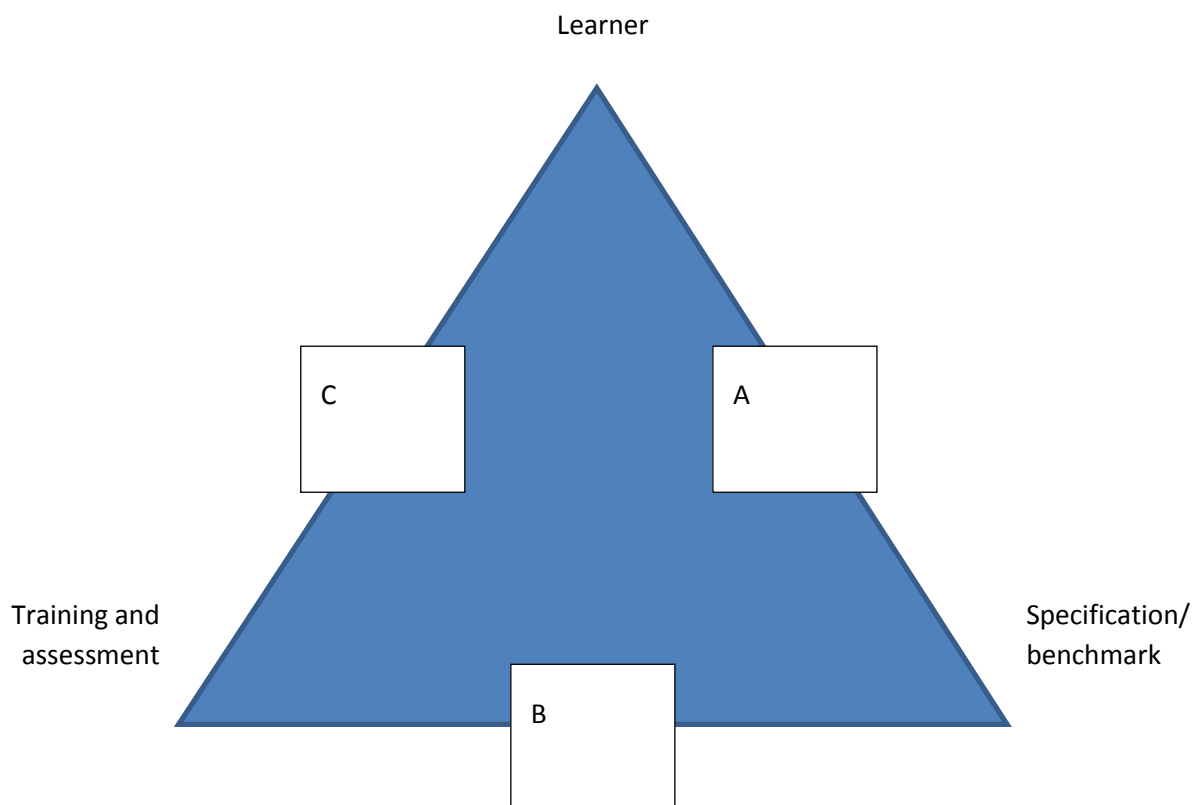
Reading	
Trigger words	Applied to:
Access	<ul style="list-style-type: none"> <li>• relevant benchmarks</li> <li>• learning program documentation</li> <li>• OHS documentation</li> <li>• competency standards</li> <li>• relevant VET policies.</li> </ul>
Analyse	<ul style="list-style-type: none"> <li>• assessment instruments</li> <li>• benchmarks</li> <li>• units/modules</li> <li>• assessment guidance.</li> </ul>
Check	<ul style="list-style-type: none"> <li>• validation documents.</li> </ul>
Confirm	<ul style="list-style-type: none"> <li>• organisational, legal and ethical requirements</li> <li>• competency standards.</li> </ul>
Determine	<ul style="list-style-type: none"> <li>• licensing requirements.</li> </ul>
Examine	<ul style="list-style-type: none"> <li>• collected evidence.</li> </ul>
Identify	<ul style="list-style-type: none"> <li>• benchmarks</li> <li>• Training Packages/accredited courses.</li> </ul>
Interpret	<ul style="list-style-type: none"> <li>• assessment plan</li> <li>• relevant benchmarks</li> <li>• learning program documentation</li> <li>• OHS documentation</li> <li>• qualification rules</li> <li>• units/modules.</li> </ul>

Read	<ul style="list-style-type: none"> <li>• learning program documentation</li> <li>• OHS documentation</li> <li>• qualification rules</li> <li>• units/modules</li> <li>• assessment guidance.</li> </ul>
Research	<ul style="list-style-type: none"> <li>• design options.</li> </ul>
Review	<ul style="list-style-type: none"> <li>• licensing requirements.</li> </ul>
Source	<ul style="list-style-type: none"> <li>• Training Packages/accredited courses.</li> </ul>
<b>Writing</b>	
Trigger word	Applied to:
Complete	<ul style="list-style-type: none"> <li>• assessment record.</li> </ul>
Document	<ul style="list-style-type: none"> <li>• evidence</li> <li>• review outcomes</li> <li>• assessment plan</li> <li>• individual learning plan</li> <li>• work performance</li> <li>• learning achievement</li> <li>• design options</li> <li>• learning program</li> <li>• learner progress</li> <li>• unit analysis.</li> </ul>
Map	<ul style="list-style-type: none"> <li>• assessment instructions.</li> </ul>
Record	<ul style="list-style-type: none"> <li>• assessment outcomes</li> <li>• review outcomes</li> <li>• validation recommendations.</li> </ul>
Write	<ul style="list-style-type: none"> <li>• clear instructions.</li> </ul>
<b>Speaking and listening</b>	
Trigger word	Applied to:
Agree	<ul style="list-style-type: none"> <li>• validation outcomes</li> <li>• with candidate.</li> </ul>
Clarify	<ul style="list-style-type: none"> <li>• with learners.</li> </ul>

Confirm	<ul style="list-style-type: none"> <li>• with relevant personnel</li> <li>• delivery strategies</li> <li>• training needs</li> <li>• validation approach.</li> </ul>
Consult	<ul style="list-style-type: none"> <li>• with relevant people.</li> </ul>
Discuss	<ul style="list-style-type: none"> <li>• with candidate</li> <li>• validation outcomes</li> <li>• individual learning plan</li> <li>• validation approach.</li> </ul>
Explain	<ul style="list-style-type: none"> <li>• to candidate</li> <li>• objectives.</li> </ul>
Guide	<ul style="list-style-type: none"> <li>• candidates.</li> </ul>
Inform	<ul style="list-style-type: none"> <li>• relevant parties.</li> </ul>

**Note:** Trigger words for numeracy have not been included in the table because the TAE40110 core units do not contain identifiable numeracy requirements.

## TOOL: Balancing LLN requirements in training and assessment



Considerations when addressing LLN in training and assessment practice:

- Does the learner have the LLN skills described by the training specification (unit of competency)? If they do not yet have the required level of LLN skill then your training program should help them develop the required level and allow for lots of practice of the skill within the required context.
- Does the LLN content of the training program match the LLN demands of the workplace? It's important that you be aware of the LLN skills required in the workplace. For example:
  - What vocational words are used?
  - What procedures need to be read?
  - What forms need to be completed?
  - What reports need to be written?

Include plenty of practice in using these documents in your training program.

- Does your training program demand LLN skills that are higher than those of the learner? You may need to include appropriate strategies to support learners or adjust aspects of your training. For example, replace PowerPoint slides requiring lots of reading with a slide presentation containing a range of images, followed by a group discussion and note taking exercise to distil key points. Many learners will absorb information more effectively through listening or observing rather than reading.<sup>25</sup>

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<sup>25</sup> DEEWR, *Taking the Lead*, Commonwealth Government, viewed April 2011, <<http://www.takingthelead.com.au>>.

## TOOL: Checking against the principles of assessment and the rules of evidence

Principles of assessment	
Validity	<p>Does the assessment instrument actually assess what it is designed to assess?</p> <p>If the unit of competency requires the application of skills and knowledge, is the evidence collection method one that involves demonstration and explanation or is it a written test?</p>
Reliability	<p>Is assessment consistent?</p> <p>Do all assessors use and know how to use the assessment tool?</p> <p>Is there a marked variation in the amount/quality of evidence collected?</p> <p>Are there processes in place to reduce inconsistency between assessor judgements?</p>
Flexibility	<p>Are candidates' needs identified before assessment?</p> <p>Are these needs taken into account when planning assessment?</p> <p>Can assessment tools, context and timing of assessment be adjusted to meet the needs of candidates?</p>
Fairness	<p>Is the information about the assessment easily understood and accessed by all potential candidates?</p> <p>Do all candidates receive feedback about their assessments?</p> <p>Do assessors make assumptions about the candidates and the value of their experience?</p> <p>Is the timing of the assessment appropriate?</p> <p>Do candidates get the support that they need?</p> <p>Are candidates over-assessed?</p>
Rules of evidence	
Validity	<p>Is the evidence relevant to the benchmark?</p> <p>Can you infer competence from the evidence?</p> <p>Is it consistent with the other evidence presented by the candidate?</p> <p>Are the four dimensions of competency met (task skills, task management skills, contingency management and work/environment skills)?</p>
Currency	<p>Does the evidence demonstrate that the candidate can apply the competency?</p>
Authenticity	<p>Can it be verified that the evidence is entirely the candidate's own work (products and documents)?</p> <p>Is the source of any electronic evidence verifiable, has it been tampered with?</p> <p>Has the evidence been verified by a reliable third party, where relevant?</p>

Sufficiency	<p>Is the scope of the unit of competency addressed?</p> <ul style="list-style-type: none"> <li>• the performance criteria</li> <li>• evidence guide</li> <li>• critical aspects of evidence</li> <li>• competency over a period of time is demonstrated</li> <li>• competency in different contexts is demonstrated.</li> </ul>
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## TEMPLATE: What does competency look like?

Address dimensions of competency – Analyse the job role	<ul style="list-style-type: none"> <li>• task skills</li> <li>• task management skills</li> <li>• contingency skills</li> <li>• job/role environment skills</li> <li>• transfer skills</li> <li>• safe working skills</li> <li>• LLN skills.</li> </ul>
What do I need evidence of?	<ul style="list-style-type: none"> <li>• Real, realistic or simulated environments</li> <li>• Content</li> <li>• Face (Industry read)</li> <li>• Construct.</li> </ul>
How do I get it?	<p>Assessment methods need to be chosen to address benchmark criteria.</p> <p>A range of assessment instruments should be identified through an assessment plan.</p>
Develop assessment record	Address flexibility, fairness, reasonable adjustment (use predictive skills).
Benchmarks	Expected responses at AQF level – consider Bloom’s Taxonomy.
Decision-making rules – defining what constitutes a satisfactory response and how to deal with incomplete responses	<ul style="list-style-type: none"> <li>• Observation checklists – do all 10 points have to be addressed?</li> <li>• What procedure will I follow if insufficient information is offered?</li> <li>• What context would require repeating the assessment?</li> </ul>
Intra-rater/inter-rater reliability	<ul style="list-style-type: none"> <li>• Fairness.</li> <li>• Flexibility.</li> </ul>

Mapping document	<p>Mapping of assessment against unit requirements:</p> <ul style="list-style-type: none"> <li>• Elements</li> <li>• Knowledge</li> <li>• Skills</li> <li>• Critical aspects of evidence</li> <li>• Employability Skills.</li> </ul>
Content validity	<p>What are you measuring - are you covering the knowledge and skills as set out in the unit/s?</p>
Recording and Reporting Documentation	<ul style="list-style-type: none"> <li>• Summary report.</li> <li>• Assessor signoff.</li> <li>• Feedback to and from learning – what does this look like? What does it mean?</li> <li>• Are organisational requirements met?</li> </ul>
Links	<ul style="list-style-type: none"> <li>• Are the links between the assessment plan and the process and tools clear?</li> <li>• Does the learning process and resources link to this assessment plan?</li> </ul>



# Section 6: References and Links

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## Glossary

The National Centre for Vocational Education Research (NCVER) maintains an extensive glossary of VET terms. It can be accessed online to clarify the meaning of terms used in this *User Guide*. See <http://www.ncver.edu.au/resources/glossary.html>.

### Assessment tools and assessment instruments

According to the AQTF Essential Standards for Registration, an assessment tool is defined as the instrument/s and procedures used to gather and interpret evidence of competence.

**Instruments** – The specific questions or activities used to assess competence by the assessment method selected. An assessment instrument may be supported by a profile of acceptable performance and the decision-making rules or guidelines to be used by the assessors.

**Procedures** – The information or instructions given to the candidate and the assessor about how the assessment is to be conducted and recorded.

In accordance with the AQTF Essential Standards for Registration, an assessment tool includes the following components:

- the learning or competency unit/s to be assessed
- the target group, context and conditions for the assessment
- the tasks to be administered to the candidate
- an outline of the evidence to be gathered from the candidate
- the evidence criteria used to judge the quality of performance (the assessment decision-making rules)
- the administration, recording and reporting requirements.

To assist with validation and/or moderation, the tool should also provide evidence of how validity and reliability have been tested and built into the design and use of the tool.

In TAE10 the description of an assessment Instruments have been further expanded on that outlined above to describe:

- instruments developed by an assessor as part of formative or summative assessment activities, including:
  - profiles of acceptable performance measures
  - templates and proformas
  - specific questions or activities
  - evidence and observation checklists
  - checklists for the evaluation of work samples
  - recognition portfolios
  - candidate self-assessment materials
- instruments developed elsewhere that have been modified by the assessor for use with a particular client group.

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