# Generic Units of Competence

**Description**

This unit covers using a keyboard to use software to open, edit, save and close a file
This is an endorsed unit from the *National Clerical – Administrative (Private Sector)* Competency Standards

### 1          Operate computer equipment

**1)**     Computer is turned on in accordance with manufacturer's instructions.
**2)**     Log on procedures are followed where necessary.
**3)**     Keyboard is operated within the designated speed and accuracy requirements.
**4)**     Occupational health and safety guidelines relating to screen based equipment
            and ergonomic workstations are observed.

### 2          Open file

**1)**     Software appropriate for the task is selected.
**2)**     File is correctly identified and opened.

### 3          Retrieve data

**1)**     Data to be retrieved is located within the file.

### 4          Close file

**1)**     File is saved and closed.
**2)**     Program is exited in accordance with designated procedures.
**3)**     Data is stored in accordance with designated procedures.

**Range of Variables**

- Organisation procedures and policies, e.g. typing speed, typing accuracy
- Instructions, e.g. manufacturer's guidelines, procedure manuals, training notes
- Keyboard skills include, but are not exclusive to:  operating a mouse, keyboard entry

**Evidence Guide**

Evidence of satisfactory performance in this Unit is best obtained by observation of performance, questioning and discussion.  More specifically, to indicate understanding and knowledge of accessing and retrieving computer data in accordance with organisation procedures and policies, check that:
- Computer equipment is operated correctly
- Necessary data is retrieved as required within designated timelines
- Disks are stored in accordance with organisation procedures.

*Related Units*

Direct links can be made between this unit of competency and:
- TEC202 – Operate a computer to gain access to and retrieve data
- TEC203 – Operate a computer to produce simple documents.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | | | |
| Planning and organising activities | | | |
| Working with others in teams | | | |
| Using mathematical ideas and techniques | ● | | |
| Solving Problems | ● | | |
| Using technology | ● | | |

**BSA TEC 202A**                                                 **Operate a computer to gain access to and retrieve data**

### Description

This unit covers using a keyboard to use standard software to open, edit, save and close a file

This is an endorsed unit from the *National Clerical – Administrative (Private Sector)* Competency Standards

### 1      Operate computer equipment

**1)**     Computer is turned on in accordance with manufacturer's instructions.
**2)**     Log on procedures are followed where necessary.
**3)**     Keyboard is operated within the designated speed and accuracy requirements.
**4)**     Occupational health and safety guidelines relating to screen based equipment and ergonomic workstations are observed.

### 2      Open file

**1)**     Software appropriate for the task is selected.
**3)**     File is correctly identified and opened.

### 3      Retrieve and print data

**1)**     Data to be retrieved is located within the file.
**2)**     Copy of the data is printed as required.

### 4      Close file

**1)**     File is saved and closed.
**2)**     Program is exited in accordance with designated procedures.
**3)**     Data is stores in accordance with designated procedures.

### Range of Variables

- Organisation procedures and policies
- Equipment used, e.g. computers, printers
- Organisation operating network protocols
- Instructions, e.g. manufacturer's guidelines, procedure manuals, training notes
- Relevant legislation, e.g. occupational health and safety, copyright.

### Evidence Guide

Evidence of satisfactory performance in this Unit is best obtained by observation of performance, questioning & discussion. More specifically, to indicate understanding & knowledge of operating a computer to access & retrieve data in accordance with organisation procedures & policies, check that:
- Computer equipment is operated correctly, ie: according to operations manuals & organisation requirements
- Necessary data is retrieved & printed as required within designated timelines
- Disks are stored in accordance with organisation procedures

#### *Related Units*

Direct links can be made between this unit of competency and:
- TEC102 – Access & retrieve computer data
- TEC203 – Operate a computer to produce simple documents

## Operate a computer to gain access to and retrieve data

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | | | |
| Planning and organising activities | | | |
| Working with others in teams | | | |
| Using mathematical ideas and techniques | ● | | |
| Solving Problems | ● | | |
| Using technology | ● | | |

**BSA TEC 203A**　　　　**Operate a computer to produce simple documents**

**Description**

This unit covers using a computer to create new files and to create a document.

This is an endorsed unit from the *National Clerical – Administrative (Private Sector)* Competency Standards.

**1　　　Create file**

**1)**　　Appropriate software is selected.
**2)**　　New file is opened and named.

**2　　　Produce document from written text using standard format**

**1)**　　Keyboard and mouse are operated within the designated speed and accuracy requirements.
**2)**　　Document is produced with the required data.
**3)**　　Document is produced in the required style and format.
**4)**　　Document is produced within designated timelines.
**5)**　　Document is saved regularly to avoid loss of data.
**6)**　　Occupational health and safety guidelines relating to screen based equipment and ergonomic workstations are observed.

**3　　　Edit information**

**1)**　　Data to be edited is identified.
**2)**　　Data is entered, changed or deleted using keyboard/mouse.
**3)**　　Document is saved regularly to avoid loss of data.
**4)**　　Edited information is checked against original for accuracy of contents.
**5)**　　Spelling, grammar and numeric data is checked.
**6)**　　Draft is proofread prior to print.

**4　　　Use manuals and online help to solve software problems**

**1)**　　Online help for software programs is used to solve problems.
**2)**　　Manuals and training notes are used to solve problems.
**3)**　　User documentation specific to the organisation is used where provided.

**5　　　Print document**

**1)**　　Print preview is used to check document for format and layout.
**2)**　　Adjustments to layout made where necessary to suit printed document.
**3)**　　Appropriate stationery is loaded into the printer.
**4)**　　Document is printed as required.

**6　　　Save file and exit system**

**1)**　　Document is saved and stores in appropriate directory or folder.
**2)**　　File is closed and applications programs are exited without loss of data.
**3)**　　Backup copies of files are made in accordance with specified procedures if required.
**4)**　　Disks/data are filed and stores in accordance with organisation procedures.

## Operate a computer to produce simple documents      **BSA TEC 203A**

**Range of Variables**

- Organisation procedures and policies, e.g. backup procedures
- Equipment used, e.g. computers, printers
- Software packages may include the following e.g. databases, spreadsheets, word processing, e-mail
- Simple documents may include, but are not exclusive to memos, tables, faxes, e-mail, standard letters, invoices, standard reports
- Complexity of software functions being accessed
- Organisation operating network protocols
- Instructions, manufacturer's guidelines, procedures manual, training notes.

**Evidence Guide**

A simple document is that which is produced by using a range of standard functions on a software package.

Evidence of satisfactory performance in this Unit is best obtained by observation of performance, questioning and discussion. More specifically, to indicate understanding and knowledge of operating a computer to produce simple documents in accordance with organisation procedures and policies, check that:

- Understanding of a range of software applications is demonstrated
- Speed and accuracy are to organisation standards (this may be the standard in Standards Australia AS2708-1991 Typing Speed or AS3549-1989 Typing Accuracy)
- Final document is produced correctly and in the appropriate/required format
- Wastage of paper is minimised with the impact on the environment underpinning office administration procedures.

*Related Units*

Direct links can be made between this unit of competency and:

- TEC102 – Access and retrieve computer data
- TEC202 – Operate a computer to gain access to and retrieve data
- TEC302 – Design and develop documents, reports and worksheets
- TEC303 – Maintain computer files
- TEC401 – Produce complex documents.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | ● | | |
| Planning and organising activities | ● | | |
| Working with others in teams | ● | | |
| Using mathematical ideas and techniques | ● | | |
| Solving Problems | ● | | |
| Using technology | ● | | |

## BSA TEC 302A     Design and develop documents, reports and worksheets

**Description**

This unit covers identifying ways in which existing document production processes can be made more efficient while maintaining high standards in appearance & presentation.

This is an endorsed unit from the *National Clerical – Administrative (Private Sector)* Competency Standards.

### 1       Identify document requirements

**1)**     Organisation requirements for information entry, storage, output & quality of presentation are identified from the nominated person.

**2)**     Enhancements to document production processes are identified.

### 2       Design and enhance document formats

**1)**     Document design is appropriate for the efficient entry of information.

**2)**     Document design maximises the appearance & presentation of the document.

**3)**     The range of functions incorporated into the document design reflects the nominated requirements of the organisation.

**Range of Variables**

- Organisation procedures & policies
- Software packages include, but are not exclusive to, the following:  word processing, database, spreadsheet, page layout software
- Instructions, e.g. procedure manuals, software documentation, training notes
- Functions include, but are not exclusive to formatting, integrating, importing graphics, charts, tables.

**Evidence Guide**

Evidence of satisfactory performance in this Unit is best obtained by observation of performance, questioning & discussion.  More specifically, to indicate understanding & knowledge of designing & developing documents, reports & worksheets in accordance with organisation procedures & policies, check that:
- Document requirements are clarified & understood
- Organisation requirements are met
- Enhancements are made to documents, reports & worksheets
- Enhancements lead to greater efficiencies
- Enhancements lead to improved appearance of documents, reports & worksheets.

*Related Units*

Direct links can be made between this unit of competency and:
- TEC203 – Operate a computer to produce simple documents
- TEC401 – Produce complex documents
- TEC404 – Customise & maintain software
- TEC501 – Manage document design & production within the organisation.

**Key Competencies and Application to Standards**

| Key Competency | | Level | |
|---|---|---|---|
| | 1 | 2 | 3 |
| Collecting, analysing and organising information | • | | |
| Communicating ideas and information | | | |
| Planning and organising activities | • | | |
| Working with others in teams | | | |
| Using mathematical ideas and techniques | • | | |
| Solving Problems | • | | |
| Using technology | • | | |

**Description**

This unit covers moving computer files between directories and folders and carrying out back-up procedures.

This is an endorsed unit from the *National Clerical – Administrative (Private Sector)* Competency Standards.

### 1        Carry out file maintenance

**1)**    Files are copies, deleted & renamed as required.
**2)**    Directories or folders are created as required.
**3)**    File registers are maintained according to organisation guidelines.
**4)**    Security checks & procedures are inserted where necessary.
**5)**    Back-ups are carried out as required.
**6)**    Back-up files are stores in the designated manner & location.
**7)**    Record of back-ups are maintained.
**8)**    Virus protection measures are used according to organisation guidelines.

**Range of Variables**

- Organisation procedures & policies, e.g. back-up procedures, file maintenance
- Storage media, e.g. hard disk, floppy disk
- Instructions, e.g. manufacturer's guidelines, procedures manual, training notes
- Relevant legislation, e.g. occupational health & safety.

**Evidence Guide**

Evidence of satisfactory performance in this Unit is best obtained by observation of performance, questioning & discussion.  More specifically, to indicate understanding & knowledge of maintaining computer files according to organisation procedures & policies, check that:
- The integrity of the computer filing system is maintained
- The filing system operates smoothly
- Back-up files are created & security is ensured.

*Related Units*

Direct links can be made between this unit of competency and:
- TEC203 – Operate a computer to produce simple documents

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | ● | | |
| Planning and organising activities | ● | | |
| Working with others in teams | ● | | |
| Using mathematical ideas and techniques | ● | | |
| Solving Problems | ● | | |
| Using technology | ● | | |

**Description**

This unit covers using either a range of advanced functions within at least one software package, or integrating functions from at least two software packages to produce complex documents.

This is an endorsed unit from the *National Clerical – Administrative (Private Sector)* Competency Standards.

| 1 | **Establish document design and structure** |
|---|---|

    **1)**    Requirements of the task are identified.
    **2)**    Software appropriate to the task is selected.
    **3)**    Document design and structure is suitable for the information provided.
    **4)**    Document design and structure meets organisation requirements.

| 2 | **Develop template or macro for document design** |
|---|---|

    **1)**    Templates and macros are developed and used to ensure consistency of design and layout.
    **2)**    Amendments to templates and macros are made as required.

| 3 | **Produce documents** |
|---|---|

    **1)**    Data is entered and edited accurately.
    **2)**    A range of advanced functions are used to ensure the accurate completion of the task within the designated timelines.
    **3)**    Information from other computer files and/or printed documents is inserted as required.
    **4)**    Documents are checked for spelling, grammar and numeric data.
    **5)**    Documents are proofread for accuracy of contents.
    **6)**    Documents are proofread for consistency of layout and style.
    **7)**    Modifications are made to meet required specifications.
    **8)**    Documents are presented to the nominated person/section for approval prior to completion and/or final printing where necessary.
    **9)**    Documents are printed as required.
    **10)**    Occupational health and safety guidelines relating to screen based equipment and ergonomic workstations are observed.

| 4 | **Save file and exit system** |
|---|---|

    **1)**    Document is saved and stored in appropriate directory or folder.
    **2)**    File is closed and applications programs are exited without loss of data.
    **3)**    Back up copies of files are made in accordance with specified procedures if required.
    **4)**    Disks/data are filed and stores in accordance with organisation procedures.

**Range of Variables**

- Organisation procedures and policies e.g., back-up procedures, file maintenance
- Software packages used, word processing, database, spreadsheet, page layout software, graphics
- Advanced functions include, but are not exclusive to, templates, macros, autotext, glossaries, table of contents, index, formatting, e.g. defining styles, importing graphs, sections, margins, scanner/colour printer
- Instructions, e.g. manufacturer's guidelines, procedures manual, training notes
- Relevant legislation, e.g. occupational health and safety, copyright
- Specialist/technical texts and vocabulary.

**Evidence Guide**

A complex document is that which is produced by using a range of advanced functions of at least one software package and integrating other software packages.

Evidence of satisfactory performance in this Unit is best obtained by observation of performance, questioning and discussion. More specifically, to indicate understanding and knowledge of producing complex documents in accordance with organisation procedures and policies, check that:

- Document layout is appropriate for the data
- Defaults are set correctly
- Speed and accuracy are to organisation standards (this may be the standard in Standards Australia AS2708-1991 Typing Speed or AS3349-1989 Typing Accuracy)
- Documents are proofread and final document is correct
- Data is saved and backed up according to organisation requirements.

*Related Units*

Direct links can be made between this unit of competency and:

- TEC203 – Operate a computer to produce simple documents
- TEC302 – Design and develop documents, reports and worksheets
- TEC404 – Customise and maintain software
- TEC501 – Manage document design and production within the organisation.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | ● | | |
| Planning and organising activities | ● | | |
| Working with others in teams | ● | | |
| Using mathematical ideas and techniques | ● | | |
| Solving Problems | ● | | |
| Using technology | | ● | |

**BSA TEC 402A**                    **Assist in maintenance of a computer system**

### Description

This unit relates to maintaining a computer system by installing software, connecting hardware peripherals and carrying out preventative maintenance.

This is an endorsed unit from the *National Clerical – Administrative (Private Sector)* Competency Standards.

| **1** | **Install hardware and software** |
|---|---|

    **1)**    Hardware peripherals are connected to computer.
    **2)**    Computer is configured to use new peripherals using the operating system.
    **3)**    Software applications are installed on computer system.
    **4)**    Installation and configuration of software meets organisation requirements.

| **2** | **Carry out preventative maintenance of computer equipment** |
|---|---|

    **1)**    Disk drives and peripherals are maintained according to manufacturer and organisation requirements.
    **2)**    Consumables are replaced and supplies maintained.
    **3)**    Peripherals are maintained and stored in accordance with manufacturer's guidelines.

### Range of Variables

- Organisation procedures and policies, e.g. back-up procedures
- Equipment used, hardware (computer and peripherals), applications software, operating system
- Storage media, e.g. hard disks, floppy disk, tape
- Instructions, e.g. manufacturer's guidelines, procedures manual, training notes
- Relevant legislation, e.g. occupational health and safety, copyright, licensing requirements.

### Evidence Guide

Evidence of satisfactory performance in this Unit is best obtained by observation of performance, questioning and discussion. More specifically, to indicate understanding and knowledge of assisting in the maintenance of a computer system, check that:

- Hardware and software is correctly installed
- Hardware and software is maintained so that it remains operational.

*Related Units*

Direct links can be made between this unit of competency and:

- TEC304 – Operate and maintain computer printer.

### Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|:---:|:---:|:---:|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | | | |
| Planning and organising activities | | ● | |
| Working with others in teams | | | |
| Using mathematical ideas and techniques | ● | | |
| Solving Problems | | ● | |
| Using technology | | ● | |

## BSA TEC 403A    Identify and use new and existing technology to meet the needs of the organisation

### Description

This unit covers keeping up to date with hardware and software developments in order to make recommendations about maximising the performance of the organisation.

This is an endorsed unit from the *National Clerical – Administrative (Private Sector)* Competency Standards.

**1        Maintain current knowledge of developments in information technology**

    **1)**      Information is sought and located.
    **2)**      Information on new technology is documented and filed.

**2        Identify new technology to assist the organisation to meet its goals**

    **1)**      New technologies are identified which can assist the organisation meet its goals.
    **2)**      Recommendations are made to the nominated person about the application of new technologies.

**3        Use new technology to solve problems**

    **1)**      Training is undertaken to ensure knowledge and skill in new technologies.
    **2)**      New technology knowledge and skills are applied in the workplace.

### Range of Variables

- Organisation procedures and policies
- Organisation equipment and software
- Budget for equipment and software upgrades.

### Evidence Guide

Evidence of satisfactory performance in this Unit is best obtained by observations of performance, questioning and discussion.  More specifically, to indicate understanding and knowledge of new technologies and their application in the organisation, check that:

- Information is sought about new technologies
- Information is retained for future use
- Additional training is undertaken where necessary
- New technology skills are applied in work contexts.

### Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|:---:|:---:|:---:|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | | | |
| Planning and organising activities | | ● | |
| Working with others in teams | | | |
| Using mathematical ideas and techniques | ● | | |
| Solving Problems | | ● | |
| Using technology | | | |

**BSA TEC 404A**                                        **Customise and maintain software**

**Description**

This unit covers maximising the performance of software and automating frequently used features to meet the needs of the organisation.

This is an endorsed unit from the *National Clerical – Administrative (Private Sector)* Competency Standards.

| 1 | **Maintain effective performance of hardware and software** |
|---|---|

    **1)**    Ensure the operating system optimises the performance of the hardware and software to meet organisation and user requirements.

    **2)**    Use application software to maximise the efficiency of document production.

| 2 | **Customise software to maximise performance in producing complex documents** |
|---|---|

    **1)**    Organisation requirements for complex documents are established.

    **2)**    Software is customised to meet organisation needs and user needs.

| 3 | **Maintain customised software** |
|---|---|

    **1)**    Customised options such as preference settings, templates and macros are checked at nominated intervals.

    **2)**    Integrity of customised options is maintained when software is upgraded or reinstalled.

    **3)**    Problems in customising are referred to the nominated person for resolution.

**Range of Variables**

- Organisation procedures and policies
- Organisation software
- Operating system
- Application software includes, but is not exclusive to, word processing, database, spreadsheets, page layout software.

**Evidence Guide**

Evidence of satisfactory performance in this Unit is best obtained by observations of performance, questioning and discussion.  More specifically, to indicate understanding and knowledge of new technologies and their application in the organisation, check that:
- Organisation needs are understood
- Software preferences and customising options are understood
- Preferences and options meet the needs of users
- Preferences and options are maintained.

**Identify and use new and existing technology to meet the needs of the organisation**          **BSA TEC 403A**

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | ● | | |
| Planning and organising activities | | ● | |
| Working with others in teams | ● | | |
| Using mathematical ideas and techniques | | | |
| Solving problems | | ● | |
| Using technology | | | |

**BSXFMI301A**        **Manage personal work priorities and professional development**

**Description**

Frontline management is responsible for managing their own performance and taking responsibility for their professional development within the context of the organisation.

**1        Manage self**

  **1)**    Personal qualities and performance serve as a role model in the workplace.
  **2)**    Personal goals and plans reflect the organisation's plans, personal plans, responsibilities and accountabilities.
  **3)**    Action is taken to achieve and extend personal goals beyond those planned.
  **4)**    Consistent personal performance is maintained in varying work conditions and work contexts.

**2        Set and meet own work priorities**

  **1)**    Competing demands are prioritize to achieve personal, team and the organisation's goals and objectives.
  **2)**    Technology is used efficiently and effectively to manage work priorities and commitments.

**3        Develop and maintain professional competence**

  **1)**    Personal knowledge and skills are assessed against competency standards to determine development needs and priorities.
  **2)**    Feedback from clients and colleagues is used to identify and develop ways to improve competence.
  **3)**    Management development opportunities suitable to personal learning style(s) are selected and used to develop competence.
  **4)**    Participation in professional networks and associations enhance personal knowledge, skills and relationships.
  **5)**    New skills are identified and developed to achieve and maintain a competitive edge..

### Range of Variables

At AQF 3, frontline managers will normally be engaged in a workplace context in which they:
- have some autonomy for operation
- work under limited guidance
- may have broad guidance and autonomy if working in teams
- have responsibility for others
- may have team coordination responsibilities
- apply a broad range of skills to a range of tasks / roles
- .operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment in using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively simple workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- business and performance plans
- ethical standards
- quality and continuous improvement processes and standards
- defined resource parameters.

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers. At AQF 3, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- use available routine information appropriate to work responsibility
- manage work to achieve goals and results
- monitor and introduce ways to improve own performance
- assess own performance
- seek feedback and act on constructive advice
- select and use available learning methods to maintain current competence
- use simple information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | Level | | |
|---|---|---|---|
| | 1 | 2 | 3 |
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | | ● | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | ● | | |
| Solving problems | ● | | |
| Using technology | ●● | | |
| Cultural understanding | ● | | |

**Description**

Frontline management has an important leadership role in the development of the organisation. This will be most evident in the manner in which they conduct themselves, the initiative which they take in influencing others, and the way they manage their responsibilities.

**1        Model high standards of management performance**

1)   Performance meets the organisation's requirements.
2)   Performance serves as positive role model for others.
3)   Performance plans are developed and implemented in accordance with the organisation's goals and objectives.
4)   Key performance indicators are developed within the team's / organisation's business plans.

**2        Enhance the organisation's image**

1)   The organisation's standards and values are used in conducting business.
2)   Standards and values considered to be damaging to organisation are questioned through established communication channels.
3)   Personal performance contributes to developing an organisation which has integrity and credibility.

**3        Influence individuals and teams positively**

1)   Expectations, roles and responsibilities are communicated in a way which encourages individuals / teams to take responsibility for their work.
2)   Individual's / team's efforts and contributions are encouraged, valued and rewarded.
3)   Ideas and information receive the acceptance and support of colleagues..

**4        Make informed decisions**

1)   Information relevant to the issue(s) under consideration is gathered and organised.
2)   Individuals / teams participate actively in the decision making processes.
3)   Options are examined and their associated risks assessed to determine preferred course(s) of action.
4)   Decisions are timely and communicated clearly to individuals / teams.
5)   Plans to implement decisions are prepared and agreed by relevant individuals teams.
6)   Feedback processes are used effectively to monitor the implementation and impact of decisions.

### Range of Variables

At AQF 3, frontline managers will normally be engaged in a workplace context in which they:
- have some autonomy for operation
- work under limited guidance
- may have broad guidance and autonomy if working in teams
- have responsibility for others
- may have team coordination responsibilities
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment in using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively simple workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- business and performance plans
- ethical standards
- quality and continuous improvement processes and standards
- defined resource parameters.

They use legislation, codes and national standards relevant to the workplace.  A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

### Evidence Guide

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers. At AQF 3, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work to achieve goals and results
- use available routine information appropriate to work responsibility
- make decisions within responsibility and authority
- explain the organisation's goals, values and objectives
- monitor and introduce ways to improve performance
- use effective consultative processes
- communicate routine and non-routine information clearly to senior managers, peers and subordinates
- promote available learning methods to assist colleagues
- use simple information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

### Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|:---:|:---:|:---:|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | | ● | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | ● | | |
| Solving problems | ● | | |
| Using technology | ● | | |
| Cultural understanding | | ● | |

## BSXFMI303A        Establish and manage effective workplace relationships

**Description**

Frontline management plays an important role in developing and maintaining positive relationships in internal and external environments so that customers, suppliers and the organisation achieve planned outputs / outcomes.

**1        Gather, convey and receive information and ideas**

**1)** Information to achieve work responsibilities is collected from appropriate sources.

**2)** The method(s) used to communicate ideas and information is appropriate to the audience.

**3)** Communication takes into account social and cultural diversity.

**4)** Input from internal and external sources is sought, and valued in developing and refining new ideas and approaches.

**2        Develop trust and confidence**

**1)** People are treated with integrity, respect and empathy.

**2)** The organisation's social, ethical and business standards are used to develop and maintain positive relationships.

**3)** Trust and confidence of colleagues, customers and suppliers is gained and maintained through competent performance.

**4)** Interpersonal styles and methods are adjusted to the social and cultural environment.

**3        Build and maintain networks and relationships**

**1)** Networking is used to identify and build relationships.

**2)** Networks and other work relationships provide identifiable benefits for the team and organisation.

**4        Manage difficulties to achieve positive outcomes**

**1)** Problems are identified and analysed, and action is taken to rectify the situation with minimal disruption to performance.

**2)** Colleagues receive guidance and support to resolve their work difficulties.

**3)** Continued poor performance is managed within the organisation's processes.

**4)** Difficult situations are negotiated to achieve results acceptable to the participants, and which meet organisation's and legislative requirements..

### Range of Variables

At AQF 3, frontline managers will normally be engaged in a workplace context in which they:
- have some autonomy for operation
- work under limited guidance
- may have broad guidance and autonomy if working in teams
- have responsibility for others
- may have team coordination responsibilities
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment in using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively simple workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- business and performance plans
- ethical standards
- access and equity principles and practices
- customer and supplier policies and practices
- quality and continuous improvement processes and standards

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- exchange / rotation
- shadowing
- coaching
- action learning
- structured training programs.

Customers and suppliers would typically be from internal sources, although there may be some limited external contact.

## BSXFMI303A      Establish and manage effective workplace relationships

### Evidence Guide

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers. At AQF 3, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- use routine information appropriate to work responsibility
- manage relationships to achieve goals and results
- monitor and introduce ways to improve work relationships
- perform in a way which strengthens and reinforces relationships
- communicate clearly and concisely
- use effective consultative processes
- encourage alternative views to be submitted and discussed
- treat people openly and fairly
- develop constructive responses when confronted with problems and difficulties
- use simple information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

### Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|:---:|:---:|:---:|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | ● | ● | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | ● | | |
| Solving problems | | ● | |
| Using technology | ● | | |
| Cultural understanding | | ● | |

**BSXFMI304A**                                        **Participate in, lead and facilitate work teams**

**Description**

Frontline management has a key role in leading, participating in, facilitating and empowering work teams / groups within the context of the organisation.  They play a prominent part in motivating, mentoring, coaching and developing team members, and in achieving team cohesion.

**1         Participate in team planning**

    **1)**     The team establishes clearly defined purposes, roles, responsibilities and accountabilities within the organisation's goals and objectives.

    **2)**     The team performance plan contributes to the organisation's business plan, policies and practices.

    **3)**     The team agrees to processes to monitor and adjust its performance within the organisation's continuous improvement policies.

    **4)**     The team includes in its plans ways in which it can benefit from the diversity of its membership

**2         Develop team commitment and cooperation**

    **1)**     The team uses open communication processes to obtain and share information.

    **2)**     The team encourages and exploits innovation and initiative.

    **3)**     Support is provided to the team to develop mutual concern and camaraderie.

**3         Manage and develop team performance**

    **1)**     The team is supported in making decisions within its agreed roles and responsibilities.

    **2)**     The results achieved by the team contribute positively to the organisation's business plans.

    **3)**     Team and individual competencies are monitored regularly to confirm that the team, is able to achieve its goals.

    **4)**     Mentoring and coaching supports team members to enhance their knowledge and skills.

    **5)**     Delegates' performance is monitored to confirm that they have completed their delegation / assignment.

**4         Participate in and facilitate the work team**

    **1)**     Team effectiveness is encouraged and enhanced through active participation in team activities and communication processes.

    **2)**     Individuals and teams are actively encouraged to take individual and joint responsibility for their actions.

    **3)**     The team receives support to identify and resolve problems  which impede its performance.

### Range of Variables

At AQF 3, frontline managers will normally be engaged in a workplace context in which they:
- have some autonomy for operation
- work under limited guidance
- may have broad guidance and autonomy if working in teams
- have responsibility for others
- may have team coordination responsibilities
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment in using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively simple workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- quality and continuous improvement processes and standards
- performance / business plans
- ethical standards
- defined resource parameters.

They use legislation, codes and national standards relevant to the workplace.  A range of learning opportunities may be used, for example:
- mentoring
- exchange / rotation
- coaching
- shadowing
- action learning
- structured training programs.

Teams may be one or a mixture of on-going, work-based, project-based, or cross-functional.   Teams may included full time employees, contractors, part time employees.

Frontline management roles in teams may include leader, facilitator, participant, coach, mentor.

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers. At AQF 3, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work to achieve goals and results
- use routine information appropriate to work responsibility
- establish among teams a commitment to the organisation's goals, values and plans
- monitor and introduce ways to improve team performance
- make decisions within responsibility and authority
- use effective consultative processes
- encourage team members to openly propose, discuss and resolve issues
- deal with conflict before it adversely affects team performance
- treat people openly and fairly
- support team to share knowledge and skills
- promote available learning methods to support team
- use simple information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | • | |
| Communicating ideas and information | | • | |
| Planning and organising activities | | • | |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | • | | |
| Solving problems | | • | |
| Using technology | • | | |
| Cultural understanding | | • | |

**Description**

Frontline management is actively engaged in planning, implementing, monitoring and recording performance to achieve the business plans of the team / organisation.  This pivotal role is carried out to create safe, efficient and effective products and services to customer satisfaction within the organisation's productivity and profitability plans.

**1          Plan resource use to achieve profit / productivity targets**

        **1)**     Resource information for use in operational plans is collected, analysed and organised in consultation with colleagues and specialist resource managers.

        **2)**     Operational plans contribute to the achievement of the organisation's performance / business plan.

        **3)**     Operational plans identify available resources, taking into account customer needs and the organisation's plans.

        **4)**     Contingency pans are prepared in the event that initial plans need to be varied.

**2          Acquire resources to achieve operational plan**

        **1)**     Employees are recruited and inducted within the organisation's human resource management policies and practices.

        **2)**     Physical resources and services are acquired in accord with the organisation's practices and procedures.

**3          Monitor operational performance**

        **1)**     Performance systems and processes are monitored to assess progress in achieving profit / productivity plans and targets.

        **2)**     Budget and actual financial information is analysed and interpreted to monitor profit / productivity performance.

        **3)**     Unsatisfactory performance is identified and prompt action is taken to rectify the situation.

        **4)**     Recommendations for variation to operational plans are negotiated and approved by the designated persons / groups.

**4          Monitor resource usage**

        **1)**     Systems and processes are monitored to establish whether resources are being used as planned.

        **2)**     Problems with resource usage are investigated and rectified and/or reported to designated persons / groups.

        **3)**     Mentoring and coaching is provided to support individuals / teams who have difficulties in using resources to the required standard.

        **4)**     Systems, procedures and records associated with documenting resource acquisition and usage are managed in accordance with the organisation's requirements.

### Range of Variables

At AQF 3, frontline managers will normally be engaged in a workplace context in which they:
- have some autonomy for operation
- work under limited guidance
- may have broad guidance and autonomy if working in teams
- have responsibility for others
- may have team coordination responsibilities
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment in using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively simple workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- quality and continuous improvement processes and standards
- business performance plans
- ethical standards
- defined resource limits.

They use legislation, codes and national standards relevant to the workplace.  A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

Resources may include:
- people
- power / energy
- information
- finance
- buildings / facilities
- equipment
- technology
- time.

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 3, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work to achieve goals and results
- use routine information appropriate to work responsibility
- make decisions within responsibility and authority
- organise and use resources to achieve business plans
- manage resources within the accountability requirements
- eliminate / minimise resource inefficiencies and waste
- ensure that legislative requirements are met in work operations
- monitor and introduce ways to improve operations
- use effective consultative processes
- seek feedback and act on constructive advice
- promote available learning methods to assist colleagues
- use simple information management systems
- select and use available technology appropriate to the task
- record / report information within established systems
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | • | |
| Communicating ideas and information | | • | |
| Planning and organising activities | | • | |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | • | |
| Using technology | | • | |
| Cultural understanding | | • | |

**Description**

Frontline management is an important creator and manager of information.  Their competency in identifying, acquiring, analysing and using appropriate information plays a significant part in the efficiency and effectiveness of the individual's / team's / organisation's performance.

**1        Identify and source information needs**

   **1)**    The information needs of individuals / teams is determined and the sources are identified.
   **2)**    Information held by the organisation is reviewed to determine suitability and accessibility.
   **3)**    Plans are prepared to obtain information which is not available / accessible within the organisation.

**2        Collect, analyse and report information**

   **1)**    Collection of information is timely and relevant to the needs of individuals / teams.
   **2)**    Information is in a format suitable for analysis, interpretation and dissemination.
   **3)**    Information is analyses to identify and report relevant trends and developments in terms of the needs for which it was acquired.

**3        Use management information systems**

   **1)**    Management information systems are used effectively to store and retrieve data for decision making.
   **2)**    Technology available in the work area  / organisation is used to manage information efficiently and effectively.
   **3)**    Recommendations for improving the information system are submitted to designated persons / groups.

**4        Prepare business plan / budgets**

   **1)**    Individuals / teams are involved in business plans / budget preparation in a way which uses their contribution effectively and gains their support for the outcomes.
   **2)**    Business plans / budgets are prepared and presented in accordance with the organisation's guidelines and requirements.
   **3)**    Contingency plans are prepared in the event that alternative action is required.

**5        Prepare resource proposals**

   **1)**    Resource planning data is collected in consultation with colleagues, including those who have a specialist role in resource management.
   **2)**    Estimates of resource needs and utilisation reflects the organisation's business plans, and customer and supplier requirements.
   **3)**    Proposals to secure resources are supported by clearly presented submission describing realistic options, benefits, costs and outcomes.

### Range of Variables

At AQF 3, frontline managers will normally be engaged in a workplace context in which they:
- have some autonomy for operation
- work under limited guidance
- may have broad guidance and autonomy if working in teams
- have responsibility for others
- may have team coordination responsibilities
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment in using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively simple workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- quality and continuous improvement processes and standards
- business performance plans
- ethical standards
- defined resource limits.

They use legislation, codes and national standards relevant to the workplace.  A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 3, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work to achieve goals and results
- manage operations within budget constraints
- make decisions within responsibility and authority
- use routine information appropriate to work responsibility
- monitor and improve ways to manage routine information
- explain basic financial concepts in business plans / budgets
- prepare simple financial information within standard format
- ensure that legislative requirements are included in plans
- promote available learning methods to assist colleagues
- use effective consultative processes
- communicate with colleagues who have specialist resource responsibilities in resource and financial management
- use simple information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | • | |
| Communicating ideas and information | | • | |
| Planning and organising activities | | • | |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | • | |
| Using technology | | • | |
| Cultural understanding | | • | |

**Description**

Frontline management is involved in ensuring that products and services are delivered and maintained to standards agreed by the organisation and the customer.  This will be carried out in the context of the organisation's policies and practices as well as legislation, conventions and codes of practice.

**1          Plan to meet internal and external customer requirements**

1)     The needs of customers are researched, understood, and assessed, and included in the planning process
2)     Provision is made in plans to achieve the quality, time and cost specifications agreed with customers.

**2          Ensure delivery of quality products / services**

1)     Products / services are delivered to customer specifications within the team's / organisation's business plan.
2)     Individual / team performance consistently meets quality, safety, resource and delivery standards.
3)     Coaching and mentoring assists colleagues overcome difficulty in meeting customer service standards.

**3          Monitor, adjust and report customer service**

1)     The organisation's systems and technology are used to monitor progress in achieving product / service targets and standards.
2)     Customer feedback is sought and used to improve the provision of products / services.
3)     Resources are used effectively and efficiently to provide quality products / services to customers.
4)     Decisions to overcome problems with products / services are taken in consultation with designated individuals / groups.
5)     Adjustments are made to products / services, and those who have a role in their planning and delivery are informed of changes.
6)     Records, reports and recommendations are managed within the organisation's systems and processes.

### Range of Variables

At AQF 3, frontline managers will normally be engaged in a workplace context in which they:
- have some autonomy for operation
- work under limited guidance
- may have broad guidance and autonomy if working in teams
- have responsibility for others
- may have team coordination responsibilities
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment in using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively simple workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- business performance plans
- ethical standards
- quality and continuous improvement processes and standards
- defined resource limits.
- products / services standards.

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

Resources may include:
- people
- equipment
- finance
- time
- power / energy
- technology
- information
- buildings / facilities

Customers may be internal or external, and be drawn from existing or new sources.

- **Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers. At AQF 3, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:
- manage work to achieve goals and results
- manage products / services within budget constraints
- make decisions within responsibility and authority
- use routine information appropriate to work responsibility
- monitor and improve ways to improve products / services
- promote available learning methods to assist colleagues
- use effective consultative processes
- ensure that legislation and standards are met
- develop and maintain effective communication with customers
- seek customer feedback and act on constructive advice
- treat people openly and fairly
- use simple information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | • | |
| Communicating ideas and information | | • | |
| Planning and organising activities | | • | |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | • | |
| Using technology | | • | |
| Cultural understanding | | • | |

**BSXFMI308A**          **Develop and maintain a safe workplace and environment**

**Description**

Frontline management has a key role in ensuring that the workplace meets safety requirements set down in legislation, standards and the organisation's policies and practices. While it is recognised that safety is everyone's responsibility, frontline management has an important leadership role in promoting and monitoring a safe workplace and environment.

**1          Access and share legislation, codes and standards**

    **1)**    Legislation, standards and the organisation's policies and practices relevant to the creation and maintenance of a safe workplace and environment are made available to individuals / teams.

    **2)**    Arrangements are made to provide information in a language, style and format which is understood by colleagues.

    **3)**    Individuals / teams know their legal responsibility for maintaining a safe workplace and environment.

    **4)**    The implications of an unsafe workplace and environment is clear to all within the workplace.

**2          Plan and implement safety requirements**

    **1)**    Work practices are planned with colleagues to ensue compliance with workplace and environmental legislation and standards.

    **2)**    Work practices are implemented in accordance with requirements specified in legislation and standards for safe workplaces and environments.

    **3)**    Coaching and mentoring supports colleagues in managing their rights and responsibilities.

**3          Monitor, adjust and report safety performance**

    **1)**    Actual and potential problems are identified, rectified and reported promptly and decisively to ensure workplace and environmental safety.

    **2)**    Hazards are managed so that risks are minimised.

    **3)**    Waste recycling, reduction and disposal is carried out within legislative and organisational requirements.

    **4)**    Recommendations to make improvements to comply with legislation and associated standards are submitted to designated persons / groups.

    **5)**    Individuals / teams are informed of the results of improvements in the workplace.

    **6)**    Systems, records and reporting procedures are maintained according to legislative requirements.

**4          Investigate and report non-conformance**

    **1)**    Non-conformance is investigated and dealt with according to legislative requirements.

    **2)**    Coaching and mentoring supports colleagues to acquire and apply competencies to meet legislative requirements and the associated standards.

    **3)**    Workplace practices are implemented to ensure that non-conformance is not repeated.

**Range of Variables**

At AQF 3, frontline managers will normally be engaged in a workplace context in which they:
- have some autonomy for operation
- work under limited guidance
- may have broad guidance and autonomy if working in teams
- have responsibility for others
- may have team coordination responsibilities
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment in using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively simple workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- business performance plans
- ethical standards
- quality and continuous improvement processes and standards
- defined resource limits.

They use legislation, codes and national standards relevant to the workplace, particularly those involved with workplace safety and environmental safety. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

Resources may include:
- people
- buildings / facilities
- power / energy
- information
- equipment
- finance
- technology
- time

## BSXFMI308A    Develop and maintain a safe workplace and environment

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 3, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- develop a safety conscious culture in the work area
- use routine information appropriate to work responsibility
- explain safety legislation, standards and procedures to individuals / teams
- maintain a safe workplace
- take prompt action to rectify / report non-compliance
- monitor and introduce ways to ensure safety compliance
- promote available learning methods to assist colleagues
- use simple information management systems
- select and use available technology appropriate to the task
- record / report information within legislative requirements
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | | ● | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | ● | | |
| Solving problems | | ● | |
| Using technology | | ● | |
| Cultural understanding | | ● | |

### Description

Frontline management has an active role in managing the continuous improvement process in achieving the organisation's quality objectives.  Their position, closely associated with the creation and delivery of products and services, means that they play an important part in influencing the on-going development of the organisation.

**1      Implement continuous improvement systems and processes**

**1)**     Team members are actively encouraged and supported to participate in decision making processes and to assume responsibility and authority.
**2)**     The organisation's continuous improvement processes are communicated to individuals / teams.
**3)**     Mentoring and coaching support ensures that individuals / teams are able to implement the organisation's continuous improvement processes.

**2      Monitor, adjust and report performance**

**1)**     The organisation's systems and technology are used to monitor progress and to identify ways in which planning and operations could be improved.
**2)**     Customer service is strengthened through the use of continuous improvement techniques and processes.
**3)**     Plans are adjusted and communicated to those who have a role in their development and implementation.

**3      Consolidate opportunities for further improvement**

**1)**     Individuals / teams are informed of savings and productivity improvements in achieving the business plan.
**2)**     Work performance is documented and the information is used to identify opportunities for further improvement.
**3)**     Records, reports and recommendations for improvement are managed within the organisation's systems and processes

## Range of Variables

At AQF 3, frontline managers will normally be engaged in a workplace context in which they:
- have some autonomy for operation
- work under limited guidance
- may have broad guidance and autonomy if working in teams
- have responsibility for others
- may have team coordination responsibilities
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment in using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively simple workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- business performance plans
- ethical standards
- quality and continuous improvement processes and standards
- defined resource limits.

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 3, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- explain the organisation's continuous improvement methods
- manage work to achieve goals and results
- use routine information appropriate to work responsibility
- monitor and improve ways to improve performance
- encourage ideas and feedback to improve processes
- promote available learning methods to assist colleagues
- use effective consultative processes
- use simple information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | | ● | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | | ● | |
| Solving problems | | ● | |
| Using technology | | ● | |
| Cultural understanding | | ● | |

**Description**

Frontline management has an active role in fostering change and acting as a catalyst in the implementation of change and innovation.  They have a creative role in ensuring that individuals, the team and the organisation gain from change;  and that the customer benefits through improved products and services.

**1        Participate in planning the introduction of change**

**1)**    The manager contributes effectively in the organisation's planning processes to introduce change.

**2)**    Plans to introduce change are made in consultation with designated individuals / groups.

**3)**    The organisation's objectives and plans to introduce change are explained clearly to individuals / teams.

**2        Develop creative and flexible approaches and solutions**

**1)**    Alternative approaches to managing workplace issues and problems are identified and analysed.

**2)**    Risks are assessed and action is taken to achieve a recognised benefit or advantage to the organisation.

**3)**    The workplace is managed in a way which promotes the development of innovative approaches and outcomes.

**4)**    Creative and responsive approaches to resource management improves productivity and/or reduces costs in a competitive environment.

**3        Manage emerging challenges and opportunities**

**1)**    Individuals / teams respond effectively and efficiently to changes in the organisation's goals, plans and priorities.

**2)**    Coaching and mentoring assists individuals / teams develop competencies to handle change efficiently and effectively.

**3)**    The manager uses opportunities within his or her responsibility and authority to make adjustments to respond to the changing needs of customers and the organisation.

**4)**    Individuals / teams are kept informed of progress in the implementation of change.

**5)**    Recommendations for improving the methods / techniques to manage change are negotiated with designated persons / groups.

### Range of Variables

At AQF 3, frontline managers will normally be engaged in a workplace context in which they:
- have some autonomy for operation
- work under limited guidance
- may have broad guidance and autonomy if working in teams
- have responsibility for others
- may have team coordination responsibilities
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment in using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively simple workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- business performance plans
- ethical standards
- quality and continuous improvement processes and standards
- defined resource limits.

They use legislation, codes and national standards relevant to the workplace.  A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers. At AQF 3, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work to achieve goals and results
- explain the organisation's methods to introduce change
- use routine information appropriate to work responsibility
- identify opportunities to introduce change within responsibility and authority
- monitor and introduce practices to improve performance
- promote available learning methods to assist colleagues
- use effective consultative processes
- seek feedback and act on constructive advice
- use simple information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | | ● | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | | ● | |
| Solving problems | | ● | |
| Using technology | | ● | |
| Cultural understanding | | ● | |

**Description**

Frontline management plays a prominent role in encouraging and supporting the development of a learning organisation. Promoting a learning environment is which work and learning area integrated is an important goal to be achieved.

### 1　　　　Create learning opportunities

**1)**　　Workplace environments which facilitate learning are developed and supported.
**2)**　　Learning plans are developed as an integral part of individual / team performance plans.
**3)**　　Learning plans reflect the diversity of needs and learning opportunities.
**4)**　　Individual / team access to, and participation in, learning opportunities is facilitated.
**5)**　　Negotiation with training and development specialists results in the planning and provision of learning which enhances individual, team and organisational performance.

### 2　　　　Facilitate and promote learning

**1)**　　Workplace activities are used as opportunities for learning.
**2)**　　Coaching and mentoring contributes effectively to development of workplace knowledge, skills and attitudes.
**3)**　　The benefits of learning are shared with others in the team / organisation.
**4)**　　Workplace achievement is recognised by timely and appropriate recognition, feedback and rewards.

### 3　　　　Monitor and improve learning effectiveness

**1)**　　Performance of individuals / teams is monitored to determine the type and extent of additional work based support.
**2)**　　Feedback from individuals / teams is used to identify and introduce improvements in future learning arrangements.
**3)**　　Adjustments negotiated with training and development specialists result in improvements to the efficiency and effectiveness of learning.
**4)**　　Records and reports of competency are documented and maintained within the organisation's systems and procedures.

### Range of Variables

At AQF 3, frontline managers will normally be engaged in a workplace context in which they:
- have some autonomy for operation
- work under limited guidance
- may have broad guidance and autonomy if working in teams
- have responsibility for others
- may have team coordination responsibilities
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment in using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively simple workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- business performance plans
- ethical standards
- quality and continuous improvement processes and standards
- defined resource limits.

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 3, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work to achieve goals and results
- develop links between work and learning
- explain basic principles of adult learning
- use routine information appropriate to work responsibility
- monitor and introduce ways for people to develop knowledge and skills
- provide coaching and mentoring support
- encourage colleagues to share their knowledge and skills
- promote available learning methods to assist colleagues
- use simple information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | • | |
| Communicating ideas and information | | • | |
| Planning and organising activities | | • | |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | • | |
| Using technology | | • | |
| Cultural understanding | | • | |

### Description

Frontline management is responsible for managing their own performance and taking responsibility for their professional development within the context of the organisation

| 1 | **Manage self** |

**1)** Personal qualities and performance serve as a role model in the workplace.
**2)** Personal goals and plans reflect the organisation's plans, personal plans, responsibilities and accountabilities.
**3)** Action is taken to achieve and extend personal goals beyond those planned.
**4)** Consistent personal performance is maintained in varying work conditions and work contexts.

| 2 | **Set and meet own work priorities** |

**1)** Competing demands are prioritised to achieve personal, team and the organisation's goals and objectives.
**2)** Technology is used efficiently and effectively to manage work priorities and commitments.

| 3 | **Develop and maintain professional competence** |

**1)** Personal knowledge and skills are assessed against competency standards to determine development needs and professional priorities.
**2)** Feedback from clients and colleagues is used to identify and develop ways to improve competence.
**3)** Management development opportunities suitable to personal learning style(s) are selected and used to develop competence.
**4)** Participation in professional networks and associations enhance personal knowledge, skills and relationships.
**5)** New skills are identified and developed to achieve and maintain a competitive edge.

### Range of Variables

At AQF 4, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under general guidance on progress and outcomes
- may supervise others
- may guide or facilitate teams
- have responsibility for, and limited organisation of work of others
- apply knowledge with depth in some areas
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively diverse workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- quality and continuous improvement processes and standards
- processes and standards
- business and performance plans
- defined resource parameters
- ethical standards.

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

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**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 4, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- operate in diverse work environments and contexts
- acquire and use information appropriate to work responsibility
- manage competing priorities to achieve personal and organisation goals and results
- make decisions within responsibility and authority
- develop a clear set of work goals
- monitor and introduce practices to improve own performance
- develop competencies which enable increased participation in the planning and development of the organisation
- assess own performance
- plan learning activities and negotiate priorities
- seek feedback and act on constructive advice
- select and use available learning methods to maintain current competence
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | | ● | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | ● | | |
| Solving problems | | ● | |
| Using technology | | ● | |
| Cultural understanding | | ● | |

**Description**

Frontline management has an important leadership role in the development of the organisation.  This will be most evident in the manner in which they conduct themselves, the initiative which they take in influencing others, and the way they manage their responsibilities.

**1        Model high standards of management performance**

    **1)**    Performance meets the organisation's requirements.
    **2)**    Performance serves as positive role model for others.
    **3)**    Performance plans are developed and implemented in accordance with the organisation's goals and objectives.
    **4)**    Key performance indicators are developed within the team's / organisation's business plans.

**2        Enhance the organisation's image**

    **1)**    The organisation's standards and values are used in conducting business.
    **2)**    Standards and values considered to be damaging to organisation are questioned through established communication channels.
    **3)**    Personal performance contributes to developing an organisation which has integrity and credibility.

**3        Influence individuals and teams positively**

    **1)**    Expectations, roles and responsibilities are communicated in a way which encourages individuals / teams to take responsibility for their work.
    **2)**    Individual's / team's efforts and contributions are encouraged, valued and rewarded.
    **3)**    Ideas and information receive the acceptance and support of colleagues..

**4        Make informed decisions**

    **1)**    Information relevant to the issue(s) under consideration is gathered and organised.
    **2)**    Individuals / teams participate actively in the decision making processes.
    **3)**    Options are examined and their associated risks assessed to determine preferred course(s) of action.
    **4)**    Decisions are timely and communicated clearly to individuals / teams.
    **5)**    Plans to implement decisions are prepared and agreed by relevant individuals teams.
    **6)**    Feedback processes are used effectively to monitor the implementation and impact of decisions.

## Range of Variables

At AQF 4, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under general guidance on progress and outcomes
- may supervise others
- may guide or facilitate teams
- have responsibility for, and limited organisation of work of others
- apply knowledge with depth in some areas
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively diverse workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- quality and continuous improvement processes and standards
- business and performance plans
- defined resource parameters
- ethical standards.

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 4, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- achieve planned results
- acquire and use information appropriate to work responsibility
- make decisions within responsibility and authority
- explain the organisation's goals, values and objectives
- establish and monitor Key Performance Indicators for individuals / teams
- manage work effectively to achieve goals and results
- monitor and introduce practices to improve performance
- operate effectively in diverse work environments and contexts
- use modern management techniques in work performance
- use effective consultative processes
- communicate routine and non-routine information clearly to senior managers, peers and subordinates
- promote available learning methods to support colleagues' competency
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | • | |
| Communicating ideas and information | | • | |
| Planning and organising activities | | • | |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | • | | |
| Solving problems | | • | |
| Using technology | • | | |
| Cultural understanding | | • | |

**BSXFMI403A**        **Establish and manage effective workplace relationships**

**Description**

Frontline management plays an important role in developing and maintaining positive relationships in internal and external environments so that customers, suppliers and the organisation achieve planned outputs / outcomes.

**1        Gather, convey and receive information and ideas**

    **1)**    Information to achieve work responsibilities is collected from appropriate sources.
    **2)**    The method(s) used to communicate ideas and information is appropriate to the audience.
    **3)**    Communication takes into account social and cultural diversity.
    **4)**    Input from internal and external sources is sought, and valued in developing and refining new ideas and approaches.

**2        Develop trust and confidence**

    **1)**    People are treated with integrity, respect and empathy.
    **2)**    The organisation's social, ethical and business standards are used to develop and maintain positive relationships.
    **3)**    Trust and confidence of colleagues, customers and suppliers is gained and maintained through competent performance.
    **4)**    Interpersonal styles and methods are adjusted to the social and cultural environment.

**3        Build and maintain networks and relationships**

    **1)**    Networking is used to identify and build relationships.
    **2)**    Networks and other work relationships provide identifiable benefits for the team and organisation

**4        Manage difficulties to achieve positive outcomes**

    **1)**    Problems are identified and analysed, and action is taken to rectify the situation with minimal disruption to performance.
    **2)**    Colleagues receive guidance and support to resolve their work difficulties.
    **3)**    Continued poor performance is managed within the organisation's processes.
    **4)**    Difficult situations are negotiated to achieve results acceptable to the participants, and which meet organisation's and legislative requirements.

### Range of Variables

At AQF 4, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under general guidance on progress and outcomes
- may supervise others
- may guide or facilitate teams
- have responsibility for, and limited organisation of work of others
- apply knowledge with depth in some areas
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively diverse workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- quality and continuous improvement processes and standards
- business and performance plans
- defined resource parameters
- ethical standards.

They use legislation, codes and national standards relevant to the workplace.  A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

Customers and suppliers may be internal or external, or drawn from existing or new sources.

## BSXFMI403A   Establish and manage effective workplace relationships

### Evidence Guide

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 4, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- use information appropriate to work responsibility
- manage relationships effectively to achieve goals / results
- monitor and introduce ways to improve work relationships
- perform in a way which strengthens and reinforces relationships
- develop effective relationships in internal and external environments
- communicate clearly and concisely
- respond effectively to unexpected demands from a range of sources
- provide honest and constructive feedback
- use effective consultative processes
- encourage contrary views to be submitted and discussed
- treat people openly and fairly
- develop constructive responses when confronted with problems and difficulties
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

### Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | • | |
| Communicating ideas and information | | • | |
| Planning and organising activities | | • | |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | • | | |
| Solving problems | | • | |
| Using technology | • | | |
| Cultural understanding | | • | |

**Description**

Frontline management has a key role in leading, participating in, facilitating and empowering work teams / groups within the context of the organisation.  They play a prominent part in motivating, mentoring, coaching and developing team members, and in achieving team cohesion.


**1          Participate in team planning**

      **1)**      The team establishes clearly defined purposes, roles, responsibilities and accountabilities within the organisation's goals and objectives.

      **2)**      The team performance plan contributes to the organisation's business plan, policies and practices.

      **3)**      The team agrees to processes to monitor and adjust its performance within the organisation's continuous improvement policies.

      **4)**      The team includes in its plans ways in which it can benefit from the diversity of its membership


**2          Develop team commitment and cooperation**

      **1)**      The team uses open communication processes to obtain and share information.

      **2)**      The team encourages and exploits innovation and initiative.

      **3)**      Support is provided to the team to develop mutual concern and camaraderie.


**3          Manage and develop team performance**

      **1)**      The team is supported in making decisions within its agreed roles and responsibilities.

      **2)**      The results achieved by the team contribute positively to the organisation's business plans.

      **3)**      Team and individual competencies are monitored regularly to confirm that the team, is able to achieve its goals.

      **4)**      Mentoring and coaching supports team members to enhance their knowledge and skills.

      **5)**      Delegates' performance is monitored to confirm that they have completed their delegation / assignment

**4          Participate in and facilitate the work team**

      **1)**      Team effectiveness is encouraged and enhanced through active participation in team activities and communication processes.

      **2)**      Individuals and teams are actively encouraged to take individual and joint responsibility for their actions.

      **3)**      The team receives support to identify and resolve problems which impede its performance.

**Range of Variables**

At AQF 4, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under general guidance on progress and outcomes
- may supervise others
- may guide or facilitate teams
- have responsibility for, and limited organisation of work of others
- apply knowledge with depth in some areas
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively diverse workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- quality and continuous improvement processes and standards
- business and performance plans
- defined resource parameters
- ethical standards.

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

Teams may be one or a mixture of:
- on-going
- work-based
- project-based
- cross-functional

Teams may include:
- full time employees
- contractors
- part time employees

Frontline management roles in teams may include:
- leader
- facilitator
- participant
- coach
- mentor.

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 4, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- acquire and use information appropriate to work responsibility
- establish among teams a commitment to the organisation's goals, values and plans
- manage work effectively to achieve goals and results
- provide clear direction in devolving responsibility and accountability
- provide constructive feedback to delegates
- monitor and introduce practices to improve team performance
- work effectively with team members who have diverse work styles, aspirations, cultures and perspectives
- use effective consultative processes
- encourage teams to openly propose, discuss and resolve issues
- deal with conflict before it adversely affects team performance
- treat people openly and fairly
- support team to share knowledge and skills
- seek feedback and act on constructive advice
- promote available learning methods to support team
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | • | |
| Communicating ideas and information | | • | |
| Planning and organising activities | • | | • |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | • | | |
| Solving problems | | | • |
| Using technology | • | | |
| Cultural understanding | | | • |

**Description**

Frontline management is actively engaged in planning, implementing, monitoring and recording performance to achieve the business plans of the team / organisation.  This pivotal role is carried out to create safe, efficient and effective products and services to customer satisfaction within the organisation's productivity and profitability plans.

**1          Plan resource use to achieve profit / productivity targets**

     **1)**     Resource information for use in operational plans is collected, analysed and organised in consultation with colleagues and specialist resource managers.

     **2)**     Operational plans contribute to the achievement of the organisation's performance / business plan.

     **3)**     Operational plans identify available resources, taking into account customer needs and the organisation's plans.

     **4)**     Contingency pans are prepared in the event that initial plans need to be varied.

**2          Acquire resources to achieve operational plan**

     **1)**     Employees are recruited and inducted within the organisation's human resource management policies and practices.

     **2)**     Physical resources and services are acquired in accord with the organisation's practices and procedures.

**3          Monitor operational performance**

     **1)**     Performance systems and processes are monitored to assess progress in achieving profit / productivity plans and targets.

     **2)**     Budget and actual financial information is analysed and interpreted to monitor profit / productivity performance.

     **3)**     Unsatisfactory performance is identified and prompt action is taken to rectify the situation.

     **4)**     Recommendations for variation to operational plans are negotiated and approved by the designated persons / groups.

**4          Monitor resource usage**

     **1)**     Systems and processes are monitored to establish whether resources are being used as planned.

     **2)**     Problems with resource usage are investigated and rectified and/or reported to designated persons / groups.

     **3)**     Mentoring and coaching is provided to support individuals / teams who have difficulties in using resources to the required standard.

     **4)**     Systems, procedures and records associated with documenting resource acquisition and usage are managed in accordance with the organisation's requirements.

**Range of Variables**

At AQF 4, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under general guidance on progress and outcomes
- may supervise others
- may guide or facilitate teams
- have responsibility for, and limited organisation of work of others
- apply knowledge with depth in some areas
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively diverse workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- quality and continuous improvement processes and standards
- business performance plans
- defined resource parameters
- ethical standards.

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

Resources may include:
- people
- power / energy
- information
- finance
- buildings / facilities
- time
- equipment
- technology

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 4, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work effectively to achieve goals and results
- acquire and use information appropriate to responsibility
- make decisions within responsibility and authority
- participate effectively in wider organisational processes which have an effect on operational performance
- organise and use resources to achieve business plans
- provide input to the organisation's planning processes
- eliminate/minimise resource inefficiencies and waste
- create products / services which are safe for customer use
- develop alternative approaches to improve resource use
- ensure that legislative requirements are met in work operations
- prepare and negotiate recommendations to change operations
- use effective consultative processes
- seek feedback and act on constructive advice
- promote available learning methods to assist colleagues
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | • | |
| Communicating ideas and information | | • | |
| Planning and organising activities | | | • |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | • | | |
| Solving problems | | | • |
| Using technology | • | | |
| Cultural understanding | | | • |

**Description**

Frontline management is an important creator and manager of information.  Their competency in identifying, acquiring, analysing and using appropriate information plays a significant part in the efficiency and effectiveness of the individual's / team's / organisation's performance.

**1          Identify and source information needs**

    **1)**     The information needs of individuals / teams is determined and the sources are identified.

    **2)**     Information held by the organisation is reviewed to determine suitability and accessibility.

    **3)**     Plans are prepared to obtain information which is not available / accessible within the organisation.

**2          Collect, analyse and report information**

    **1)**     Collection of information is timely and relevant to the needs of individuals / teams.

    **2)**     Information is in a format suitable for analysis, interpretation and dissemination.

    **3)**     Information is analyses to identify and report relevant trends and developments in terms of the needs for which it was acquired

**3          Use management information systems**

    **1)**     Management information systems are used effectively to store and retrieve data for decision making.

    **2)**     Technology available in the work area  / organisation is used to manage information efficiently and effectively.

    **3)**     Recommendations for improving the information system are submitted to designated persons / groups.

**4          Prepare business plan / budgets**

    **1)**     Individuals / teams are involved in business plans / budget preparation in a way which uses their contribution effectively and gains their support for the outcomes.

    **2)**     Business plans / budgets are prepared and presented in accordance with the organisation's guidelines and requirements.

    **3)**     Contingency plans are prepared in the event that alternative action is required.

**5          Prepare resource proposals**

    **1)**     Resource planning data is collected in consultation with colleagues, including those who have a specialist role in resource management.

    **2)**     Estimates of resource needs and utilisation reflects the organisation's business plans, and customer and supplier requirements.

    **3)**     Proposals to secure resources are supported by clearly presented submission describing realistic options, benefits, costs and outcomes

### Range of Variables

At AQF 4, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under general guidance on progress and outcomes
- may supervise others
- may guide or facilitate teams
- have responsibility for, and limited organisation of work of others
- apply knowledge with depth in some areas
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively diverse workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- quality and continuous improvement processes and standards
- business performance plans
- defined resource parameters
- ethical standards.

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

Resources may include:
- people
- power / energy
- information
- finance
- buildings / facilities
- time
- equipment
- technology.

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers. At AQF 4, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work effectively to achieve goals and results
- acquire and use information appropriate to work responsibility
- make decisions within responsibility and authority
- monitor and improve ways to manage information
- explain basic financial concepts in business plans / budgets
- prepare basic financial information within standard format
- prepare resource proposals within budget constraints
- prepare and negotiate recommendations to improve the organisation's information systems
- ensure that legislative requirements are met in plans
- promote available learning methods to support colleagues
- use effective consultative processes
- communicate with colleagues who have specialist responsibilities in financial and resource management
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | • | |
| Using technology | | • | |
| Cultural understanding | | • | |

**Description**

Frontline management is involved in ensuring that products and services are delivered and maintained to standards agreed by the organisation and the customer.  This will be carried out in the context of the organisation's policies and practices as well as legislation, conventions and codes of practice.

**1        Plan to meet internal and external customer requirements**

   **1)**    The needs of customers are researched, understood, and assessed, and included in the planning process
   **2)**    Provision is made in plans to achieve the quality, time and cost specifications agreed with customers.

**2        Ensure delivery of quality products / services**

   **1)**    Products / services are delivered to customer specifications within the team's / organisation's business plan.
   **2)**    Individual / team performance consistently meets quality, safety, resource and delivery standards.
   **3)**    Coaching and mentoring assists colleagues overcome difficulty in meeting customer service standards.

**3        Monitor, adjust and report customer service**

   **1)**    The organisation's systems and technology are used to monitor progress in achieving product / service targets and standards.
   **2)**    Customer feedback is sought and used to improve the provision of products / services.
   **3)**    Resources are used effectively and efficiently to provide quality products / services to customers.
   **4)**    Decisions to overcome problems with products / services are taken in consultation with designated individuals / groups.
   **5)**    Adjustments are made to products / services, and those who have a role in their planning and delivery are informed of changes.
   **6)**    Records, reports and recommendations are managed within the organisation's systems and processes.

### Range of Variables

At AQF 4, frontline managers will normally be engaged in a workplace context in which they:
*   are autonomous, working under general guidance on progress and outcomes
*   may supervise others
*   may guide or facilitate teams
*   have responsibility for, and limited organisation of work of others
*   apply knowledge with depth in some areas
*   apply a broad range of skills to a range of tasks / roles
*   operate in a variety of workplace contexts
*   are involved in some complexity in the choice of actions
*   use competencies within routines, methods and procedures
*   use some discretion and judgment for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively diverse workplace environment in which they use the organisation's:
*   goals, objectives, plans, systems and processes
*   access and equity principles and practices
*   quality and continuous improvement processes and standards
*   business performance plans
*   defined resource parameters
*   ethical standards.

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
*   mentoring
*   action learning
*   coaching
*   shadowing
*   exchange / rotation
*   structured training programs.

Resources may include:
*   people
*   buildings / facilities
*   power / energy
*   information
*   equipment
*   finance
*   technology
*   time

Customers may be internal or external, or drawn from existing or new sources.

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 4, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work effectively to achieve goals and results
- manage products / services within budget constraints
- make decisions within responsibility and authority
- acquire and use information appropriate to work responsibility
- monitor and introduce ways to improve products / services
- use effective consultative processes
- ensure that legislation and standards are met
- develop and maintain effective communications with customers
- seek customer feedback and act on constructive advice
- treat people openly and fairly
- promote available learning methods to enable colleagues to maintain current competence
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | • | |
| Using technology | | • | |
| Cultural understanding | | • | |

**BSXFMI408A         Develop and maintain a safe workplace and environment**

**Description**

Frontline management has a key role in ensuring that the workplace meets safety requirements set down in legislation, standards and the organisation's policies and practices. While it is recognised that safety is everyone's responsibility, frontline management has an important leadership role in promoting and monitoring a safe workplace and environment.

**1         Access and share legislation, codes and standards**

**1)**   Legislation, standards and the organisation's policies and practices relevant to the creation and maintenance of a safe workplace and environment are made available to individuals / teams.
**2)**   Arrangements are made to provide information in a language, style and format which is understood by colleagues.
**3)**   Individuals / teams know their legal responsibility for maintaining a safe workplace and environment.
**4)**   The implications of an unsafe workplace and environment is clear to all within the workplace.

**2         Plan and implement safety requirements**

**1)**   Work practices are planned with colleagues to ensue compliance with workplace and environmental legislation and standards.
**2)**   Work practices are implemented in accordance with requirements specified in legislation and standards for safe workplaces and environments.
**3)**   Coaching and mentoring supports colleagues in managing their rights and responsibilities.

**3         Monitor, adjust and report safety performance**

**1)**   Actual and potential problems are identified, rectified and reported promptly and decisively to ensure workplace and environmental safety.
**2)**   Hazards are managed so that risks are minimised.
**3)**   Waste recycling, reduction and disposal is carried out within legislative and organisational requirements.
**4)**   Recommendations to make improvements to comply with legislation and associated standards are submitted to designated persons / groups.
**5)**   Individuals / teams are informed of the results of improvements in the workplace.
**6)**   Systems, records and reporting procedures are maintained according to legislative requirements

**4         Investigate and report non-conformance**

**1)**   Non-conformance is investigated and dealt with according to legislative requirements.
**2)**   Coaching and mentoring supports colleagues to acquire and apply competencies to meet legislative requirements and the associated standards.
**3)**   Workplace practices are implemented to ensure that non-conformance is not repeated.

**Range of Variables**

At AQF 4, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under general guidance on progress and outcomes
- may supervise others
- may guide or facilitate teams
- have responsibility for, and limited organisation of work of others
- apply knowledge with depth in some areas
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively diverse workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- quality and continuous improvement processes and standards
- business performance plans
- defined resource parameters
- ethical standards.

They use legislation, codes and national standards relevant to the workplace, particularly those involved with workplace safety and environmental safety.  A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

Resources may include:
- people
- buildings / facilities
- power / energy
- information
- equipment
- finance
- technology
- time

**BSXFMI408A    Develop and maintain a safe workplace and environment**

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 4, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- develop and promote a safety conscious culture in workplace
- provide a model to others in working safely
- acquire and use information appropriate to work responsibility
- manage work effectively to achieve goals and results
- explain safety legislation, standards and procedures
- maintain a safe workplace
- take prompt action to rectify / report non-compliance
- prepare and negotiate recommendations to improve safety
- monitor and introduce practices to ensure safety compliance
- promote available learning methods to support colleagues
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | ● |
| Communicating ideas and information | | | ● |
| Planning and organising activities | | | ● |
| Working with others in teams | | | ● |
| Using mathematical ideas and techniques | ● | | |
| Solving problems | | ● | |
| Using technology | | ● | |
| Cultural understanding | | | ● |

**Description**

Frontline management has an active role in managing the continuous improvement process in achieving the organisation's quality objectives.  Their position, closely associated with the creation and delivery of products and services, means that they play an important part in influencing the on-going development of the organisation.

**1          Implement continuous improvement systems and processes**

**1)**     Team members are actively encouraged and supported to participate in decision making processes and to assume responsibility and authority.
**2)**     The organisation's continuous improvement processes are communicated to individuals / teams.
**3)**     Mentoring and coaching support ensures that individuals / teams are able to implement the organisation's continuous improvement processes.

**2          Monitor, adjust and report performance**

**1)**     The organisation's systems and technology are used to monitor progress and to identify ways in which planning and operations could be improved.
**2)**     Customer service is strengthened through the use of continuous improvement techniques and processes.
**3)**     Plans are adjusted and communicated to those who have a role in their development and implementation.

**3          Consolidate opportunities for further improvement**

**1)**     Individuals / teams are informed of savings and productivity improvements in achieving the business plan.
**2)**     Work performance is documented and the information is used to identify opportunities for further improvement.
**3)**     Records, reports and recommendations for improvement are managed within the organisation's systems and processes

## Range of Variables

At AQF 4, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under general guidance on progress and outcomes
- may supervise others
- may guide or facilitate teams
- have responsibility for, and limited organisation of work of others
- apply knowledge with depth in some areas
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively diverse workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- quality and continuous improvement processes and standards
- business performance plans
- defined resource parameters
- ethical standards.

They use legislation, codes and national standards relevant to the workplace.  A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

Resources may include:
- people
- buildings / facilities
- power / energy
- information
- equipment
- finance
- technology
- time.

**BSXFMI409A**                    **Implement and monitor continuous improvement systems and processes**

## Evidence Guide

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers. At AQF 4, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work effectively to achieve goals and results
- explain the organisation's continuous improvement methods
- acquire and use information appropriate to work responsibility
- provide leadership to colleagues in the implementation of continuous improvement processes
- monitor and introduce ways to improve performance
- encourage ideas and feedback to improve processes
- prepare and negotiate recommendations to improve the continuous improvement processes
- gain the commitment of individuals / teams to continuous improvement principles and practices
- use effective consultative processes
- promote available learning methods
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | • | |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | • | |
| Using technology | | • | |
| Cultural understanding | | • | |

**BSXFMI410A**            **Facilitate and capitalise on change and innovation**

**Description**

Frontline management has an active role in fostering change and acting as a catalyst in the implementation of change and innovation. They have a creative role in ensuring that individuals, the team and the organisation gain from change; and that the customer benefits through improved products and services.

### 1        Participate in planning the introduction of change

**1)**    The manager contributes effectively in the organisation's planning processes to introduce change.
**2)**    Plans to introduce change are made in consultation with designated individuals / groups.
**3)**    The organisation's objectives and plans to introduce change are explained clearly to individuals / teams.

### 2        Develop creative and flexible approaches and solutions

**1)**    Alternative approaches to managing workplace issues and problems are identified and analysed.
**2)**    Risks are assessed and action is taken to achieve a recognised benefit or advantage to the organisation.
**3)**    The workplace is managed in a way which promotes the development of innovative approaches and outcomes.
**4)**    Creative and responsive approaches to resource management improves productivity and/or reduces costs in a competitive environment.

### 3        Manage emerging challenges and opportunities

**1)**    Individuals / teams respond effectively and efficiently to changes in the organisation's goals, plans and priorities.
**2)**    Coaching and mentoring assists individuals / teams develop competencies to handle change efficiently and effectively.
**3)**    The manager uses opportunities within his or her responsibility and authority to make adjustments to respond to the changing needs of customers and the organisation.
**4)**    Individuals / teams are kept informed of progress in the implementation of change.
**5)**    Recommendations for improving the methods / techniques to manage change are negotiated with designated persons / groups.

**Range of Variables**

At AQF 4, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under general guidance on progress and outcomes
- may supervise others
- may guide or facilitate teams
- have responsibility for, and limited organisation of work of others
- apply knowledge with depth in some areas
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively diverse workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- quality and continuous improvement processes and standards
- business performance plans
- defined resource parameters
- ethical standards.

They use legislation, codes and national standards relevant to the workplace.  A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

Resources may include:
- people
- buildings / facilities
- power / energy
- information
- equipment
- finance
- technology
- time

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 4, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work effectively to achieve goals and results
- explain the organisation's methods to introduce change
- acquire and use information appropriate to work responsibility
- identify opportunities to introduce change within responsibility and authority
- draw on the diversity of workplace to assist the organisation to benefit from change
- monitor trends in the external environment to develop and maintain a competitive edge
- monitor and introduce practices to improve performance
- use effective consultation processes
- seek feedback and act on constructive advice
- promote available learning methods to support colleagues
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | ● |
| Communicating ideas and information | | | ● |
| Planning and organising activities | | ● | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | | ● | |
| Solving problems | | ● | |
| Using technology | | ● | |
| Cultural understanding | | ● | |

**Description**

Frontline management plays a prominent role in encouraging and supporting the development of a learning organisation.  Promoting a learning environment is which work and learning area integrated is an important goal to be achieved.

### 1        Create learning opportunities

**1)**     Workplace environments which facilitate learning are developed and supported.
**2)**     Learning plans are developed as an integral part of individual / team performance plans.
**3)**     Learning plans reflect the diversity of needs and learning opportunities.
**4)**     Individual / team access to, and participation in, learning opportunities is facilitated.
**5)**     Negotiation with training and development specialists results in the planning and provision of learning which enhances individual, team and organisational performance.

### 2        Facilitate and promote learning

**1)**     Workplace activities are used as opportunities for learning.
**2)**     Coaching and mentoring contributes effectively to development of workplace knowledge, skills and attitudes.
**3)**     The benefits of learning are shared with others in the team / organisation.
**4)**     Workplace achievement is recognised by timely and appropriate recognition, feedback and rewards

### 3        Monitor and improve learning effectiveness

**1)**     Performance of individuals / teams is monitored to determine the type and extent of additional work based support.
**2)**     Feedback from individuals / teams is used to identify and introduce improvements in future learning arrangements.
**3)**     Adjustments negotiated with training and development specialists result in improvements to the efficiency and effectiveness of learning.
**4)**     Records and reports of competency are documented and maintained within the organisation's systems and procedures.

## Range of Variables

At AQF 4, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under general guidance on progress and outcomes
- may supervise others
- may guide or facilitate teams
- have responsibility for, and limited organisation of work of others
- apply knowledge with depth in some areas
- apply a broad range of skills to a range of tasks / roles
- operate in a variety of workplace contexts
- are involved in some complexity in the choice of actions
- use competencies within routines, methods and procedures
- use some discretion and judgment for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers normally operate in a relatively diverse workplace environment in which they use the organisation's:
- goals, objectives, plans, systems and processes
- access and equity principles and practices
- quality and continuous improvement processes and standards
- business performance plans
- defined resource parameters
- ethical standards.

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange / rotation
- structured training programs.

**Evidence Guide**

This guideline is to assist the development of assessment instruments / tools to assess the competence of frontline managers.  At AQF 4, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- promote a learning culture
- manage work effectively to achieve goals and results
- explain basic principles of adult learning
- develop links between work and learning
- use coaching and mentoring to assist knowledge / skill formation
- monitor and introduce ways for people to develop knowledge and skills
- facilitate opportunities for learning
- encourage colleagues to share their knowledge and skills
- create opportunities for individuals / teals to learn from workplace performance
- negotiate with training and development specialists individual / team learning needs
- provide the opportunity for off-the-job learning to be applied in workplace
- promote available learning methods to support colleages
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|:---:|:---:|:---:|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | • | | |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | • | |
| Using technology | | • | |
| Cultural understanding | | • | |

## BSXFMI501A   Manage personal work priorities and professional development

### Description

Frontline Management is responsible for managing their own performance and taking responsibility for their professional development within the context of the organisation.

**1        Manage Self**

1)  Personal qualities and performance serve as a role model in the workplace
2)  Personal goals and plans reflect the organisation's plans, personal plans, responsibilities and accountabilities
3)  Action is taken to achieve and extend personal goals beyond those planned
4)  Consistent personal performance is maintained in varying work conditions and contexts.

**2        Set and meet own work priorities**

1)  Competing demands are prioritised to achieve personal, team and the organisation's  goals and objectives

**3        Develop and maintain professional competence**

1)  Personal knowledge and skills are assessed against competency standards to determine development needs and priorities
2)  Feedback from clients and colleagues is used to identify and develop ways to improve competence.
3)  Management development opportunities suitable to personal learning style(s) are selected and used to develop competence.
4)  Participation in professional networks and associations enhances personal knowledge, skills and relationships.
5)  New skills are identified and developed to achieve and maintain a competitive edge.

# Manage personal work priorities and professional development   BSXFMI501A

## Range of Variables

At AQF 5, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under broad guidance
- may supervise others
- may guide teams
- may have responsibility for planning and managing the work of others
- will be involved in self directed application of knowledge
- have substantial depth of knowledge in some area and a range of skills for work tasks, roles and functions
- operate in varied or highly specific contexts
- use competencies independently for routine and non-routine purposes
- use judgement for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers at AQF 5 will normally operate in a diverse and complex workplace environments in which they use the organisation's:
- goals, objectives, plans systems and processes
- quality and continuous improvement processes and standards
- business and performance plans
- resources, which may be subject to negotiation
- ethical standards

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange/rotation
- structured training programs

## BSXFMI501A   Manage personal work priorities and professional development

### Evidence Guide

This guideline is to assist the development of assessment instruments/tools to assess the competence of frontline management. At AQF 5, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage effectively in diverse and complex work environments
- research, acquire and use information appropriate to work responsibility
- manage competing priorities to achieve personal and organisational goals and results
- make decisions within responsibility and authority
- develop a clear set of work goals
- integrate culturally diverse viewpoints into own values system
- monitor and introduce practices to improve own performance
- develop competencies which enable increased participation in the planning and development of the organisation
- assess own performance
- plan learning activities and negotiate priorities
- seek feedback and act on constructive advice
- develop constructive responses when confronted with problems
- select and use available learning methods to maintain current competence
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table).

### Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | • | | |
| Solving problems | | | • |
| Using technology | | • | |
| Cultural understanding | | | • |

**Description**

Frontline Management has an important leadership role in the development of the organisation. This will be most evident in the manner in which they conduct themselves, the initiative which they take in influencing others, and the way they manage their responsibilities

**1       Model high standards of management performance**

**1)**     Performance meets the organisations' requirements
**2)**     Performance serves as a positive role model for others
**3)**     Performance plans are developed and implemented in accordance with the organisation's goals and objectives
**4)**     Key performance indicators are developed within the team's/organisation's business plans

**2       Enhance the organisation's image**

**1)**     The organisation's standards and values are used in conducting business
**2)**     Standards and values considered to be damaging to organisation are questioned through established communication channels
**3)**     Personal performance contributes to developing an organisation which has integrity and credibility.

**3       Influence individuals and teams positively**

**1)**     Expectations, roles and responsibilities are communicated in a way which encourages individuals/teams to take responsibility for their work.
**2)**     Individual's/teams efforts and contributions are encouraged, valued and rewarded.
**3)**     Ideas and information receive the acceptance and support of colleagues.

**4       Make informed decisions**

**1)**     Information relevant to the issue(s) under consideration is gathered and organised.
**2)**     Individual's/teams participate actively in the decision making processes.
**3)**     Options are examined and their associated risks assessed to determine preferred course(s) of action.
**4)**     Decisions are timely and communicated clearly to individuals /teams
**5)**     Plans to implement decisions are prepared and agreed by relevant individuals/teams
**6)**     Feedback processes are used effectively to monitor the implementation and impact of decisions.

### Range of Variables

At AQF 5, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under broad guidance
- may supervise others
- may guide teams
- may have responsibility for planning and managing the work of others
- will be involved in self directed application of knowledge
- have substantial depth of knowledge in some area and a range of skills for work tasks, roles and functions
- operate in varied or highly specific contexts
- use competencies independently for routine and non-routine purposes
- use judgement for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers at AQF 5 will normally operate in a diverse and complex workplace environments in which they use the organisation's:
- goals, objectives, plans systems and processes
- quality and continuous improvement processes and standards
- business and performance plans
- resources, which may be subject to negotiation
- ethical standards

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange/rotation
- structured training programs

**Evidence Guide**

This guideline is to assist the development of assessment instruments/tools to assess the competence of frontline management. At AQF 5, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage effectively in diverse and complex work environments
- achieve planned results
- research, acquire and use information appropriate to work responsibility
- make decisions within responsibility and authority
- explain the organisation's goals values and responsibilities
- negotiate, establish and monitor Key Performance Indicators for individuals/teams
- manage work effectively to achieve goals and results
- monitor and introduce practices to improve performance
- use modern management techniques in work performance
- contribute to the organisation's standards and values
- use effective consultative processes
- communicate routine and non-routine information clearly to senior managers, peers and subordinates
- promote available learning methods to support colleagues competence
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table)

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | • | | |
| Solving problems | | | • |
| Using technology | | • | |
| Cultural understanding | | | • |

## BSXFMI503A        Establish and manage effective workplace relationships

**Description**

Frontline Management plays and important role in developing and maintaining positive relationships in internal and external environments so that customers, suppliers and the organisation achieve planned outcomes.

**1        Gather, convey and receive information and ideas**

**1)**        Information to achieve work responsibilities is collected from appropriate sources
**2)**        The method used to communicate ideas and information is appropriate to the the audience
**3)**        Communication takes into account social and cultural diversity.
**4)**        Input from internal and external consultants is sought, and valued in developing and refining new ideas and approaches

**2        Develop trust and confidence**

**1)**        People are treated with integrity, respect and empathy.
**2)**        The organisation's  social, ethical and business standards are used to develop and maintain positive relationships.
**3)**        Trust and confidence of colleagues, customers and suppliers is gained and maintained through competent performance.
**4)**        Interpersonal styles and methods are adjusted to the social and cultural environment.

**3        Build and maintain networks and relationships**

**1)**        Networking is used to identify and build relationships
**2)**        Networks and other relationships provide identifiable benefits for the team and organisation

**4        Manage difficulties to achieve positive outcomes**

**1)**        Problems are identified and analysed, and action is taken to rectify the situation with minimal disruption to performance.
**2)**        Colleagues receive guidance and support to resolve their work difficulties.
**3)**        Continued poor performance is managed within the organisation's processes.
**4)**        Difficult situations are negotiated to achieve results acceptable to the participants, and which meet organisation's and legislative requirements.

### Range of Variables

At AQF 5, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under broad guidance
- may supervise others
- may guide teams
- may have responsibility for planning and managing the work of others
- will be involved in self directed application of knowledge
- have substantial depth of knowledge in some area and a range of skills for work tasks, roles and functions
- operate in varied or highly specific contexts
- use competencies independently for routine and non-routine purposes
- use judgement for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers at AQF 5 will normally operate in a diverse and complex workplace environments in which they use the organisation's:
- goals, objectives, plans systems and processes
- quality and continuous improvement processes and standards
- business and performance plans
- resources, which may be subject to negotiation
- ethical standards

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange/rotation
- structured training programs

Customers and suppliers may be internal or external, or drawn from existing or new sources.

## BSXFMI503A      Establish and manage effective workplace relationships

**Evidence Guide**

This guideline is to assist the development of assessment instruments/tools to assess the competence of frontline management. At AQF 5, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage relationships effectively to achieve goals/results
- research, acquire and use information appropriate to work responsibility
- monitor and introduce ways to improve work relationships in a diverse and complex workplace
- perform in a way which strengthens and reinforces relationships
- develop effective relationships in diverse internal and external environments
- mix confidently with a broad range of people
- communicate clearly and concisely
- respond effectively to unexpected demands from a range of sources
- provide honest and constructive feedback
- use effective consultative processes
- encourage contrary views to be submitted and discussed
- treat people openly and fairly
- contribute to the removal of discrimination/bias in the workplace
- develop constructive responses when confronted with problems and difficulties
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table)

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | |
| Using mathematical ideas and techniques | • | | |
| Solving problems | | | • |
| Using technology | | • | |
| Cultural understanding | | | • |

**Description**

Frontline Management has a key role in leading, participating in, facilitating and empowering work teams/groups within the context of the organisation. They play a prominent part in motivating, mentoring, coaching and developing team members, and in achieving team cohesion.

**1          Participate in team planning**

1) The team establishes clearly defined purposes, roles, responsibilities and accountabilities within the organisation's goals and objectives.
2) The team performance plan contributes to the organisation's business plan, policies and practices.
3) The team agrees to processes to monitor and adjust its performance within the organisation's continuous improvement policies.
4) The team includes in its plans ways in which it can benefit from the diversity of its membership.

**2          Develop team commitment and cooperation**

1) The team uses open communication processes to obtain and share information
2) The team encourages and exploits innovation and initiative.
3) Support is provided to the team to develop mutual concern and camaraderie.

**3          Manage and develop team performance**

1) The team is supported in making decisions within its agreed roles and responsibilities.
2) The results achieved by the team contribute positively to the organisation's business plan.
3) Team and individual competencies are monitored regularly to confirm that the tam is able to achieve its goals.
4) Mentoring and coaching supports team members to enhance their knowledge and skills.
5) Delegates' performance is monitored to confirm that they have completed their delegation/assignment.

**4          Participate in and facilitate the work team**

1) Team effectiveness is encouraged and enhanced through active participation in team activities and communication processes.
2) Individuals and teams are actively encouraged to take individual and joint responsibility for their actions.
3) The team receives support to identify and resolve problems which impede its performance.

### Range of Variables

At AQF 5, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under broad guidance
- may supervise others
- may guide teams
- may have responsibility for planning and managing the work of others
- will be involved in self directed application of knowledge
- have substantial depth of knowledge in some area and a range of skills for work tasks, roles and functions
- operate in varied or highly specific contexts
- use competencies independently for routine and non-routine purposes
- use judgement for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers at AQF 5 will normally operate in a diverse and complex workplace environments in which they use the organisation's:
- goals, objectives, plans systems and processes
- quality and continuous improvement processes and standards
- business and performance plans
- resources, which may be subject to negotiation
- ethical standards

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange/rotation
- structured training programs

Teams may include:
- on-going
- work based
- project based
- cross functional

Frontline management roles in teams may include:
- leader
- facilitator
- participant
- coach
- mentor

### Evidence Guide

This guideline is to assist the development of assessment instruments/tools to assess the competence of frontline management. At AQF 5, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage relationships effectively to achieve goals/results
- research, acquire and use information appropriate to work responsibility
- establish among teams a commitment to the organisation's goals, values and plans
- make decision s within responsibility and authority in a diverse and complex workplace
- provide clear direction in devolving responsibility and accountability
- provide constructive feedback to delegates
- monitor and introduce ways to improve team performance
- work effectively with team members who have diverse work styles, aspirations, cultures and perspectives
- promote networking between teams for mutual benefit
- use effective consultative processes
- encourage teams to openly propose, discuss and resolve issues
- deal with conflict before it adversely affects team performance
- recognise, reward and support team achievement
- support team to share knowledge and skills
- promote available learning methods to support team.
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table)

### Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | • | | |
| Solving problems | | | • |
| Using technology | | • | |
| Cultural understanding | | | • |

**BSXFMI505A**                    **Manage operations to achieve planned outcomes**

**Description**

Frontline Management is actively engaged in planning, implementing, monitoring and recording performance to achieve the business plans of the team organisation. This pivotal role is carried out to create safe, efficient and effective products and services to customer satisfaction within the organisation's productivity and profitability plans.

**1          Plan resource use to achieve profit/productivity targets**

   **1)**     Resource information for use in operational plan is collected, analysed and organised in consultation with colleagues and specialist resource managers.
   **2)**     Operational plans contribute to the achievement of the organisation's performance/business plan.
   **3)**     Operational plans identify available resources, taking into account customer needs and the organisation's plans.
   **4)**     Contingency plans are prepared in the vent that initial plans need to be varied.

**2          Acquire resources to achieve operational plan**

   **1)**     Employees are recruited and inducted within the organisation's human resource management policies and practices.
   **2)**     Physical resources and services are acquired in accord with the organisation's practices and procedures.

**3          Monitor operational performance**

   **1)**     Performance systems and processs are monitored to assess progress in achieving profit/productivity plans and targets.
   **2)**     Budget and actual financial information is analysed and interpreted to monitor profit/productivity performance.
   **3)**     Unsatisfactory performance is identified and prompt action is undertaken to rectify the situation.
   **4)**     Recommendations for variation to operational plans are negotiated and approved by the designated persons/groups.

**4          Monitor resource usage**

   **1)**     Systems and processes are monitored to establish whether resources are being used as planned.
   **2)**     Problems with resource usage are investigated and rectified   and/or reported to designated persons/groups.
   **3)**     Mentoring and coaching is provided to support individuals/teams who have difficulties using resources to the required standard.
   **4)**     System, procedures and records associated with documenting resource acquisition and usage are managed in accordance with the organisation's requirements.

### Range of Variables

At AQF 5, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under broad guidance
- may supervise others
- may guide teams
- may have responsibility for planning and managing the work of others
- will be involved in self directed application of knowledge
- have substantial depth of knowledge in some area and a range of skills for work tasks, roles and functions
- operate in varied or highly specific contexts
- use competencies independently for routine and non-routine purposes
- use judgement for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers at AQF 5 will normally operate in a diverse and complex workplace environments in which they use the organisation's:
- goals, objectives, plans systems and processes
- quality and continuous improvement processes and standards
- business and performance plans
- resources, which may be subject to negotiation
- ethical standards

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange/rotation
- structured training programs

Resources may include:
- people
- power/energy
- technology
- time
- information
- finance
- equipment
- buildings/facilities

## Evidence Guide

This guideline is to assist the development of assessment instruments/tools to assess the competence of frontline management. At AQF 5, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage relationships effectively to achieve goals/results
- research, acquire and use information appropriate to work responsibility
- make decision s within responsibility and authority in a diverse and complex workplace
- participate effectively in wider organisational processes which have an effect on operational performance
- organise and use resources to achieve business plans
- provide input to the organisation's planning processes
- eliminate/minimise resource inefficiencies and waste
- create products/services which are safe for customer use
- develop alternative and innovative approaches to improve resource use
- ensure that legislative requirements are met in work operations
- preapre and negotiate recommendations to change operations
- provide clear direction in devolving responsibility and accountability
- use effective consultative processes
- seek feedback and act on constructive advice
- promote available learning methods to assist colleagues.
- use information management systems
- select and use available technology appropriate to the task
- record.report information within established systems
- use the key competencies to achieve results (see following table)

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | | • |
| Using technology | | | • |
| Cultural understanding | | | • |

**Description**

Frontline Management is n important creator and manager of information. Their competency in identifying, acquiring, analysing and using appropriate information plays a significant part in the efficiency and effectiveness of the individual's/team's performance.

### 1        Identify and source information needs

1)    The information needs of individuals/teams/ is determined and the sources are identified.
2)    Information held by the organisation is reviewed to determine suitability and accessibility.
3)    Plans are prepared to obtain information which is not available/accessible within the organisation.

### 2        Collect, analyse and report information

1)    Collection of information is timely and relevant to the needs of individuals/teams.
2)    Information is in a format suitable for analysis, interpretation and dissemination.
3)    Information is analysed to identify and report relevant trends and developments in terms of the needs for which it was acquired.

### 3        Use information management systems

1)    Management information systems are used effectively to store and retrieve data for decision making.
2)    Technology available in the work area/organisation is used to manage information efficiently and effectively.
3)    Recommendations for improving the information system are submitted to designated persons/groups.

### 4        Prepare business plan/budgets

1)    Individuals/teams are involved in business plans/budget preparation in a way which uses their contribution effectively and gains support for the outcomes.
2)    Business plans/budgets are prepared and presented in accordance with the organisation's guidelines and requirements.
3)    Contingency plans are prepared in the event that alternative action is required.

### 5        Prepare resource proposals

1)    Resource planning data is collected in consultation with colleagues, including those who have a specialist role in resource management
2)    Estimates of resource needs and utilisation reflects the organisation's business plans, and customer and supplier requirements.
3)    Proposals to secure resources are supported by clearly presented submissions describing realistic options, benefits, costs and outcomes.

**Range of Variables**

At AQF 5, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under broad guidance
- may supervise others
- may guide teams
- may have responsibility for planning and managing the work of others
- will be involved in self directed application of knowledge
- have substantial depth of knowledge in some area and a range of skills for work tasks, roles and functions
- operate in varied or highly specific contexts
- use competencies independently for routine and non-routine purposes
- use judgement for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers at AQF 5 will normally operate in a diverse and complex workplace environments in which they use the organisation's:
- goals, objectives, plans systems and processes
- quality and continuous improvement processes and standards
- business and performance plans
- resources, which may be subject to negotiation
- ethical standards

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange/rotation
- structured training programs

**Evidence Guide**

This guideline is to assist the development of assessment instruments/tools to assess the competence of frontline management. At AQF 5, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work effectively to achieve goals/results
- research, acquire and use information appropriate to responsibility
- make decision s within responsibility and authority in a diverse and complex workplace
- monitor and improve ways to manage information
- explain basic financial concepts in business plans/budgets
- prepare financial information within standard format
- prepare resource proposals within budget constraints
- explain methods to gain efficiencies in resource management
- prepare and negotiate recommendations to improve the organisation's information systems
- ensure that legislative requirements are met in resource operations
- promote available learning methods to support colleagues
- use effective consultative processes
- communicate with colleagues who have specialist responsibilities in financial and resource management
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table)

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | | • |
| Using technology | | | • |
| Cultural understanding | | | • |

**Description**

Frontline Management is involved in ensuring that products and services are delivered and maintained to the standards agreed by the organisation and the customer. This will be carried out in the context of the organisation's policies and practices as well as legislation, conventions and codes of practice.

**1        Plan to meet internal and external customer requirements**

    **1)**    The needs of customers are researched, understood, and assessed, and included in the planning process.

    **2)**    Provision is made in plans to achieve quality, time and cost specification agreed with customers. .

**2        Ensure delivery of quality products/services**

    **1)**    Products/services are delivered to customer specifications within the teams/organisation's business plan.

    **2)**    Individual/team performance consistently meets quality, safety, resource and delivery standards.

    **3)**    Coaching and mentoring assists colleagues overcome difficulty in meeting customer service standards..

**3        Monitor, adjust and report customer service**

    **1)**    The organisation's systems and technology are used to monitor progress in achieving product/service targets and standards.

    **2)**    Customer feedback is sought and used to improve the provision of products/services.

    **3)**    Resources are used effectively and efficiently to provide quality products/services to customers.

    **4)**    Decisions to overcome problems with products/services are taken in consultation with designated individuals/groups.

    **5)**    Adjustments are made to products/services, and those who have a role in their planning and delivery are informed of changes.

    **6)**    Records, reports and recommendations are managed within the organisation's systems and processes.

**Range of Variables**

At AQF 5, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under broad guidance
- may supervise others
- may guide teams
- may have responsibility for planning and managing the work of others
- will be involved in self directed application of knowledge
- have substantial depth of knowledge in some area and a range of skills for work tasks, roles and functions
- operate in varied or highly specific contexts
- use competencies independently for routine and non-routine purposes
- use judgement for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers at AQF 5 will normally operate in a diverse and complex workplace environments in which they use the organisation's:
- goals, objectives, plans systems and processes
- quality and continuous improvement processes and standards
- business and performance plans
- resources, which may be subject to negotiation
- ethical standards

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange/rotation
- structured training programs

Resources may include:
- people
- information
- buildings/facilities
- equipment
- power/energy
- finance
- time
- technology

Customers may be internal or external, or drwan from existing or new sources.

**Evidence Guide**

This guideline is to assist the development of assessment instruments/tools to assess the competence of frontline management. At AQF 5, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work effectively to achieve goals/results
- manage products/services within budget constraints
- research, acquire and use information appropriate to responsibility
- make decision s within responsibility and authority in a diverse and complex workplace
- monitor and introduce ways to improve products/services
- use effective consultative processes
- ensure that legislation and standards are met in providing customer service
- develop and maintain effective customer service

- seek customer feedback and act on constructive advice
- treat people openly and fairly
- promote available learning methods to enable colleagues to maintain current competence
- prepare and negotiate recommendations to improve customer service
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table)


**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | • | |
| Using technology | | | • |
| Cultural understanding | | | • |

## BSXFMI508A        Develop and maintain a safe workplace and environment

**Description**

Frontline Management has a key role in ensuring that the workplace meets safety requirements set down in legislation, standards and the organisation's policies and practices. Whilst it is recognised that safety is everyone's responsibility, frontline management has an important leadership role in promoting and monitoring a safe workplace and environment.

**1        Access and share legislation, codes and standards**

    **1)**    Legislation, standards and the organisation's policies and practices relevant to the creation and maintenance of a safe workplace and environment are made available to individuals/teams.

    **2)**    Arrangements are made to provide information in a language, style and format which is understood by colleagues.

    **3)**    Individuals/teams know their legal responsibility for maintaining a safe workplace and environment.

    **4)**    The implications of an unsafe workplace and environment is clear to all within the workplace.

**2        Plan and implement safety requirements**

    **1)**    Work practices are planned with colleagues to ensure compliance with workplace and environmental legislation and standards.

    **2)**    Work practices are implemented in accordance with requirements specified in legislation and standards for safe workplaces and environments.

    **3)**    Coaching and mentoring supports colleagues in managing their rights and responsibilities.

**3        Monitor, adjust and report safety performance**

    **1)**    Actual and potential problems are identified, rectified and reported promptly and decisively to ensure workplace and environmental safety.

    **2)**    Hazards are managed so that risks are minimised.

    **3)**    Waste recycling, reduction and disposal is carried out within legislative and organisational requirements.

    **4)**    Recommendations to make improvements to comply with legislation and associated standards are submitted to designated persons/groups.

    **5)**    Individuals/teams are informed of the results of improvements in the workplace.

    **6)**    Systems, records and reporting procedures are maintained according to legislative requirements.

**4        Investigate and report non-conformance**

    **1)**    Non-conformance is investigated and dealt with according to legislative requirements

    **2)**    Coaching and mentoring supports colleagues to acquire and apply competencies to meet legislative requirements and the associated standards.

    **3)**    Workplace practices are implemented to ensure that non-conformance is not repeated.

## Develop and maintain a safe workplace and environment          BSXFMI508A

### Range of Variables

At AQF 5, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under broad guidance
- may supervise others
- may guide teams
- may have responsibility for planning and managing the work of others
- will be involved in self directed application of knowledge
- have substantial depth of knowledge in some area and a range of skills for work tasks, roles and functions
- operate in varied or highly specific contexts
- use competencies independently for routine and non-routine purposes
- use judgement for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers at AQF 5 will normally operate in a diverse and complex workplace environments in which they use the organisation's:
- goals, objectives, plans systems and processes
- quality and continuous improvement processes and standards
- business and performance plans
- resources, which may be subject to negotiation
- ethical standards

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange/rotation
- structured training programs

Resources may include:
- people
- information
- buildings/facilities
- equipment
- power/energy
- finance
- time
- technology

## BSXFMI508A       Develop and maintain a safe workplace and environment

### Evidence Guide

This guideline is to assist the development of assessment instruments/tools to assess the competence of frontline management. At AQF 5, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- develop and promote a safety conscious culture in the workplace
- provide a model to others in working safely
- research, acquire and use information appropriate to responsibility
- manage work effectively to achieve goals and results
- maintain a safe workplace in compliance with legislation and standards.
- Take prompt action to rectify/report non-compliance
- explain safety legislation, standards and procedures
- prepare and negotiate recommendations to improve safety
- monitor and introduce practices to ensure safety compliance
- use effective waste management processes and procedures
- explain the workplace and environmental impact of non-compliance with relevant legislation
- promote available learning methods to support colleagues
- use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table)

### Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | ● |
| Communicating ideas and information | | | ● |
| Planning and organising activities | | | ● |
| Working with others in teams | | | ● |
| Using mathematical ideas and techniques | ● | | |
| Solving problems | | ● | |
| Using technology | | ● | |
| Cultural understanding | | | ● |

## BSXFMI509A
## Implement and monitor continuous improvement systems and processes

### Description

Frontline Management has an active role in managing the continuous improvement process in achieving the organisation's quality objectives. Their position, closely associated with the creation and delivery of products and services, means that they play an important part in influencing the on-going development of the organisation.

**1**      **Implement continuous improvement systems and processes**

     **1)**      Team members are actively encouraged and supported to participate in decision making processes and to assume responsibility and authority.
     **2)**      The organisation's continuous improvements processes are communicated to individuals/ teams.
     **3)**      Mentoring and coaching support ensures that individuals/teams are able to implements the organisation's continuous improvement processes.

**2**      **Monitor, adjust and report performance**

     **1)**      The organisation's systems and technology are used to monitor progress and to identify ways in which planning and operations could be improved.
     **2)**      Customer service is strengthened through the use of continuous improvement techniques and processes.
     **3)**      Plans are adjusted and communicated to those who have a role in their development and implementation. .

**3**      **Consolidate opportunities for further development**

     **1)**      Individuals./teams are informed of savings and productivity improvements in achieving the business pan.
     **2)**      Work performance is documented and the information is used to identify opportunities for further improvement.
     **3)**      Records, reports and recommendations for improvement are managed within the organisation's systems and processes.

# Implement and monitor continuous improvement systems and processes
## BSXFMI509A

### Range of Variables

At AQF 5, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under broad guidance
- may supervise others
- may guide teams
- may have responsibility for planning and managing the work of others
- will be involved in self directed application of knowledge
- have substantial depth of knowledge in some area and a range of skills for work tasks, roles and functions
- operate in varied or highly specific contexts
- use competencies independently for routine and non-routine purposes
- use judgement for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers at AQF 5 will normally operate in a diverse and complex workplace environments in which they use the organisation's:
- goals, objectives, plans systems and processes
- quality and continuous improvement processes and standards
- business and performance plans
- resources, which may be subject to negotiation
- ethical standards

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange/rotation
- structured training programs

Resources may include:
- people
- information
- buildings/facilities
- equipment
- power/energy
- finance
- time
- technology

## BSXFMI509A
### Implement and monitor continuous improvement systems and processes

**Evidence Guide**

This guideline is to assist the development of assessment instruments/tools to assess the competence of frontline management. At AQF 5, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work effectively to achieve goals and results
- develop a workplace culture which supports continuous improvement
- explain the organisation's continuous improvement method
- research, acquire and use information appropriate to responsibility
- provide leadership to colleagues in the implementation of continuous improvement processes
- encourage ideas and feedback to improve processes
- prepare and negotiate recommendations to improve the continuous improvement principles and practices
- develop ways for individuals/teams to implement continuous improvement processes
- use effective consultative processes
- promote available learning methods to enable colleagues to maintain current competence
- Use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table)

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | • | |
| Using technology | | | • |
| Cultural understanding | | | • |

**BSXFMI510A**          **Facilitate and capitalise on change and innovation**

**Description**

Frontline Management has an active role in fostering change ad acting as a catalyst in the implementation of change and innovation. They have a creative role in ensuring that individuals, the team and the organisation gain from change; and that the customer benefits through improved products and services.

**1          Participate in planning the introduction of change**

  **1)**      The manager contributes effectively in the organisation's planning processes to introduce change
  **2)**      Plans to introduce change are made in consultation with designated individuals/groups.
  **3)**      The organisation's objectives and plans to introduce change are explained clearly to individuals/trams.

**2          Develop creative and flexible approaches and solutions**

  **1)**      Alternative approaches to managing workplace issues and problems are identified and analaysed.
  **2)**      Risks are assessed and action is taken to achieve a recognised benefit or advantage to the organisation.
  **3)**      The workplace is managed in a way which promotes the development of innovative approaches and outcomes.
  **4)**      Creative and responsive approaches to resource management improves productivity and/or reduces costs in a competitive environment.

**3          Manage emerging challenges and opportunities**

  **1)**      Individuals./teams respond effectively and efficiently to changes in the organisation's goals, plans and priorities.
  **2)**      Coaching and mentoring assists individuals/teams develop competencies to handle change efficiently and effectively.
  **3)**      The manager uses opportunities within his or her responsibility and authority to make adjustments to respond to the changing needs of customers and the organisation.
  **4)**      Individuals/teams are kept informed of progress n the implementation of change.
  **5)**      Recommendations for improving the methods/techniques tomanage change are negotiated with designated persons/groups.

# Facilitate and capitalise on change and innovation BSXFMI510A

## Range of Variables

At AQF 5, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under broad guidance
- may supervise others
- may guide teams
- may have responsibility for planning and managing the work of others
- will be involved in self directed application of knowledge
- have substantial depth of knowledge in some area and a range of skills for work tasks, roles and functions
- operate in varied or highly specific contexts
- use competencies independently for routine and non-routine purposes
- use judgement for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers at AQF 5 will normally operate in a diverse and complex workplace environments in which they use the organisation's:
- goals, objectives, plans systems and processes
- quality and continuous improvement processes and standards
- business and performance plans
- resources, which may be subject to negotiation
- ethical standards

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange/rotation
- structured training programs

Resources may include:
- people
- information
- buildings/facilities
- equipment
- power/energy
- finance
- time
- technology

**Evidence Guide**

This guideline is to assist the development of assessment instruments/tools to assess the competence of frontline management. At AQF 5, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work effectively to achieve goals and results
- explain the organisation's methods to introduce change
- research, acquire and use information appropriate to responsibility
- identify opportunities to itroduce change in a diverse/complex workplace.
- Respond promptly to new situations by developing appropriate strategies and plans
- Draw on the diversity of the workplace to assist the organisation benefit from change
- Monitor trends in the external environment to develop and maintain a competitive edge
- Use management style(s) which facilitates change
- Monitor and introduce practices which improves performance
- Establish with team appropriate change management processes
- use effective consultative processes
- seek feedback and act on constructive advice
- promote available learning methods to support colleagues
- Use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table)

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | • | |
| Using technology | | | • |
| Cultural understanding | | | • |

## BSXFMI511A
## Contribute to the development of a workplace learning environment

### Description

Frontline Management plays a prominent role in encouraging and supporting the development of a learning organisation, Promoting a learning environment in which work and learning are integrated is an important goals to be achieved.

**1      Create learning opportunities**

    **1)**    Workplace environments which facilitate learning are developed and supported.

    **2)**    Learning plans are developed as an integral part of individual/team performance plans.

    **3)**    Learning plans reflect the diversity of needs and learning opportunities.

    **4)**    Individual;/team access to, and participation in, learning opportunities is facilitated.

    **5)**    Negotiation with training and development specialist results in the planning and provision of learning which enahnces individual, team and organisational performance.

**2      Facilitate and promote learning**

    **1)**    Workplace activities are used as opportunities for learning.

    **2)**    Coaching and mentoring contributes effectively to development of workplace knowledge, skills and attitudes.

    **3)**    The benefits of learning are shared with others in the team/organisation.

    **4)**    Workplace achievement is recognised by timely and appropriate recognition, feedback and rewards.

**3      Monitor and improve learning effectiveness**

    **1)**    Performance of individuals/teams is monitored to determine the type and extent of additional work based support.

    **2)**    Feedback from individuals/ teams is used to identify and introduce improvements in future learning arrangements.

    **3)**    Adjustments negotiated with training and development specialists results in improvements to the efficiency and effectiveness of learning.

    **4)**    Records and reports of competency are documented and maintained within the organisation's systems and procedures.

# Contribute to the development of a workplace learning environment
## BSXFMI511A

### Range of Variables

At AQF 5, frontline managers will normally be engaged in a workplace context in which they:
- are autonomous, working under broad guidance
- may supervise others
- may guide teams
- may have responsibility for planning and managing the work of others
- will be involved in self directed application of knowledge
- have substantial depth of knowledge in some area and a range of skills for work tasks, roles and functions
- operate in varied or highly specific contexts
- use competencies independently for routine and non-routine purposes
- use judgement for self and others in planning and using resources, services and processes to achieve outcomes within time constraints.

Frontline managers at AQF 5 will normally operate in a diverse and complex workplace environments in which they use the organisation's:
- goals, objectives, plans systems and processes
- quality and continuous improvement processes and standards
- business and performance plans
- resources, which may be subject to negotiation
- ethical standards

They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:
- mentoring
- action learning
- coaching
- shadowing
- exchange/rotation
- structured training programs

## BSXFMI511A
### Contribute to the development of a workplace learning environment

**Evidence Guide**

This guideline is to assist the development of assessment instruments/tools to assess the competence of frontline management. At AQF 5, frontline managers must provide evidence of consistent achievement of this Unit's workplace outcomes, by showing that they:

- manage work effectively to achieve goals and results
- promote a learning culture in a diverse and complex workplace
- explain basic principles of adult learning
- use coaching and mentoring to assist knowledge/skill formation
- monitor and introduce ways for people to develop knowledge and skills
- facilitate opportunities for learning
- encourage colleagues to share their knowledge and skills
- create opportunities for individuals/teams to learn from workplace performance
- negotiate with training and development apecialists individual/team learning needs
- provide the opportunity for off-the-job learning to be applied in workplace
- promote available learning methods to support colleagues
- Use information management systems
- select and use available technology appropriate to the task
- use the key competencies to achieve results (see following table)

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | • | | |
| Solving problems | | • | |
| Using technology | | | • |
| Cultural understanding | | | • |

**BSZ 401 A**                                                                    **Plan assessment**

**Description**

This unit covers the requirements for planning an assessment in a specific context. The unit details the requirements for determining evidence requirements, selecting appropriate assessment methods and developing an assessment tool in a specific context.

**1        Establish evidence required for a specific context**

    **1)**    The evidence required to infer competency from the industry/enterprise competency standards, or other standards of performance, is established for a specified context.

    **2)**    Relevant unit(s) of competency is read and interpreted accurately to identify the evidence required.

    **3)**    Specified evidence requirements.

    **4)**    Assure valid and reliable inferences of competency, authenticate the performance of the person being assessed and confirm that competency is current.

    **5)**    Sufficient evidence is specified to show consistent achievement of the specified standards.

    **6)**    The cost of gathering the required evidence is established.

**2        Establish suitable assessment method(s)**

    **1)**    Assessment methods are selected which are appropriate for gathering the type and amount of evidence required.

    **2)**    Opportunities to consolidate evidence gathering activities are identified.

    **3)**    Allowable adjustments in the assessment method are proposed to cater for the characteristics of the person(s) being assessed.

**3        Develop assessment tools appropriate to a specific assessment context**

    **1)**    An assessment tool is developed to gather valid, reliable and sufficient evidence for a specific assessment context.

    **2)**    The assessment tool is designed to mirror the language used to demonstrate the competency in a specific context.

    **3)**    Clear instructions (spoken or written) are prepared including any adjustments which may be made to address the characteristics of the person(s) being assessed.

    **4)**    The assessment tool is checked to ensure flexible, fair, safe and cost-effective assessment to occur.

**4        Trial assessment procedure**

    **1)**    Assessment methods and tools are trialed with an appropriate sample of people to be assessed.

    **2)**    Evaluation of the methods and tools used in the trial provides evidence of clarity, reliability, validity, fairness, cost effectiveness and ease of administration.

    **3)**    Appropriate adjustments are made to improve the assessment method and tools in light of the trial.

    **4)**    Assessment procedures, including evidence requirements, assessment methods and tools, are ratified with appropriate personnel in the industry/enterprise and/or training organisation where applicable.

**Range of Variables**

- Assessment system may be developed by:
  ◊ the industry through the endorsed component of Training Packages Assessment Guidelines
  ◊ the enterprise
  ◊ a Registered Training Organisation
  ◊ a combination of the above.

- The assessment system should specify the following:
  ◊ the purpose of assessment
  ◊ competencies required of assessors
  ◊ record keeping procedures and policies
  ◊ any allowable adjustments to the assessment method which may be made
  ◊ the appeal/review mechanisms and procedures
  ◊ the review and evaluation of the assessment process
  ◊ the linkages between assessment and training qualifications/awards
  ◊ employee classification
  ◊ remuneration
  ◊ progression
  ◊ relevant policies
  ◊ quality assurance mechanisms
  ◊ apportionment of costs/fees (if applicable)
  ◊ marketing/promotion of assessment
  ◊ verification arrangements
  ◊ auspicing arrangements, if applicable
  ◊ partnership arrangements, if applicable.

Specific assessment context may be determined by:
- Purpose of the assessment such as:
  ◊ to gain a particular qualification or a licence
  ◊ to determine employee classification
  ◊ to recognise prior learning/current competencies
  ◊ to identify training needs or progress
- Location of the assessment such as:
  ◊ on the job or off the job
  ◊ combination of both.
  ◊ Assessment Guidelines of Training Package or other assessment requirements.
- Characteristics of persons being assessed may include:
  ◊ language, literacy and numeracy needs.

**Evidence Guide**

*Critical aspects of evidence*

Assessment requires evidence of the following products to be collected:
- Documentation in relation to:
  ◊ specific assessment context, including the purpose of assessment
  ◊ features of the assessment system
  ◊ characteristics of the person being assessed
  ◊ evidence of competency required
  ◊ plan of opportunities for gathering the evidence required
  ◊ assessment methods selected including any allowable adjustments to meet characteristics of person(s) being assessed.

- An assessment tool(s) for the specific assessment context which ensures valid, reliable, flexible and fair assessment including any allowable adjustments
  ◊ An assessment procedure for the specific context.
  ◊ Assessment requires evidence of the following processes to be provided:
  ◊ how the context of assessment was specified
  ◊ how the characteristics of the person(s) being assessed were identified
  ◊ why a particular assessment method was selected
  ◊ how the assessment was planned to ensure that language, literacy and numeracy issues were taken into consideration
  ◊ how evidence was evaluated in terms of validity, authenticity, sufficiency, currency and consistent achievement of the specified standard
  ◊ how the assessment tool was developed for the specified context
  ◊ how the assessment tool was validated and ratified by appropriate personnel.

*Interdependent assessment of units*

This unit of competency may be assessed in conjunction with other units that form part of a job role.

*Required knowledge and skills*

- Knowledge of standards of performance including industry or enterprise competency standards and assessment guidelines
- Knowledge of legal and ethical responsibilities including occupational health and safety regulations and procedures, equal employment and anti-discrimination requirements relevant to the specified context
- Understanding of the assessment principles of reliability, validity, fairness, flexibility, authenticity, sufficiency and consistency
- Knowledge of the Assessment Guidelines of the Training Package Assessment and Workplace Training
- Skills in the application of various assessment methods, relevant to workplace context
- Planning of own work including predicting consequences and identifying improvements
- Language, literacy and numeracy skills required to:
  ◊ read and interpret relevant information to plan assessment
  ◊ give clear and precise information/instructions in spoken or written form
  ◊ adjust spoken and written language to suit target audience
  ◊ write assessment tools using language which mirrors the language used to demonstrate the competency in the specific context
  ◊ prepare required documentation using clear and comprehensible language and layout
  ◊ calculate and estimate costs
- Communication skills appropriate to the culture of the workplace and the individual(s).

*Resource implications*

Access to relevant competencies, sources of information on assessment methods, assessment tools and assessment procedures

Access to person(s) wishing to be assessed, any relevant workplace equipment, information and appropriate personnel.

*Consistency in performance*

Competency in this unit needs to be assessed over a period of time, in a range of contexts and on multiple occasions, involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment should occur on the job or in a simulated workplace. The candidate assessor should use competencies relevant to their area of technical expertise.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | | • |
| Using technology | | | • |

**1          Identify and explain the context of assessment**

        **1)**    The context and purpose of assessment are discussed and confirmed with the person(s) being assessed.

        **2)**    The relevant performance standards to be used in the assessment (e.g. current endorsed competency standards for the specific industry) are clearly explained to the person being assessed.

        **3)**    The assessment procedure is clarified and expectations of assessor and candidate are agreed.

        **4)**    Any legal and ethical responsibilities associated with the assessment are explained to the person(s) being assessed.

        **5)**    The needs of the person being assessed are determined to establish any allowable adjustments in the assessment procedure.

        **6)**    Information is conveyed using language and interactive strategies and techniques to communicate effectively with the person(s) being assessed.

**2          Plan evidence gathering opportunities**

        **1)**    Opportunities to gather evidence of competency, which occurs as part of workplace or training activities, are identified covering the dimensions of competency.

        **2)**    The need to gather additional evidence which may not occur as part of the workplace or training activities are identified.

        **3)**    Evidence gathering activities are planned to provide sufficient, reliable, valid and fair evidence of competency in accordance with the assessment procedure.

**3          Organise assessment**

        **1)**    The resources specified in the assessment procedure are obtained and arranged within a safe and accessible assessment environment.

        **2)**    Appropriate personnel are informed of the assessment.

        **3)**    Spoken interactions and any written documents employ language and strategies and techniques to ensure the assessment arrangements are understood by all person(s) being assessed and appropriate personnel.

**4          Gather evidence**

        **1)**    Verbal and non-verbal language is adjusted and strategies are employed to promote a supportive assessment environment to gather evidence.

        **2)**    The evidence specified in the assessment procedure is gathered, using the assessment methods and tools.

        **3)**    Evidence is gathered in accordance with specified allowable adjustments where applicable.

        **4)**    The evidence gathered is documented in accordance with the assessment procedure.

**5**         **Make the assessment decision**

**1)**     The evidence is evaluated in terms of:
- validity
- authenticity
- sufficiency
- currency
- consistent achievement of the specified standard.

**2)**     The evidence is evaluated according to the dimensions of competency:
- task skills
- task management skills
- contingency management skills
- job/role environment skill
- transfer and application of knowledge and skills to new contexts.

**3)**     Guidance is sought, when in doubt, from a more experienced assessor(s).

**4)**     The assessment decision is made in accordance with the criteria specified in the assessment procedure.

**6**         **Record assessment results**

**1)**     Assessment results are recorded accurately in accordance with the specified record keeping requirements.

**2)**     Confidentiality of assessment outcome is maintained and access to the assessment records is provided only to authorised personnel.

**7**         **Provide feedback to persons being assessed**

**1)**     Clear and constructive feedback in relation to performance is given to the person(s) being assessed using language and strategies to suit the person(s) including guidance on further goals/training opportunities is provided to the person(s) being assessed.

**2)**     Opportunities for overcoming any gaps in competency, as revealed by the assessment, are explored with the person(s) being assessed.

**3)**     The person(s) being assessed is advised of available reassessment opportunities and/or review appeal mechanisms where the assessment decision is challenged.

**8**         **Report on the conduct of the assessment**

**1)**     Positive and negative features experienced in conducting the assessment are reported to those responsible for the assessment procedure.

**2)**     Any assessment decision disputed by the person(s) being assessed is recorded and reported promptly to those responsible for the assessment procedure.

**3)**     Suggestions for improving any aspect of the assessment process are made to appropriate personnel.

**Range of Variables**

- Assessment system may be developed by:
  ◊ the industry
  ◊ the enterprise
  ◊ a Registered Training Organisation
  ◊ a combination of the above.

- The assessment system should specify the following:
  ◊ the purpose of assessment
  ◊ competencies required of assessors
  ◊ record keeping procedures and policies
  ◊ any allowable adjustments to the assessment method which may be made
  ◊ the appeal/review mechanisms and procedures
  ◊ the review and evaluation of the assessment process
  ◊ linkages between assessment and training qualifications/awards, employee classification, remuneration, progression
  ◊ relevant policies
  ◊ quality assurance mechanisms
  ◊ apportionment of costs/fees (if applicable)
  ◊ marketing/promotion of assessment
  ◊ verification arrangements
  ◊ auspicing arrangements, if applicable
  ◊ arrangements, if applicable.

Specific assessment context may be determined by:

- Purpose of the assessment, such as:
  ◊ to gain a particular qualification or a licence
  ◊ to determine employee classification
  ◊ to identify training needs or progress
  ◊ to recognise prior learning/current competencies.
- Location of the assessment, such as
  ◊ on the job or off the job
  ◊ combination of both.
  Assessment Guidelines of the relevant Training Package or other assessment requirements or features of assessment system.

- Characteristics of persons being assessed may include:
  ◊ language, literacy and numeracy needs
  ◊ cultural, language and educational background
  ◊ gender
  ◊ physical ability
  ◊ level of confidence, nervousness or anxiety
  ◊ age
  ◊ experience in training and assessment
  ◊ previous experience with the topic.

- Appropriate personnel may include:
  - ◊ assessors
  - ◊ person(s) being assessed
  - ◊ employee/union representatives
  - ◊ consultative committees
  - ◊ users of assessment information such as training providers, employers, human resource departments
  - ◊ State/Territory Training/Recognition Authorities
  - ◊ training and assessment coordinators
  - ◊ relevant managers/supervisors/team leaders
  - ◊ technical specialists.

Assessment procedure may include:
- The assessment procedure is developed (and endorsed) by person(s) responsible for the implementation of the assessment process in:
  - ◊ the industry
  - ◊ the enterprise
  - ◊ the training organisation
  - ◊ a combination of the above.
- The assessment procedure should specify the following:
  - ◊ recording procedure
  - ◊ appeal/review mechanism
  - ◊ assessment methods to be used
  - ◊ instructions/materials to be provided to the person(s) being assessed
  - ◊ criteria for making decisions of competent, or not yet competent
  - ◊ number of assessors
  - ◊ assessment tools
  - ◊ evidence required
  - ◊ location of assessment
  - ◊ timing of assessment
  - ◊ assessment group size
  - ◊ allowable adjustments to the assessment procedure depending on the characteristics of the person(s) being assessed.

- Assessment methods may include:
  - ◊ work samples and/or simulations
  - ◊ direct observation of performance, products, practical tasks, projects and simulation exercises
  - ◊ review of log books and portfolios
  - ◊ questioning
  - ◊ consideration of third party reports and authenticated prior achievements
  - ◊ written, oral or computer managed questioning**.**

These methods may be used in combination in order to provide sufficient evidence to make a judgement.
- Assessment tools may include:
  - ◊ specific instructions to be given relating to the performance of practical tasks or processes or simulation exercises
  - ◊ specific instructions to be given in relation to projects and exercises
  - ◊ sets of oral/written/computer based questions to be asked
  - ◊ performance checklists
  - ◊ log books
  - ◊ marking guides
  - ◊ descriptions of competent performance.
  - ◊ a number of these tools may be used in combination in order to provide enough evidence to make judgments.

- Allowable adjustments may include:
  ◊ provision of personal support services (e.g. Auslan interpreter, reader, interpreter, attendant carer, scribe)
  ◊ use of adaptive technology or special equipment (e.g. work processor or lifting gear)
  ◊ design of shorter assessment sessions to allow for fatigue or medication
  ◊ use of large print version of any papers.

- Assessment environment and resources to be considered may include:
  ◊ time
  ◊ location
  ◊ personnel
  ◊ finances/costs
  ◊ equipment
  ◊ materials
  ◊ occupational health and safety requirements
  ◊ enterprise/industry standard operating procedures.

- Recording procedures may include:
  ◊ forms designed for the specific assessment result (paper or electronic)
  ◊ checklists for recording observations/process used (paper or electronic)
  ◊ combination of the above.

- Assessment reporting:
  ◊ assessments will record the unit(s) of competency in terms of code, title and endorsement date
  ◊ summative assessment reports, where issued, will indicate units of competency where additional learning is required

NB: Statutory and legislative requirements for maintaining records may vary in States/Territories.

### Evidence Guide

*Assessment requires evidence of the following products to be collected:*

- Description of the assessment context, including the purpose of assessment,
- The relevant competency or other performance standard and assessment procedure used
- Description of how evidence gathered is valid, authentic, sufficient, fair and reliable to ensure competency
- Conduct of assessment in accordance with competency requirements
- Recording of the assessment results in accordance with the specified assessment procedure and record keeping requirements
- Report on the conduct of the assessment, including positive and negative features and suggestions for improving any aspect of the assessment process.

*Assessment requires evidence of the following processes to be provided:*

- How agreement was sought with the person(s) being assessed on the conduct of the assessment
- How opportunities to gather evidence were identified as part of workplace or training activities
- How evidence was gathered in accordance with the assessment procedure
- How evidence gathering activity covered the dimensions of competency
- How resources were arranged according to the assessment procedure
- How appropriate personnel were consulted
- How evidence was gathered in accordance with allowable adjustments to the assessment method where applicable
- How evidence was evaluated in terms of validity, authenticity, sufficiency, currency and consistent achievement of the specified standard
- How the assessment was conducted to ensure that:
  ◊ all arrangements and activities were understood by all parties
  ◊ the person was put at ease and the supportive assessment environment was created
  ◊ language, literacy and numeracy issues were taken into consideration
- How constructive feedback was provided to the person(s) being assessed including instances of not yet competent
- How guidance was provided to person(s) being assessed on how to overcome gaps in competency revealed.

*Interdependent assessment of units*

This unit of competency may be assessed in conjunction with other units that form part of a job role.

*Required skills and knowledge*

- Knowledge of workplace application of relevant standards of performance including industry or enterprise competency standards and assessment guidelines
- Knowledge of legal and ethical responsibilities including occupational health and safety regulations and procedures, equal employment and anti-discrimination requirements relevant to the specified context
- Understanding of policies and procedures of the workplace and/or job role together with any related legislation or regulatory requirements
- Understanding of the assessment principles of reliability, validity, fairness, flexibility, authenticity, sufficiency and consistency
- Assessment guidelines of the Training Package Assessment and Workplace Training
- Planning of own work including predicting consequences and identifying improvements
- Skills in the application of various assessment methods/tools, relevant to workplace context
- Language, literacy and numeracy skills required to:
  ◊ give clear and precise instructions and information in spoken or written form
  ◊ seek confirmation of understanding from the person(s) being assessed
  ◊ adjust language to suit target audience
  ◊ prepare required documentation using clear and comprehensible language and layout
  ◊ ask probing questions and listen strategically to understand responses of the person being assessed
  ◊ seek additional information for clarification purposes
  ◊ use verbal and non-verbal language to promote a supportive assessment environment
  ◊ use language of negotiation and conflict resolution to minimise conflict
- Communication skills appropriate to the culture of the workplace and the individual(s).

*Resource implications*

Access to relevant competencies, sources of information on assessment methods, assessment tools and assessment procedures.
Access to person(s) wishing to be assessed, relevant workplace equipment, information and appropriate personnel.

*Consistency of performance*

Competency in this unit needs to be assessed over a period of time, in a range of contexts and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.

*Assessment context*

Assessment should occur on the job or in a simulated workplace. The candidate assessor should use competencies relevant to their technical expertise.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | | ● | |
| Working with others in teams | | | ● |
| Using mathematical ideas and techniques | | ● | |
| Solving problems | | ● | |
| Using technology | | ● | |

**Description**

This unit covers requirements to review assessment procedures in a specific context.

### 1        Review the assessment procedure(s)

    **1)**     Appropriate personnel are given the opportunity to review the assessment outcomes and procedure using agreed evaluation criteria.

    **2)**     The review process established by the enterprise, industry or registered training organisation is followed.

    **3)**     The assessment procedure(s) is reviewed at a specified site in co-operation with person(s) being assessed, and any appropriate personnel in the industry/enterprise/training establishment and/or any agency identified under legislation.

    **4)**     Review activities are documented, findings are substantiated and the review approach evaluated.

### 2        Check consistency of assessment decision

    **1)**     Evidence from a range of assessments is checked for consistency across the dimensions of competency.

    **2)**     Evidence is checked against the key competencies.

    **3)**     Consistency of assessment decisions with defined performance standards are reviewed and discrepancies and inconsistencies are noted and acted upon.

### 3        Report review findings

    **1)**     Recommendations are made to appropriate personnel for modifications to the assessment procedure(s) in light of the review outcomes.

    **2)**     Records are evaluated to determine whether the needs of appropriate personnel have been met.

    **3)**     Effective contributions are made to system-wide reviews of the assessment process and feedback procedures and are reviewed.

**Range of Variables**

- Assessment system may be developed by:
  - ◊   the industry
  - ◊   the enterprise
  - ◊   the Registered Training Organisation
  - ◊   a combination of the above.

The assessment system should specify the following:
◊ the purpose of assessment
◊ competencies required of assessors
◊ record keeping procedures and policies
◊ any allowable adjustments to the assessment method which may be made for the person being assessed who have special needs
◊ the appeal/review mechanisms and procedures
◊ the review and evaluation of the assessment process
◊ the linkages between assessment and training qualifications/awards, employee classification, remuneration, progression
◊ relevant policies
◊ quality assurance mechanisms
◊ apportionment of costs/fees (if applicable)
◊ marketing/promotion of assessment
◊ verification arrangements
◊ auspicing arrangements, if applicable
◊ partnership arrangements, if applicable.

Specific assessment context may be determined by:
• Purpose of the assessment such as:
  ◊ to gain a particular qualification or a licence
  ◊ to determine employee classification
  ◊ to identify training needs or progress
  ◊ to recognise prior learning/current competencies

• Location of the assessment such as:
  ◊ on the job or off the job
  ◊ combination of both

• Assessment Guidelines of Training Package or other assessment requirements
  Features of assessment system.

- Evaluation criteria in review process should include:
  ◊   number of persons being assessed
  ◊   duration of the assessment procedure
  ◊   organisational constraints within which assessors must operate
  ◊   occupational health and safety factors
  ◊   relationship of the assessor to other appropriate personnel in the assessment process
  ◊   frequency of assessment procedure
  ◊   budgetary restraints
  ◊   information needs of government and other regulatory bodies
  ◊   support needs and professional development needs of assessors
  ◊   characteristics of persons being assessed
  ◊   human resource management implications
  ◊   consistency of assessment decisions
  ◊   levels of flexibility in the assessment procedure
  ◊   fairness of the assessment procedure
  ◊   efficiency and effectiveness of the assessment procedure
  ◊   competencies achieved by the person(s) being assessed
  ◊   difficulties encountered during the planning and conduct of the assessment
  ◊   motivation of the person(s) being assessed
  ◊   location and resource suitability
  ◊   reliability, validity, fairness and flexibility of the assessment tool(s)
  ◊   relevance of assessment to specified context
  ◊   grievances/challenges to the assessment decision by the person(s) being assessed or their supervisor/manager/employer
  ◊   ease of administration
  ◊   access and equity considerations
  ◊   practicability.

- Characteristics of persons being assessed may include:
  ◊   language, literacy and numeracy needs
  ◊   cultural and language background
  ◊   educational background or general knowledge
  ◊   gender
  ◊   age
  ◊   physical ability
  ◊   previous experience with the topic
  ◊   experience in training and assessment
  ◊   level of confidence, nervousness or anxiety
  ◊   work organisation or roster.

- Appropriate personnel may include:
  ◊   assessors
  ◊   person(s) being assessed
  ◊   employee/union representatives
  ◊   consultative committees
  ◊   users of assessment information such as training providers, employers, human resource departments
  ◊   State/Territory Training/Recognition Authorities
  ◊   training and assessment coordinators
  ◊   relevant managers/supervisor/team leaders
  ◊   technical specialists.

Assessment procedure:
- The assessment procedure is developed (and endorsed) by person(s) responsible for the implementation of the assessment process in:
  ◊   the industry
  ◊   the enterprise
  ◊   the training organisation
  ◊   a combination of the above.

- The assessment procedure should specify the following:
  ◊   recording procedure
  ◊   appeal/review mechanism
  ◊   assessment methods to be used
  ◊   instructions/materials to be provided to the person(s) being assessed
  ◊   criteria for making decisions of competent, or not yet competent
  ◊   number of assessors
  ◊   assessment tools
  ◊   evidence required
  ◊   location of assessment
  ◊   timing of assessment
  ◊   assessment group size
  ◊   allowable adjustments to the assessment procedure depending on characteristics of person(s) being assessed.

- Assessment methods may include: a combination of:
  ◊   work samples and or simulations
  ◊   direct observation of performance, products, practical tasks, projects and simulation exercises
  ◊   review of log books and portfolios
  ◊   questioning
  ◊   consideration of third party reports and authenticated prior achievements
  ◊   written, oral or computer managed questioning

These methods may be used in combination in order to provide sufficient evidence to make a judgement.

- Assessment tools may include:
  ◊ specific instructions to be given relating to the performance of practical tasks or processes or simulation exercises
  ◊ specific instructions to be given in relations to the production projects and exercises
  ◊ sets of oral/written/computer based questions to be asked
  ◊ performance checklists
  ◊ log books
  ◊ marking guides
  ◊ descriptions of competent performance

A number of these tools may be used in combination in order to provide enough evidence to make judgments.

- Allowable adjustments may include:
  ◊ provision of personal support services (e.g. Auslan interpreter, reader, interpreter, attendant carer, scribe)
  ◊ use of adaptive technology or special equipment (e.g. work processor or lifting gear)
  ◊ design of shorter assessment sessions to allow for fatigue or medication
  ◊ use of large print version of any papers.

- Assessment environment and resources to be considered
  ◊ time
  ◊ location
  ◊ personnel
  ◊ finances/costs
  ◊ equipment
  ◊ materials
  ◊ occupational health and safety requirements
  ◊ enterprise/industry standard operating procedures.

## Evidence Guide

*Critical aspects of evidence*

- Assessment requires evidence of the following products to be collected:
  ◊ Documented process for the review of the assessment procedure(s)
  ◊ A report on the review of the operations and outcomes of the assessment procedure(s) including substantiation of findings and any recommendations for modifications.

- Assessment requires evidence of the following processes to be provided:
  ◊ How the review process for evaluating the assessments in the enterprise, industry or organisation was implemented
  ◊ Why particular review/evaluation methodologies were chosen
  ◊ How co-operation and input from the person(s) assessed and appropriate personnel was sought as part of the review.

*Interdependent assessment of units:*

This unit of competency may be assessed in conjunction with other units that form part of a job role.

*Required knowledge and skills*

- Knowledge of the review process established by the industry, enterprise or training organisation
- Knowledge of evaluation methodologies relevant to the assessment context
- Relevant standards of performance including industry or enterprise competency standards and assessment guidelines
- Knowledge of legal and ethical responsibilities including occupational health and safety regulations and procedures, equal employment and anti-discrimination requirements
- Knowledge of relevant organisational policies and procedures of the workplace and/or job roll
- Understanding of the assessment principles of reliability, validity, fairness, flexibility, authenticity, sufficiency and consistency
- Skills in the application of various assessment methods/tools in a relevant workplace context
- Planning own work including predicting consequences and identifying improvements
- Language, literacy and numeracy skills required to:
  ◊ read and interpret review procedures
  ◊ participate in discussions and listen strategically to evaluate information critically
  ◊ gather, select and organise findings from a number of sources
  ◊ document findings in summary form, graphs or tables
  ◊ present findings in a short report to relevant personnel
  ◊ make recommendations based on findings
  ◊ determine cost effectiveness
- Communication skills appropriate to the culture of the workplace and the individual(s).

*Resource implications*

Access to relevant competencies, sources of information on assessment methods, assessment tools, assessment procedures and assessment review mechanisms.

Access to assessment decisions, relevant workplace equipment, appropriate personnel.

*Consistency in performance*

Competency in this unit needs to be assessed over a period of time, in a range of contexts and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment may occur on the job or in a simulated workplace. The candidate assessor should use competencies relevant to their technical expertise.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | • | |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | | • |
| Using technology | | | • |

## Description

This unit covers the requirements for planning, delivering and reviewing training provided for the purposes of developing competency on a one-to-one or small group basis.

### 1 Prepare for training

    **1)** Specific needs for training are identified and confirmed through consultation with appropriate personnel.
    **2)** Training objectives are matched to identified competency development needs.
    **3)** Training approaches are planned and documented.

### 2 Deliver training

    **1)** Training is conducted in a safe and accessible environment.
    **2)** Training delivery methods are selected appropriate to training participant(s) needs, trainer availability, location and resources.
    **3)** Strategies and techniques are employed which facilitate the learning process.
    **4)** Objectives of the training, sequence of activities and assessment processes are discussed with training participant(s).
    **5)** A systematic approach is taken to training and the approach is revised and modified to meet specific needs of training participant(s).

### 3 Provide opportunities for practices

    **1)** Practice opportunities are provided to ensure that the participant achieves the components of competency.
    **2)** Various methods for encouraging learning are implemented to provide diverse approaches to meet the individual needs of participants.

### 4 Review training

    **1)** Participants are encouraged to self evaluate performance and identify areas for improvement.
    **2)** Participants readiness for assessment is monitored and assistance provided in the collection of evidence of satisfactory performance.
    **3)** Training is evaluated in the context of self-assessment, participant feedback, supervisor comments and measurements against objectives.
    **4)** Training details are recorded according to enterprise and legislative requirements.
    **5)** Results of evaluation are used to guide further training.

## Range of Variables

- Relevant information to identify training needs includes:
  ◊ industry/enterprise or other performance competency standards
  ◊ endorsed components of relevant industry training package
  ◊ industry/workplace training practices
  ◊ job descriptions
  ◊ results of training needs analyses
  ◊ business plans of the organisation which identify skill development requirements
  ◊ standard operating and/or other workplace procedures.

- Appropriate personnel may include:
    ◊ team leaders/supervisors/ technical experts
    ◊ managers/employers
    ◊ training and assessment coordinators
    ◊ training participants
    ◊ representative government regulatory bodies
    ◊ union/employee representatives
    ◊ consultative committees
    ◊ assessors.

- Training delivery methods and opportunities for practice may include:
    ◊ presentations
    ◊ demonstrations
    ◊ explanations
    ◊ problem solving
    ◊ mentoring
    ◊ experiential learning
    ◊ group work
    ◊ on the job coaching
    ◊ job rotation
    ◊ a combination of the above.

- Components of competency include:
    ◊ task skills
    ◊ task management skills
    ◊ contingency management skills
    ◊ job/role environment skills
    ◊ transfer and application of skills and knowledge of new contents.

Characteristics of training participant may include:
- Information in relation to:
    ◊ language, literacy and numeracy needs
    ◊ cultural, language, and educational background
    ◊ gender
    ◊ physical ability
    ◊ level of confidence, nervousness or anxiety
    ◊ age
    ◊ previous experience with the topic
    ◊ experience in training and assessment.

- Training sessions may include:
    ◊ one to one demonstration
    ◊ small group demonstration (2 to 5 persons).

- Resources may include:
    ◊ time
    ◊ location
    ◊ personnel
    ◊ materials and equipment
    ◊ occupational health and safety and other workplace requirements
    ◊ enterprise/industry standard operating procedures
    ◊ finances/costs.

- Strategies and techniques may include:
    ◊   active listening
    ◊   targeted questioning
    ◊   points of clarification
    ◊   group discussions.


### Evidence Guide

*Critical aspects of evidence*

Assessment requires evidence of the following products to be collected:
- Description of the specific training need and required competency outcomes
- Outline of the training approach and steps to be followed
- Description of training participant(s) and delivery method(s) to be used
- Specific resources required
- Outline of the evidence to be collected for monitoring training participant progress
- Trainers self assessment of training delivery
- Participant evaluation of training delivery
- Evaluation of review comments against plan of training
- Records/documentation for monitoring progress of training participant(s).
- Evidence may be collected using proformas or template.

*Assessment requires evidence of the following processes to be provided:*

- How the specific training need was determined
- How the sequence of the training was determined
- How appropriate personnel were identified
- Why particular delivery method(s) were selected
- How the characteristics of training participant(s) as identified
- How the resource requirements were established
- How participant progress was monitored
- Why and how the training resources were selected
- Appropriate personnel confirmed training arrangements
- How participant(s) were informed of:
    ◊   intended training outcomes
    ◊   competencies to be achieved
    ◊   on and/or off the job practice opportunities
    ◊   benefits of practices
    ◊   learning activities and tasks
    ◊   assessment tasks and requirements
- How constructive feedback was provided to training participant about progress toward competency to be acquired
- How training participant readiness for assessment was determined and confirmed
- How records were maintained to ensure confidentiality, accuracy and security.
- Evidence may be provided verbally or in written form.

*Interdependent assessment of units*

This unit may be assessed in conjunction with other units that form part of a job function.

# Train small groups                                                    BSZ 404 A

*Required knowledge and skills:*

- Competency in the units being taught
- Workplace application of the relevant competencies
- Identification of evidence of competency
- Planning of own work including predicting consequences and identifying improvements
- Application of relevant workplace policies (e.g. OHS and EEO) and any relevant legislative or regulatory requirements
- Correct use of equipment, and any other processes and procedures appropriate for the training
- Ethical handling of performance issues
- Language, literacy and numeracy required skills to:
  ◊ conduct discussions and ask probing questions to review the training
  ◊ gather information (in spoken or written form) for review purposes
  ◊ make verbal recommendations for delivery of future training
  ◊ adjust language to suit target audience (training participant/appropriate personnel)
  ◊ complete records on training
  ◊ provide verbal feedback and report on training outcomes
  ◊ follow and model examples of written texts
  ◊ promote training in verbal or written form
- Communication skills appropriate to the culture of the workplace, appropriate personnel and training participants.

*Resource implications*

Access to records system for training, information, and training participants and supervisory staff (where appropriate).

*Consistency in performance*

Competency in this unit needs to be assessed over a period of time, in a range of contexts and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment may occur on the job or in a simulated workplace. Candidate workplace trainers should use competencies relevant to their area of technical expertise.

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | • | |
| Planning and organising activities | | • | |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | • | |
| Using technology | | • | |

**Description**

This unit covers the requirement for persons to plan a training program. Thi involves the identification of competencies to meet the needs of a target group and the planning and promotion of appropriate training strategies.

**1          Identify the competency needs**

**1)**      The client, target group and appropriate personnel are identified and required goals and outcomes of the training program are negotiated and confirmed with the client.

**2)**      Relevant competency or other performance standards for the target group are obtained and verified with appropriate personnel.

**3)**      Gaps between the required competencies and current competencies of the target group are determined.

**4)**      Current competencies and any relevant characteristics of each participant in the target group are identified using appropriate investigation methods.

**2          Document training program requirements**

**1)**      Training program goals are identified to specify required knowledge and skill and links to specified units of competency qualification and/or other standards of performance.

**2)**      Training program documentation specifies the range of workplace applications, activities and tasks that must be undertaken to develop the requisite competencies.

**3)**      Available training programs and resources are customised to meet specific client needs, where required.

**4)**      Appropriate grouping of activities is identified to support formative and summative assessments.

**5)**      Overview of training sessions including appropriate timing and costs is prepared and confirmed with appropriate personnel including those relating to language, literacy and numeracy and specified in documentation.

**6)**      Methods of supporting and guiding participants within the target group are identified and specified.

**3          Identify program resources**

**1)**      Resources required for the program are identified and approved by appropriate personnel and allocated to meet training participants characteristics.

**2)**      Safe and accessible training environment are identified and arranged to support the development of competencies.

**3)**      Arrangements are made with personnel required to support the training program.

**4)**      A register of training resources is maintained and held in an accessible form.

**4          Promote training**

**1)**      Advice on the development of the training program is provided to appropriate personnel.

**2)**      Information on planned training events is made widely available, utilising a variety of methods.

**3)**      Promotional activities are monitored for effectiveness in collaboration with the client and appropriate personnel.

## Range of Variables

Training program:
- A collection of training activities to develop competencies of a target group. Clients provide the approvals for expenditure of training resources. Target group may include:
- employee groups (e.g. particular classification or work area, female employees)
- groups or individuals with special training and/or recognition needs.

- Training may be:
  - ◊ on the job
  - ◊ in a simulated setting
  - ◊ in a training organisation
  - ◊ in a combination of locations to suit the units of competency being learned and/or assessed
  - ◊ in a single site or multi-site operation.

- Clients may include:
  - ◊ a department/division
  - ◊ a work area
  - ◊ an enterprise or organisation.

- Clients needs may include:
  - ◊ increased productivity
  - ◊ increased enterprise profitability
  - ◊ attainment of specified industry or enterprise competencies
  - ◊ achievement of community priorities
  - ◊ achievement of government priorities.

- Information on the required competencies may be collected from:
  - ◊ industry/enterprise competency standards
  - ◊ licensing requirements
  - ◊ standard operating procedures
  - ◊ job descriptions
  - ◊ discussions with client group
  - ◊ enterprise skills audit reports
  - ◊ industry skills audit reports
  - ◊ benchmarking reports
  - ◊ industry publications or reports
  - ◊ government reports
  - ◊ market needs analysis reports.

- Training program may be based on:
  - ◊ national industry training packages
  - ◊ enterprise training packages
  - ◊ agreed curriculum
  - ◊ international standards.

- Target group competencies may be identified by:
  - ◊ matching enterprise/client needs to available national industry training packages
  - ◊ reports on assessment of competencies
  - ◊ enterprise training and assessment record keeping system
  - ◊ self, peer or supervisor reports.

- Appropriate personnel may include:
  ◊ team leaders/supervisors/managers/employers
  ◊ participant/employee/learner
  ◊ technical and subject experts including, language, literacy, numeracy specialists
  ◊ government regulatory bodies
  ◊ union/employee representatives
  ◊ consultative committees
  ◊ users of training information such as training providers, employers, human resource departments, State/Territory Training/Recognition Authorities
  ◊ assessment/training partners
  ◊ trainers/teachers and assessors.

- Training program delivery may involve:
  ◊ enterprise workplace based delivery
  ◊ training provider based delivery
  ◊ community based delivery
  ◊ school based delivery
  ◊ international programs
  ◊ combination of the above.

- Characteristics of participants may include:
  ◊ language, literacy and numeracy needs
  ◊ cultural language and education background
  ◊ educational background or general knowledge
  ◊ gender
  ◊ age
  ◊ physical ability
  ◊ previous experience with the topic
  ◊ experience in training and assessment
  ◊ level of confidence, nervousness or anxiety.

- Variables for achieving competency may include:
  ◊ characteristics of training participants
  ◊ resources (time, location, space, people and costs)
  ◊ language, literacy and numeracy issues.

- Training delivery methods may include:
  ◊ face to face
  ◊ distance learning
  ◊ lock step, partly self paced, all self paced
  ◊ trainer centred, participant centred
  ◊ real time, time independent
  ◊ place dependent, place independent
  ◊ interactive (e.g. audio, or video conferencing, computer assisted, discussion)
  ◊ mentoring
  ◊ active learning
  ◊ coaching.

- Training support may include:
  ◊ technical experts (including particular subject and language and literacy specialists)
  ◊ equipment
  ◊ team leaders/supervisors/managers/employers
  ◊ enterprises
  ◊ assessment/training partners
  ◊ trainers/teachers and assessors
  ◊ training and assessment coordinators.

- Training materials may include:
  - ◊ non-endorsed components of a training package
  - ◊ work books
  - ◊ workshop guides
  - ◊ background reading materials/documents
  - ◊ handouts
  - ◊ industry/enterprise competency standards
  - ◊ supportive policies and legislation
  - ◊ specific language, literacy and numeracy support material.

## Evidence Guide

*Critical aspects of evidence*

Assessment requires evidence of the following products to be collected:
- Description of client, target group and appropriate personnel
- Analysis of training needs of target group
- Documentation on consultations with appropriate personnel throughout the program development phase
- Outline of training program goals and supporting documentation including variables which may impact on the achievement of program goals
- Documentation on training resources and any other requirements for the training program.

*Assessment requires evidence of the following processes to be provided:*

- How client, target group and appropriate personnel were identified
- How required competencies were determined to meet the client needs
- Why there is a need for training as opposed to other non-training alternatives
- How the need for training was verified with appropriate personnel
- How appropriate personnel approved training program resources
- How language, literacy and numeracy issues were taken into consideration in the planning process.

*Interdependent assessment of units:*

This unit of competency may be assessed in conjunction with other units that form part of a job role.

*Required knowledge and skills*

- Understanding Assessment and Workplace Training Competency Standards and Assessment Guidelines
- Relevant competency standards, including industry or enterprise standards of performance
- Relationships of competencies to industrial agreements, classification systems and Australian Qualifications Framework (AQF)
- Relevant workplace policies and procedures that apply to that work and (any) related legislation or regulatory requirements(eg OHS and anti-discrimination regulations)
- Competency in unit(s) of competency relevant to the training program
- Understanding of the principles of adult learning and competency based training as applied to the target group and client
- Identification and correct use of equipment, processes and procedures relevant to competencies
- Knowledge of  methods of training needs analysis and planning
- Sources of assistance for participants requiring language or other particular training support
- Planning own work including predicting consequences and identifying improvements

- Language, literacy and numeracy skills required to:
    ◊ Collect, summarise and interpret relevant information to plan a program
    ◊ Communicate in spoken and written form with a range of people in the specified training context
    ◊ Adjust spoken and written language to suit audience
    ◊ Prepare and/or customise training materials and specified documentation using clear and comprehensible language and layout
    ◊ Calculate and estimate costs, time and length of training programs
    ◊ Awareness of language, literacy and numeracy issues relevant to the context of training and assessment, including current theories on the integration of LLandN with technical training
    ◊ Communication skills appropriate to the culture of the workplace, appropriate personnel and target group.

*Resource implications*

Access to target group, potential opportunities to identify training needs of a target group, relevant competencies or other standards of performance and resources.

Consistency in performance may include:
- Competency in this unit needs to be assessed over a period of time and in a range of contexts, and on multiple occasions, involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment may occur on the job or in a simulated workplace.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | | • |
| Using technology | | • | |

**Description**

This unit covers the requirement for persons who implement a training program for a target group. This involves planning a series of training sessions to meet the identified competency requirements of the target group.

**1          Identify training requirements**

**1)**     Current competencies of the target group are identified.
**2)**     Relevant training package documentation or approved training course documentation is obtained where applicable.
**3)**     Qualification requirements, competencies and/or other performance standards to be attained are interpreted.
**4)**     Training requirements are identified from the gap between the required competencies and the current competencies of the target group.
**5)**     Training requirements are confirmed with appropriate personnel.

**2          Develop outlines of training sessions**

**1)**     The training program goals, outcomes, performance and underpinning knowledge requirements are identified.
**2)**     The training program requirements, workplace application, activities and tasks required to develop the requisite competencies are analysed.
**3)**     A range of training delivery methods are identified which are appropriate for:
- the competencies to be achieved
- training programs goals
- characteristics of training participants
- language, literacy and numeracy skill level of training participants
- availability of equipment and resources
- Industry/enterprise contexts and requirements.
**4)**     Training session outlines are mapped against required competencies and deficiencies are identified and addressed.
**5)**     Special requirements for resources, particular practice requirements and training experiences are documented.
**6)**     Methods of supporting and guiding training participants including appropriate training resources, language literacy and numeracy support are specified.

**3          Develop training materials**

**1)**     Available materials to support the training program are checked for relevance and appropriateness in terms of the language, style, characteristics of training participants and copyright.
**2)**     Existing materials are customised or resources are developed to enhance the learning capability of training participants to achieve in the delivery setting.
**3)**     Instructions for use of learning materials and any required equipment are provided.
**4)**     Copyright laws are observed.
**5)**     Training resource costs are identified and approvals are obtained from appropriate personnel.
**6)**     Documentation, resources and materials developed or used are clear and comprehensible.

**4            Develop training sessions**

**1)**      Training session plans are developed to meet the goals of the training program.
**2)**      Training session plans specify session planned outcomes.
**3)**      Opportunities are created within training session design for participants to manage own competency acquisition and apply the relevant competencies in practice.
**4)**      Session plans identify delivery methods which are appropriate for:
- the competency to be achieved
- training programs goals
- training participants characteristics
- language, literacy and numeracy skill level of training participants
- learning resources and facilities to be used
- equipment and consumable resources available
- industry/enterprise/workplace contexts and requirements
- each outlined training session.

**5)**      Training sessions are designed to measure participant progress towards the program goals.
**6)**      Sequence and timing of the training sessions are documented.

**5            Arrange resources**

**1)**      Resources required for the training sessions are identified and, where special access is required, approved by appropriate personnel.
**2)**      Appropriate training locations are identified and arranged.
**3)**      Arrangements are made with (any) additional personnel required to support the training program.
**4)**      The training environment arranged is safe, accessible and suitable for the acquisition of the identified competencies.
**5)**      Learning resources, documentation on required competencies, assessment procedures and information on available support for training participants is organised and held in an accessible form.

**Range of Variables**

Training program may include:

A collection of training activities to meet competency requirements and target group and client needs. Clients provide the approvals for expenditure of training resources.
- Target group is the group for whom training is available and may include:
  - ◊    employee groups (e.g. particular classification or work area, female employees)
  - ◊    groups or individuals with special training and/or recognition needs.

- Training may be conducted:
  - ◊    on the job
  - ◊    in a simulated setting
  - ◊    in a training organisation
  - ◊    in a combination of locations to suit the units of competency being learned and/or assessed
  - ◊    in a single site or multi site operation
  - ◊    in a work environment.

- Appropriate personnel may include:
  - ◊ trainers/teachers and assessors
  - ◊ team leaders/supervisors/managers/employers
  - ◊ participant/employee/learner
  - ◊ technical/subject experts
  - ◊ government regulatory bodies
  - ◊ union/employee representatives
  - ◊ consultative committees
  - ◊ users of training information such as training providers, employers, human resource departments
  - ◊ State/Territory Training/Recognition Authorities
  - ◊ language, literacy, numeracy specialists
  - ◊ assessment/training partners.

- Training programs may be based on:
  - ◊ national industry training packages
  - ◊ enterprise training packages
  - ◊ national, state and local curriculum
  - ◊ enterprise based standards, standards of performance or curriculum
  - ◊ international standards
  - ◊ international programs.

- Target group competencies may be identified by:
  - ◊ reports on assessment of competencies
  - ◊ content analysis of curriculum vitae
  - ◊ enterprise training and assessment record keeping system
  - ◊ industry training and assessment recording system
  - ◊ self, peer or supervisor reports.

- Training sessions may involve:
  - ◊ theory
  - ◊ demonstration
  - ◊ combination of the two.

- Training programs may involve:
  - ◊ enterprise based delivery
  - ◊ provider based delivery
  - ◊ fee for service
  - ◊ local, state or national curricula
  - ◊ community based delivery
  - ◊ school based delivery
  - ◊ international programs
  - ◊ combination of the above.

- Characteristics of participants include:
  - ◊ language, literacy and numeracy needs
  - ◊ cultural and language background
  - ◊ educational background or general knowledge
  - ◊ gender
  - ◊ age
  - ◊ physical ability
  - ◊ previous experience with the topic
  - ◊ experience in training and assessment
  - ◊ level of confidence, nervousness or anxiety
  - ◊ work organisation or roster.

- Variables for achieving competency include:
    ◊ characteristics of training participants
    ◊ resources (time, location, space, people and costs)
    ◊ language, literacy and numeracy issues.

- Training delivery methods include:
    ◊ face to face
    ◊ distance
    ◊ lock step, partly self paced, all self paced
    ◊ trainer centred, participant centred
    ◊ real time, time independent
    ◊ place dependent, place independent
    ◊ interactive (e.g. audio or video conferencing, computer assisted, discussion).

- Materials may include:
    ◊ non-endorsed components of an industry training package
    ◊ work books
    ◊ language, literacy and numeracy support/integrated training materials
    ◊ workshop guides
    ◊ background reading materials/documents
    ◊ handouts
    ◊ industry/enterprise competency standards
    ◊ supportive policies and legislation.

- Training support may include:
    ◊ technical and subject experts
    ◊ language and literacy specialists
    ◊ team leaders/supervisors/managers/employers
    ◊ specific enterprises
    ◊ assessment/training partners
    ◊ trainers/teachers and assessors
    ◊ training and assessment coordinators.

- Practice opportunities may include:
    ◊ on the job
    ◊ off the job but located in participants workplace
    ◊ off the job in a special demonstration area
    ◊ off the job in an external training room
    ◊ work/field placements
    ◊ job rotation
    ◊ or a combination of the above.

- Training activities and tasks may include:
  ◊ oral presentations
  ◊ simulation activities
  ◊ project work
  ◊ group activities
  ◊ practical demonstrations
  ◊ assignments
  ◊ laboratory work
  ◊ shadowing, coaching, mentoring
  ◊ computer based learning
  ◊ role plays
  ◊ interviews
  ◊ discussion groups
  ◊ surveys
  ◊ action learning
  ◊ on the job learning
  ◊ off the job learning
  ◊ practical placements.

## Evidence Guide

*Critical aspects of evidence*

Assessment requires evidence of the following products to be collected:
- Description of target group, characteristics of training participants and appropriate personnel
- Outline of training program requirements to deliver training sessions, including any variables to meet to meet the characteristics of training participants
- Training session plans
- Samples of training materials
- Documentation of resources, assessment procedures and support needed in training delivery.

Assessment requires evidence of the following processes to be provided:
- How appropriate personnel were consulted
- How the session plans meet competency requirements and characteristics of training participants
- How the training was made accessible and effective for all training participants
- How training materials and resources were selected
- How training materials were prepared
- Why training methods of delivery were selected
- How/why training delivery was modified
- How language, literacy and numeracy issues were taken into consideration in the planning process.

*Interdependent assessment of units*

This unit of competency may be assessed in conjunction with other units that form part of a job role.

*Required knowledge and skills*

- Assessment and Workplace Training Competency Standards
- Relevant competency standards, including industry or enterprise standards of performance
- Relationships of competencies to industrial agreements, classification systems and Australian Qualifications Framework (AQF)
- Relevant workplace policies and procedures that apply to that work and (any) related legislation or regulatory requirements
- Competency in unit(s) of competency relevant to the training program
- Principles of adult learning and competency based training
- Identification and correct use of equipment, processes and procedures relevant to unit(s) of competencies
- Appropriate methods of analysis and planning
- Sources of assistance for participants requiring language or other particular training support
- Planning own work, including predicting consequences and identifying improvements
- Language, literacy and numeracy skills to:
  ◊ collect, summarise and interpret relevant information to plan a series of programs
  ◊ communicate in spoken and written form with a range of people in specified training context
  ◊ adjust spoken and written language to suit audience
  ◊ prepare and/or customise training materials and specified documentation use clear and comprehensible language and layout
  ◊ calculate and estimate costs, time and length of training sessions
- Awareness of language, literacy and numeracy issues relevant to the context of training and assessment, including current theories on the integration of LLandN with technical training
- Application of cultural understanding in the context of training and assessment.

*Resource implications*

Access to target group, competency training program including relevant standards and resources.

*Consistency in performance may include:*

Competency in this unit needs to be assessed over a period of time, on multiple occasions, and in a range of contexts involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment may occur on the job or in a simulated workplace.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | | • |
| Using technology | | • | |

**BSZ 407 A**                                    **Deliver training sessions**

**Description**

This unit covers the requirements for a person to deliver training sessions as part of a training program.

### 1        Prepare training participants

**1)** Training program goals and training session outcomes are explained to, and discussed with, training participants.

**2)** The training program workplace applications, training activities and tasks are explained and confirmed with the training participants.

**3)** Needs of training participants for competency acquisition are identified.

**4)** The series of training sessions for the training program are explained to training participants.

**5)** Ways in which the competencies are to be developed and assessed are explained to, and confirmed with, training participants.

**6)** Language is adjusted to suit the training participants and strategies/techniques (e.g. paraphrasing and questioning) are employed to confirm understanding.

### 2        Present training session

**1)** Presentation and training delivery are appropriate to the characteristics of training participants and the development of the competencies.

**2)** Presentation of training and design of learning activities emphasise and reinforce the components of competency
  • task skills
  • task management skills
  • contingency management skills
  • job/role environment skills
  • transfer and application of skills and knowledge to new contexts.

**3)** Presentation and training delivery methods provide variety, encourage participation and reinforce competencies.

**4)** Spoken language and communication strategies/techniques are used strategically to encourage participation and to achieve the outcomes of training sessions.

**5)** Training sessions are reviewed and modified as necessary to meet training participants needs.

**3**          **Facilitate individual and group learning**

    **1)**    The requirements for the effective participation in the learning process are explained.
    **2)**    Timely information and advice is given to training participants during training sessions.
    **3)**    Training presentations are enhanced with the use of appropriate training resources.
    **4)**    Clear and accurate information is presented in a sequence to foster competency development.
    **5)**    Language is adjusted to suit training participants.
    **6)**    Training participants are actively involved in sessions by being encouraged to ask questions, clarify points of concern and contribute comments at appropriate and identified stages.
    **7)**    Training equipment and materials are used in a way that enhances learning.
    **8)**    Supplementary information is provided to enhance and clarify understanding as required by individuals or the group.
    **9)**    Key points are summarised at appropriate times to reinforce learning
    **10)**    Individual learning and group dynamics are monitored and managed to achieve program goals.
    **11)**    Language, literacy and numeracy issues are taken into account to facilitate learning by training participants.

**4**          **Provide opportunitities for practice and feedback**

    **1)**    Process, rationale and benefits of practice of competency are discussed with training participants.
    **2)**    Practice opportunities are provided to match:
        • specific competencies to be achieved
        • context of the training program
        • specific outcomes of the training session.
    **3)**    Training participants readiness for assessment is monitored and discussed with participants.
    **4)**    Constructive feedback and reinforcement are provided through further training and/or practice opportunities.

**5**          **Review delivery of training session**

    **1)**    Training participants review of training delivery is sought.
    **2)**    The delivery of training session is discussed with appropriate personnel at appropriate times.
    **3)**    Trainer self assesses training delivery against program goals, session plans and Assessment and Workplace Training Competency Standards.
    **4)**    The reactions of relevant personnel to the delivery are sought and discussed at appropriate times.
    **5)**    Adjustments to delivery, presentation and training are considered and incorporated.

**Range of Variables**

Training program:
- A collection of training activities to develop competencies of a target group. Clients provide the approvals for expenditure of training resources. Target group includes:
  ◊   employee groups (e.g. particular classification or work area, female employees)
  ◊   groups or individuals with special training and or recognition needs.

- Appropriate personnel:
  ◊   trainers/teachers and assessors
  ◊   team leaders/supervisors/managers/employers
  ◊   participant/employee/learner
  ◊   technical experts
  ◊   government regulatory bodies
  ◊   union/employee representatives
  ◊   consultative committees
  ◊   users of training information such as training providers, employers, human resource departments
  ◊   State/Territory Training/Recognition Authorities.

- Training program may be based on:
  ◊   national industry training packages
  ◊   enterprise training packages
  ◊   national, state and local curriculum
  ◊   enterprise based standards, standards of performance or curriculum
  ◊   international standards
  ◊   international programs.

- Training programs may involve:
  ◊   enterprise based delivery
  ◊   provider based delivery
  ◊   fee for service
  ◊   local, state or national curricula
  ◊   community based delivery
  ◊   school based delivery
  ◊   international programs
  ◊   combination of the above.

- Target groups competencies may be identified by:
  ◊   reports on assessment of competencies
  ◊   content analysis of curriculum vitae
  ◊   enterprise training and assessment record keeping system
  ◊   industry training and assessment recording system
  ◊   self, peer or supervisor reports.

- Training sessions may involve:
  ◊   theory
  ◊   demonstration
  ◊   combination of the two.

- Characteristics of participants:
  - ◊  language, literacy and numeracy needs
  - ◊  cultural and language background
  - ◊  educational background or general knowledge
  - ◊  gender
  - ◊  age
  - ◊  physical ability
  - ◊  previous experience with the topic
  - ◊  experience in training and assessment
  - ◊  level of confidence, nervousness or anxiety.

- Training delivery methods may include:
  - ◊  face to face
  - ◊  distance
  - ◊  lock step, partly self paced, all self paced
  - ◊  trainer centred, participant centred
  - ◊  real time, time independent
  - ◊  place dependent, place independent
  - ◊  interactive (e.g. audio, or video conferencing, computer assisted, discussion).

- Training materials may include:
  - ◊  non-endorsed components of an industry training package
  - ◊  work books
  - ◊  workshop guides
  - ◊  background reading materials/documents
  - ◊  handouts
  - ◊  industry/enterprise competency standards
  - ◊  supportive policies and legislation.

- Practice opportunities may be:
  - ◊  on the job
  - ◊  off the job but located in participants workplace
  - ◊  off the job in a special demonstration area
  - ◊  off the job in external training room
  - ◊  work/field placements
  - ◊  job rotation
  - ◊  or a combination of the above.

- Training activities and tasks may include:
  ◊ oral presentations
  ◊ simulation activities
  ◊ project work
  ◊ group activities
  ◊ practical demonstrations
  ◊ assignments
  ◊ laboratory work
  ◊ shadowing, coaching, mentoring
  ◊ computer based learning
  ◊ role plays
  ◊ interviews
  ◊ discussion groups
  ◊ surveys
  ◊ action learning
  ◊ on the job learning
  ◊ off the job learning
  ◊ practical placements.

**Evidence Guide**

*Critical aspects of evidence*

Assessment requires evidence of the following products to be collected:
- Delivery of training sessions in a number of contexts using a range of delivery methods to competency requirements
- Training materials and resources
- Trainers self assessment of their own training delivery
- Documentation on reaction of appropriate personnel and training participants to delivery of training sessions
- Changes made to subsequent delivery practices based on feedback by training participants and appropriate personnel.

Assessment requires evidence of the following processes to be provided:
- How training participants were informed of the:
  ◊ program's goals
  ◊ competencies to be achieved
  ◊ training session outcomes,
  ◊ on and/or off the job practice opportunities
  ◊ benefits of practice
  ◊ training activities and tasks
  ◊ assessment tasks and requirements
- How the delivery of the training was conducted to ensure that:
  ◊ training participants were involved in the sessions
  ◊ language, literacy and numeracy issues were taken into consideration
- Why particular resource materials were selected
- How the characteristics of training participants were identified and addressed
- How readiness for assessment was determined and confirmed with training participants
- How constructive feedback was provided to the target group about their progress toward the programs goals
- How the group operated in terms of processes and dynamics
- How feedback from target group was received and program adjusted.

*Interdependent assessment of units*

This unit of competency may be assessed in conjunction with other units that form part of a job role.

*Required knowledge and skills*

- Knowledge of Assessment and Workplace Training Competency Standards and Assessment Guidelines
- Relevant competency standards including industry or enterprise standards

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- Relationships of competencies to industrial agreements, classification systems and the Australian Qualifications Framework (AQF)
- Relevant workplace policies and procedures that apply to that work and (any) related legislation on regulatory requirements (e.g. OHS and anti-discrimination regulations)
- Competency in unit(s) of competency relevant to the training program
- Identification and correct use of equipment, processes and procedures relevant to unit(s) of competencies
- Understanding of the principles of adult learning and competency based training as applied to target group
- Design and/or customisation of effective learning resources
- Requirements for compliance with copyright law for resources used in training
- Skills in facilitating group and individual learning in specific contexts
- Knowledge of training delivery methods/strategies
- Skills in the design of activities and tasks to facilitate learning in specific contexts
- Sources of assistance for participants requiring language or other particular training support
- Planning own work including predicting consequences and identifying improvements

- Language, literacy and numeracy required skills to:
    ◊ present information in a clear, logical and coherent manner
    ◊ present technical information using language which mirrors the language used to perform the task or skill in the relevant work context
    ◊ adjust spoken and written language to suit audience
    ◊ employ interaction strategies and techniques (e.g. probing questioning, active listening and constructive feedback) to encourage participation
    ◊ prepare learning resources and materials using language and layout features to suit intended audience
- Awareness of language, literacy and numeracy (LLandN) issues and principles in the context of training and assessment, including the integration of LLandN with technical training
- Communication skills appropriate to the culture of the workplace, appropriate personnel and target group.

### Resource implications

Access to training program, training session plans, requisite training locations, materials and target groups for training.

### Consistency in performance

Competency in this unit needs to be assessed over a period of time, in a range of context and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.

### Context for assessment

Assessment should occur in on the job or in a simulated workplace.
Assessment may occur on the job or in a simulated workplace.

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | • | |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | | • |
| Using technology | | | • |

**Description**

This unit covers the requirements of persons to record training data and review training.

### 1      Record training data

     **1)**      Details of training program and target groups competency attainment are recorded in accordance with the training system requirements and securely stored

     **2)**      Training records are made available to authorised persons and training participants at the required times, as specified in the training system recording and reporting policy documents

### 2      Evaluate training

     **1)**      Training is evaluated against identified needs and goals of the training program

     **2)**      Feedback on the training program is sought from training participants and appropriate personnel.

     **3)**      Training participants are encouraged to evaluate how progress towards achieving competency was enhanced by the training sessions.

     **4)**      Trainers performance is reviewed against:
- program goals
- the Assessment and Workplace Training Competency Standards
- training participants comments
- training participants competency attainment.

     **5)**      Results of the evaluation are used to improve current and future training.

     **6)**      Suggestions are made for improving any aspect of the recording procedure.

### 3      Report on training

     **1)**      Reports on outcomes of the training sessions are developed and distributed to appropriate personnel.

**Range of Variables**

Training program:
- A collection of training activities to develop competencies. Clients provide the approvals for expenditure of training resources. Target group is the group for whom training is available and may include:
  - ◊   employee groups (e.g. particular classification or work area, female employees)
  - ◊   groups or individuals with special training and or recognition needs.

- Training may be:
  - ◊   on the job
  - ◊   in a simulated setting
  - ◊   in a training organisation
  - ◊   in a combination of locations to suit the units of competency being developed and/or assessed
  - ◊   in a single site or a multi site operation
  - ◊   a combination of the above.

- Clients may include:
  - ◊   a department/division
  - ◊   a work area
  - ◊   an enterprise or organisation.

- Client needs may include:
  - ◊ increased productivity
  - ◊ enterprise profitability
  - ◊ attainment of specified industry or enterprise competencies
  - ◊ achievement of community priorities
  - ◊ achievement of government priorities.

- Characteristics of participants may include:
  - ◊ language, literacy and numeracy needs
  - ◊ cultural language and education background
  - ◊ educational background or general knowledge
  - ◊ gender
  - ◊ age
  - ◊ physical ability
  - ◊ previous experience with the topic
  - ◊ experience in training and assessment
  - ◊ level of confidence, nervousness or anxiety.

- Training system may be developed by:
  - ◊ the industry
  - ◊ the enterprise
  - ◊ the training organisation
  - ◊ a combination of the above.

- Reports on training may be:
  - ◊ on a proforma or template
  - ◊ written
  - ◊ verbal
  - ◊ combination of the above.

- Training evaluation may include:
  - ◊ affective (e.g. satisfaction with the program)
  - ◊ cognitive (e.g. knowledge or skill gain)
  - ◊ performance or behaviour (e.g. absenteeism from work, productivity)

- Appropriate personnel may include:
  - ◊ trainers/teachers and assessors
  - ◊ team leaders/supervisors/managers/employers
  - ◊ participant/employee/learner
  - ◊ technical experts (e.g. language and literacy coordinators)
  - ◊ government regulatory bodies
  - ◊ union/employee representatives
  - ◊ consultative committees
  - ◊ users of training information such as training providers, employers, human resource departments
  - ◊ state/territory training/recognition authorities.

- Record systems may be:
  - ◊ paper based
  - ◊ computer based systems using magnetic or optical storage
  - ◊ combination of both paper and computer based systems.

- Training session may involve:
  - ◊ theory
  - ◊ demonstration
  - ◊ or a combination of the two.

- Training programs may involve:
  ◊ enterprise based delivery
  ◊ provider based delivery:
  ◊ fee for service
  ◊ local, state or national curricula
  ◊ community based delivery
  ◊ school based delivery
  ◊ international programs
  ◊ combination of the above.

- Variables for achieving competency may include:
  ◊ participant characteristics
  ◊ resources (time, location, space, people and costs)
  ◊ language, literacy and numeracy issues.

- Training delivery methods:
  ◊ face to face
  ◊ distance
  ◊ lock step, partly self paced, all self paced
  ◊ trainer centred, participant centred
  ◊ real time, time independent
  ◊ place dependent, place independent
  ◊ interactive (e.g. audio, or video conferencing, computer assisted, discussion).

- Training materials may include:
  ◊ non-endorsed components of an industry training package
  ◊ work books
  ◊ workshop guides
  ◊ background reading materials/documents
  ◊ handouts
  ◊ industry/enterprise competency standards
  ◊ supportive policies and legislation.

- Training support may come from:
  ◊ technical and subject experts (including particular subject and language and literacy specialists)
  ◊ language and literacy specialists
  ◊ team leaders/supervisors/managers/employers
  ◊ specific enterprises
  ◊ assessment/training partners
  ◊ trainers/teachers and assessors
  ◊ training and assessment coordinators.

- Practice opportunities may be:
  ◊ on the job
  ◊ off the job but located in participants workplace
  ◊ off the job in a special demonstration area
  ◊ off the job in external training room
  ◊ work/field placements
  ◊ job rotation
  ◊ or a combination of the above.

## Evidence Guide

*Critical aspects of evidence*

Assessment requires evidence of the following products to be collected:
- Evaluation reports in accordance with performance criteria(trainer, trainees and appropriate personnel)
- Training and assessment records
- Reports on the outcomes of the training sessions and training program
- Plans for current and future training programs and activities
- Promotional materials/reports
- Costs incurred.

Assessment requires evidence of the following processes to be provided:
- How and why evaluation methods were selected
- How evaluation information was gathered and acted upon
- How the report on training sessions/programs was made to appropriate personnel
- How records are maintained, kept confidential and secured.

*Interdependent assessment of units*

This unit of competency may be assessed in conjunction with other units that form part of a job role.

*Required knowledge and skills:*

- Assessment and Workplace Training Competency Standards
- Relevant competency standards, including industry or enterprise standards of performance
- Legal and ethical responsibilities including occupational health and safety regulations and procedures, equal employment and anti-discrimination requirements and other policies relevant to the specified context.
- Policies and procedures relating to the organisations training system including those requirements for recording and maintaining confidential, secure and accurate records
- Evaluation and review methodologies including those that produce qualitative and quantitative data
- Establishment of criteria to evaluate training programs
- Adaptation and use of training record systems for formative and summative assessment
- Planning own work including predicting consequences and identifying improvements
- Language, literacy and numeracy skills such as those required to:
  ◊ collect, organise and analyse data
  ◊ prepare reports, questionnaires and promotional material
  ◊ present qualitative and quantitative data in a clear and coherent manner
  ◊ use probing questioning and active listening techniques to seek feedback on training
  ◊ adjust spoken and written language to suit audience
- Awareness of language, literacy and numeracy issues and principles in the context of training and assessment, including the integration of LLandN with technical training
- Application of cultural understanding in the context of training and assessment.

*Resource implications*

Access to training record systems, programs, and appropriate personnel.
Opportunities to discuss training outcomes with appropriate personnel. Access to unit(s) of competency to be assessed, relevant training programs and materials and resources for the development of training arrangements.

*Consistency in performance may include:*

Competency in this unit needs to be assessed over a period of time, in a range of contexts on multiple occasions, involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment should occur on the job or in a simulated workplace.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | | • |
| Using technology | | | • |

**Description**

This unit applies to persons required to research and document competency requirements. It covers including identification and review of relevant sources of information, and development of an implementation plan.

**1        Identify client competency needs**

    **1)**     The client and stakeholders are consulted to identify and document client competency needs.

    **2)**     Competency needs are defined using information collected from stakeholders.

    **3)**     The needs are grouped according to type, priority and possible solutions.

**2        Undertake needs analysis**

    **1)**     A plan is developed for the needs analysis outlining:
- outcomes
- resources
- timelines
- personnel and responsibilities
- target group(s).
- sources of information.

    **2)**     Sources of information in relation to competency needs and the scope of the competencies are identified.

    **3)**     Data gathering methods are adapted/ developed for efficient, reliable and valid information collection.

    **4)**     Any requirements of qualifications or assessment or training recognition bodies are identified.

    **5)**     Information is collected, organised and analysed to identify competency components.

    **6)**     Groupings of competencies are established to suit the requirements for competency development of the target group(s).

**3        Confirm findings of research**

    **1)**     Consultations with stakeholders are conducted to verify research accuracy, useability within the intended context(s) and validity for the target group(s).

    **2)**     Priorities for implementation of competency development are determined in terms of business goals, individual and organisational effectiveness, Resource implications, cost benefit and lead time requirements.

    **3)**     Identified priorities and competencies are documented and validated by stakeholders.

**4**        **Document competency requirements**

**1)**      Competency requirements are documented in a manner appropriate to client needs.
**2)**      Combinations of competencies are identified to match the required:
- business goals of the client organisation
- job roles
- skills related career paths
- classifications
- position descriptions
- training programs
- appraisal requirements.
- licensing or accreditation conditions

**3)**      Implementation plan is developed including:
- marketing and promotion
- resource allocation.
- timelines.

**5**        **Validate competencies and implementation plan**

**1)**      Stakeholders are involved in the validation of documented competencies and implementation plan and established processes are used to approve documentation.
**2)**      Adjustments to documentation are made as required.
**3)**      Documentation is approved through established processes.
**4)**      Any changes in related procedures, policies and processes are endorsed by stakeholders for implementation.

**Range of Variables**

- Clients needs may include:
  ◊ increased productivity
  ◊ increased enterprise profitability
  ◊ attainment of specified industry or enterprise competencies
  ◊ achievement of community priorities
  ◊ achievement of government priorities
  ◊ regulation or licensing requirements.

- Stakeholders may include:
  ◊ industry/professional/trade associations
  ◊ trainers/teachers and assessors
  ◊ team leaders/managers/employers
  ◊ training and assessment coordinators
  ◊ participants/employees/learners
  ◊ technical experts
  ◊ government regulatory bodies
  ◊ union/employee representatives
  ◊ consultative committees
  ◊ relevant industry training advisory bodies
  ◊ funding bodies
  ◊ State/Territory Training/Recognition Authorities.

- Competency needs may include:
    ◊ adaptation of industry competency standards to meet business goals
    ◊ design or review of training program(s)
    ◊ identification of productivity and other improvements
    ◊ access and equity considerations
    ◊ human resources considerations (e.g. classification structure).

- Sources of information may include:
    ◊ industry/enterprise competency standards, including international information
    ◊ training packages
    ◊ curriculum and other training program information
    ◊ licensing requirements
    ◊ government legislation, policies and practices
    ◊ job descriptions
    ◊ observations of competent workers
    ◊ enterprise skills audit reports
    ◊ industry skills audit reports
    ◊ workplace conditions, policies and standard operating procedures
    ◊ benchmarking reports
    ◊ industry publications or reports
    ◊ market needs analysis reports
    ◊ quality assurance procedures.

- Data gathering methods may include:
    ◊ survey methods
    ◊ interviews
    ◊ Delphi procedures
    ◊ nominal group techniques
    ◊ concept mapping
    ◊ focus groups
    ◊ job and task analysis
    ◊ analysis of assessment and/or training records.

## Evidence Guide

*Critical aspects of evidence*

Assessment requires evidence of the following products to be collected:
- Documented client competency needs
- Competency needs analysis plan
- Report of research into competency needs
- Classification of need according to type, priority and possible solution
- Documented competencies
- Implementation plan.

Assessment requires evidence of the following processes to be provided:
- How the client and stakeholders were consulted to identify competency requirements
- How the needs analysis and competencies proposed will contribute to organisational effectiveness
- Why particular data gathering method(s) was used
- How the data gathering methods and any other instrument(s) used were checked for validity, reliability, cost-effectiveness, administration ease, acceptability and appropriateness
- How the implementation plan was developed.

*Interdependent assessment of units:*

This unit may be assessed in conjunction with other units that form part of a job role.

*Required knowledge and skills:*

- Any relevant competency standards, assessment guidelines and Australian Qualifications Framework (AQF)
- Relationship of the competencies, any industrial agreements and skill based classification systems with organisation effectiveness
- Understanding of data gathering and needs analysis theory and methodology
- Language and literacy skills required to comprehend sources of information and to prepare required documentation in a clear and comprehensible format
- Planning of own work including predicting consequences and identifying improvements
- Compliance with requirements for copyright and other regulatory requirements
- Communication skills appropriate to the culture of the workplace.

*Resource implications*

Access to relevant clients, stakeholders and sources of information required in needs analysis.

*Consistency in performance:*

Competency in this unit needs to be assessed over a period of time, in a range of contexts and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment may occur on the job or in a simulated workplace.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | | • |
| Using technology | | | • |

**Description**

This unit covers the requirements for a person to design and establish a training system.

**1          Determine boundaries of the training**

**1)**     Services are determined and established through consultation with the client and stakeholders and a training policy documented.
**2)**     Stakeholder relationships are maintained through a range of communication mechanisms and the establishment of a service support structure.
**3)**     The financial, physical and human resources available to support the system are identified within agreed quality assurance procedures.

**2          Determine training systems features**

**1)**     The key operational features and constraints of the training system are determined in consultation with stakeholders.
**2)**     The key operational features of the system are verified with appropriate personnel and clients and the agreed features of the system are documented.

**3          Match needs with resources**

**1)**     The expertise and roles of internal and external individuals and organisations/partners are identified.
**2)**     A budget, detailing development costs, implementation and maintenance costs of the proposed system, is developed, including partner organisations, if applicable.

**4          Design and develop a training records system**

**1)**     The record keeping system is designed to allow easy tracking of training participants progress as well as other agreed features.
**2)**     The record keeping system allows for the storage of detailed information and is designed to be secure, confidential, easy to administer and update.
**3)**     The record keeping system is developed to allow for appropriate quality assurance requirements and verified for compliance with accepted enterprise/ industry procedures for record keeping and legislative requirements.
**4)**     The record keeping system is designed and verified to allow for fair and consistent responses to grievances.
**5)**     The record keeping system is designed to ensure that relevant legislative and regulatory requirements are met.

**5          Establish procedures for the review of training**

**5)**     Review procedures are developed and documented in consultation with stakeholders.

**6**         **Select and provide for training of system users**

**1)**      The required mix of personnel and competencies to implement the training system are identified.

**2)**      Appropriate training strategies are identified modified or developed for trainers and other personnel involved in the training system to acquire competencies.

**3)**      The training programs selected or developed for assessors and trainers are verified to meet the Assessment and Workplace Training Competency Standards and other relevant competency standards.

**7**         **Establish quality assurance procedures**

**1)**      A quality assurance team or committee is established in consultation with appropriate personnel.

**2)**      Quality assurance procedures, including verification processes are developed in consultation with appropriate personnel.

**3)**      The verification processes involves a representative sample of training activities and makes effective use of resources.

**4)**      The quality assurance procedures are trialed for fairness, efficiency and effectiveness.

**5)**      The quality assurance procedures are documented and distributed to trainers and other appropriate personnel.

**6)**      Procedures are established to determine the level of compliance with the training system.

**Range of Variables**

- Clients needs may include:
  ◊ increased productivity
  ◊ increased enterprise profitability
  ◊ attainment of specified industry or enterprise competencies
  ◊ achievement of community priorities
  ◊ achievement of government priorities
  ◊ licensing or accreditation requirements.

- Stakeholders may include:
  ◊ industry/professional/trade associations
  ◊ trainers/teachers and assessors
  ◊ team leaders/managers/employers
  ◊ training and assessment coordinators
  ◊ participants/employees/learners
  ◊ technical experts
  ◊ government regulatory bodies
  ◊ union/employee representatives
  ◊ consultative committees
  ◊ relevant industry training advisory bodies
  ◊ funding bodies
  ◊ State/Territory Training/Recognition Authorities.

- Partners may include:
  - ◊ public/private/community training providers
  - ◊ schools
  - ◊ universities
  - ◊ enterprises
  - ◊ industry organisations
  - ◊ international organisations
  - ◊ government agencies
  - ◊ community organisations
  - ◊ individuals including technical experts, training and/or assessment specialists.

- Key operational features may include:
  - ◊ the purpose of the training and the relevant competency outcomes of the training
  - ◊ competencies and certification required of trainers
  - ◊ record keeping system requirements, procedures and policies
  - ◊ training context requirements and procedures to match identified competencies
  - ◊ characteristics of training participants
  - ◊ any allowable adjustments to the training methods for training participants
  - ◊ access and equity considerations
  - ◊ relevant Commonwealth/State or Territory legislative and regulatory requirements
  - ◊ arrangements for recognition of competencies
  - ◊ partnership arrangements
  - ◊ location of training
  - ◊ the review and evaluation process including quality assurance procedures
  - ◊ allocation of costs/fees (if applicable)
  - ◊ marketing/promotion of system.

- Operational constraints may include:
  - ◊ time available
  - ◊ relative cost implications
  - ◊ budgetary constraints
  - ◊ geographical and resource constraints
  - ◊ availability of stakeholders and other personnel.

- Purpose of training may include:
  - ◊ productivity improvement
  - ◊ professional development requirements
  - ◊ competency acquisition
  - ◊ induction of new employees
  - ◊ refresher training for competency maintenance
  - ◊ legislative or government regulatory requirements
  - ◊ access and equity considerations.

- Characteristics of participants may include:
  - ◊ language, literacy and numeracy needs
  - ◊ cultural, language and educational background
  - ◊ gender
  - ◊ physical ability
  - ◊ level of confidence, nervousness or anxiety
  - ◊ age
  - ◊ experience with topic
  - ◊ learning styles
  - ◊ work/family commitments
  - ◊ reasons for undertaking training.

- Record system may be:
    - ◊   paper based system, such as forms or checklists
    - ◊   computer-based system using magnetic or optical storage
    - ◊   or a combination of both paper and computer-based system.

NB-statutory and government regulations for maintaining records may vary.

- Quality assurance procedures may include:
    - ◊   conduct of regular internal and external reviews (person(s) being trained, peer, self and supervisor)
    - ◊   professional development of participants
    - ◊   sampling and evaluation of implementation of competencies
    - ◊   assessment of the assessors/trainers competencies
    - ◊   modifications of the competency system based on evaluation and reviews
    - ◊   promotion of regular networking amongst developers, assessors/trainers and peer review amongst persons responsible for planning, conducting and reviewing assessments/training within the system.

- Sources of information may include:
    - ◊   industry/enterprise competency standards, including international information
    - ◊   training packages
    - ◊   curriculum and other training program information
    - ◊   licensing requirements
    - ◊   government legislation, policies and practices
    - ◊   job descriptions
    - ◊   observations of competent workers
    - ◊   enterprise skills audit reports
    - ◊   industry skills audit reports
    - ◊   workplace conditions, policies and standard operating procedures
    - ◊   benchmarking reports
    - ◊   industry publications or reports
    - ◊   market needs analysis reports
    - ◊   quality assurance procedures.

- Policy may include:
    - ◊   purposes of training
    - ◊   industrial relations issues
    - ◊   what and who is to be trained
    - ◊   timing of training
    - ◊   links with other human resources functions
    - ◊   appeal/review mechanisms
    - ◊   criteria for making decisions of competent, or not yet competent
    - ◊   number of trainers
    - ◊   allowable adjustments to training/assessment to suit characteristics of training participants
    - ◊   record keeping requirements
    - ◊   recognition of prior learning/recognition of current competencies
    - ◊   development costs and resources
    - ◊   evaluation
    - ◊   licensing arrangements
    - ◊   qualifications

**Evidence Guide**

*Critical aspects of evidence*

Assessment requires evidence of the following products to be collected:
- Training policy
- Description of the client and stakeholders
- Documentation on the features of the training system
- Report on sources of information researched to determine training system
- Summary of available financial, physical and human resources
- Analysis of possible constraints for training implementation
- Report of the design, development, maintenance and security of the record keeping system
- Documented review procedures for training system
- Description of selection criteria and training programs for trainers and other personnel involved in the training system
- Documentation of quality assurance mechanisms.

Assessment requires evidence of the following processes to be provided:
- How stakeholders were consulted and agreement was reached on operational features and quality assurance procedures
- How the following criteria were incorporated in the training system:
  ◊ fairness, equity and accessibility of the training system
  ◊ security and access requirements of the record keeping system
  ◊ selection criteria for training personnel
  ◊ selection and training of training personnel
  ◊ feasibility, cost effectiveness and practicability of training system
  ◊ review procedures, currency of records
  ◊ currency of records
- How and why information needed in the development of the training system was sourced
- How the resources needed were researched and availability confirmed
- How the features of the training system, implementation plan and quality assurance procedures were verified.

*Interdependent assessment of units*

This unit of competency may be assessed in conjunction with other units that form part of a job role.

*Required knowledge and skills:*

- Language and literacy skills to comprehend sources of information and to prepare required documentation
- Familiarity with relevant industry/enterprise competency or performance standards
- Analysis of competencies to determine appropriate training system requirements
- Knowledge of quality assurance methodology
- Knowledge of record keeping systems, particularly those related to training
- Knowledge of compliance requirements for copyright and other regulatory requirements
- Knowledge of client work systems and equipment.
- Identification and correct use of equipment, processes and procedures:
- Knowledge of review/evaluation methodology, particularly as it relates to training
- Planning own work including predicting consequences and identifying improvements
- Communication skills appropriate to the culture of the workplace.

*Resource implications*

Access to clients, sources of information and resources for the development of a training system.

*Consistency in performance*

Competency in this unit needs to be assessed over a period of time, in a range of contexts and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment may occur on the job or simulated workplace.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | | • |
| Using technology | | | • |

**BSZ 503 A**                          **Design and establish the assessment system**

**Description**

This unit covers the requirements for a person to design and establish an assessment system.

**1          Determine client needs**

   **1)**     The needs of the client are identified.
   **2)**     Client services are determined and established to stakeholders satisfaction.
   **3)**     Stakeholder relationships are maintained through a range of communication mechanisms.
   **4)**     A service support structure is established and made known to clients.

**2          Determine assessment boundaries**

   **1)**     The purpose(s) of the assessment system is established through consultation with the client and other stakeholders.
   **2)**     A policy document is developed in consultation with stakeholders and clients.
   **3)**     The financial, physical and human resources available to support the system within agreed quality assurance procedures are identified.
   **4)**     The system is verified to take into account the realities and constraints of particular contexts.

**3          Establish assessment system features**

   **1)**     The key operational features of the system are determined in consultation with stakeholders.
   **2)**     The key operational features of the system are verified for fairness, equity and access with appropriate personnel and agreed features documented.

**4          Match needs with resources**

   **1)**     Applicable competency standards or other performance standards are identified.
   **2)**     The expertise and roles of internal and external individuals and organisations/partners are identified.
   **3)**     A budget, detailing development costs, implementation and maintenance costs of the proposed assessment system, is developed in consultation with appropriate personnel, including partner organisations, if applicable.

**5          Design and develop record system**

   **1)**     A record keeping system is designed which is secure, confidential and easy to administer, yet allows the storage of complex or detailed information.
   **2)**     The record keeping system is designed to allow easy tracking of persons' progress towards the attainment of qualifications, units of competency or of learning outcomes.
   **3)**     The record keeping system is verified to allow for appropriate certification requirements, where relevant.
   **4)**     Adherence to legislative requirements and procedures are established which enable the record keeping system to be updated with ease when required.
   **5)**     The record keeping system is verified for consistency with accepted enterprise/industry procedures for record keeping.

**6      Establish procedures for the review of assessment**

**1)**    Review procedures are designed consultation with stakeholders and verified to allow for fair and consistent responses to grievances.

**2)**    Review procedures are designed to ensure that relevant legislative and regulatory requirements are met.

**7      Select and provide for training and support of assessors**

**1)**    Selection criteria for assessors is established in consultation with appropriate personnel.

**2)**    Appropriate training strategies or programs for assessors to acquire or update competencies are identified, modified or developed.

**3)**    Training programs selected or developed for assessors are verified to meet the Assessment and Workplace Training Competency Standards and other required competencies.

**8      Establish quality assurance procedures**

**1)**    A quality assurance team or committee is established in consultation with system stakeholders.

**2)**    Quality assurance procedures, including verification processes are developed in consultation with system stakeholders.

**3)**    The verification processes involve a representative sample of assessment activities and make effective use of resources.

**4)**    The quality assurance procedures are trialed for fairness, efficiency and effectiveness.

**5)**    The quality assurance procedures are documented and distributed to assessors/trainers and other appropriate personnel.

**6)**    Procedures are established to determine the level of compliance with the assessment system.

**Range of Variables**

- Clients needs may include:
  - ◊ increased productivity
  - ◊ increased enterprise profitability
  - ◊ attainment of specified industry or enterprise competencies
  - ◊ achievement of community priorities
  - ◊ achievement of government priorities.

- Stakeholders may include:
  - ◊ industry/professional/trade associations
  - ◊ trainers/teachers and assessors
  - ◊ team leaders/managers/employers
  - ◊ training and assessment coordinators
  - ◊ participants/employees/learners
  - ◊ technical experts
  - ◊ government regulatory bodies
  - ◊ union/employee representatives
  - ◊ consultative committees
  - ◊ relevant industry training advisory bodies
  - ◊ funding bodies
  - ◊ State/Territory Training/Recognition Authorities.

- Key operational features may include:
  - ◊ the purpose of the assessment(s)
  - ◊ competencies and certification required of assessors
  - ◊ record keeping procedures and policies
  - ◊ evidence requirements and procedures
  - ◊ selected/appropriate assessment methods
  - ◊ characteristics of persons being assessed
  - ◊ any allowable adjustments to the assessment methods to meet characteristics of persons being assessed
  - ◊ access and equity considerations
  - ◊ the appeal mechanisms and procedures
  - ◊ the review and evaluation process
  - ◊ the link with qualifications/awards, employee classification, remuneration and progression
  - ◊ relevant Commonwealth/State or Territory legislative and regulatory requirements
  - ◊ arrangements for the issuing of qualifications or statements of attainment and for recognising and recording current competencies
  - ◊ partnership arrangements
  - ◊ location of assessment
  - ◊ quality assurance procedures
  - ◊ allocation of costs/fees (if applicable)
  - ◊ marketing/promotion of system.

- Purpose of assessment may include:
  - ◊ diagnosing performance
  - ◊ classifying an employee
  - ◊ confirming an employees competency for the purpose of career advancement
  - ◊ awarding a qualification or statement of attainment
  - ◊ confirming progress in learning
  - ◊ recognition of current competency/recognition of prior learning.

- Operational constraints may include:
  - ◊ time available
  - ◊ relative cost
  - ◊ availability of stakeholders and other personnel
  - ◊ budgetary constraints
  - ◊ geographical and resource constraints.

- Quality assurance procedures may include:
  - ◊ conduct of regular internal and external reviews (persons being assessed/trained, peer, self and supervisor)
  - ◊ professional development of participants
  - ◊ sampling and evaluation of implementation of competencies
  - ◊ assessment of the assessors/trainers competencies
  - ◊ modifications of the competency system based on evaluation and reviews
  - ◊ promotion of regular networking amongst developers, assessors/trainers and peer review amongst persons responsible for planning, conducting and reviewing assessments/training within the system.

- Sources of information may include:
  ◊ industry/enterprise competency standards,
  ◊ training packages
  ◊ curriculum and other training program information
  ◊ licensing requirements
  ◊ job descriptions
  ◊ discussions with client group
  ◊ observations of competent workers
  ◊ enterprise skills audit reports
  ◊ industry skills audit reports
  ◊ standard operating procedures
  ◊ benchmarking reports
  ◊ industry publications or reports
  ◊ government reports
  ◊ market needs analysis reports.

- Policy may include:
  ◊ purposes of assessment
  ◊ human resource management issues
  ◊ what and who is to be assessed
  ◊ timing of assessments
  ◊ links with other human resources functions
  ◊ appeal/review mechanisms
  ◊ criteria for making decisions of competent, or not yet competent
  ◊ number of assessors
  ◊ allowable adjustments to the assessment procedure
  ◊ record keeping requirements
  ◊ recognition of prior learning/recognition of current competencies
  ◊ development costs and resources
  ◊ evaluation.

- Characteristics of persons being assessed may include:
  ◊ language, literacy and numeracy needs
  ◊ cultural, educational and general knowledge background
  ◊ gender
  ◊ physical ability
  ◊ level of confidence
  ◊ age
  ◊ previous experience with the topic
  ◊ experience in assessment.

- Record system may include:
  ◊ paper-based system, such as forms on checklists
  ◊ computer-based system using magnetic or optical storage
  ◊ combination of both paper and computer-based system.

*NB- statutory and government regulations for maintaining records may vary.*

**Evidence Guide**

*Critical aspects of evidence*

Assessment requires evidence of the following products to be collected:

- Assessment policy
- Description of the client and stakeholders
- Description of assessment system boundaries
- Report on sources of information for determining assessment system
- Report on the design, development, maintenance and security of the record keeping system
- Summary of available financial, physical and human resources
- Documented review procedures of assessment activities
- Documented assessor training and professional development strategies
  Documentation of quality assurance mechanisms.

Assessment requires evidence of the following processes to be provided:
- Why particular assessment system features were incorporated
- How the record keeping system was designed to meet security and access requirements
- How fairness, equity and accessibility of the system were verified
- Why and how the selection criteria for assessors was chosen
- How the review procedures were verified
- How the quality assurance procedures were established, verified and implemented
- How the currency of records and ease of retrieval are ensured
  Why procedures for promoting and communicating the assessment system were chosen/developed.

*Interdependent assessment of units*

This unit of competency may be assessed in conjunction with other units that form part of a job role.

*Required knowledge and skills*

- Language and literacy skills to comprehend sources of information and to prepare required documentation in a clear and comprehensible format
- Knowledge of relevant industry/enterprise competency or performance standards
- Knowledge of the Assessment and Workplace Training Competency Standards and Assessment Guidelines
- Knowledge of record keeping systems particularly related to assessment
- Knowledge of quality assurance methodology
- Knowledge of compliance with requirements for copyright and other regulatory requirements
- Knowledge of client work systems and equipment
- Identification and correct use of equipment, processes and procedures
- Knowledge of review/evaluation methodology, particularly as it relates to assessment.

*Resource implications*

Access to relevant clients, stakeholders and sources of information to address required skills and knowledge and to design and establish an assessment system.

*Consistency in performance*

Competency in this unit needs to be assessed over a period of time, in a range of contexts and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment may occur on the job or in a simulated workplace.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | | • |
| Using technology | | | • |

**BSZ 504 A**            **Manage the training and assessment system**

**Description**

This unit covers the requirements for persons responsible for managing a training and assessment system. The unit applies equally to those operating in assessment only or training and assessment contexts.

| **1** | **Communicate the system** |
|---|---|

**1)** System features and procedures are documented and circulated to appropriate personnel.
**2)** Procedures are established for keeping appropriate personnel regularly informed about the key features of the training and assessment system.
**3)** Recognised products and services are accurately presented to prospective clients.
**4)** The contribution of training and assessment to organisational goals is reported.

| **2** | **Support trainers and/or assessors** |
|---|---|

**1)** Checks are made to ensure assessors and/or trainers meet the relevant competency standards and system requirements.
**2)** The training needs of trainers and/or assessors arising from their roles are identified.
**3)** Procedures are developed for trainers and/or assessors to update competency, and to review and reflect on their work.
**4)** Trainers and/or assessors are provided with accurate advice and ongoing support in their roles.
**5)** Procedures to facilitate networking amongst trainers and assessors are established.

| **3** | **Manage the record keeping system** |
|---|---|

**1)** Records are maintained for currency and adherence to government regulatory and organisational requirements.
**2)** The record keeping system is maintained to ensure confidentiality and security of information.
**3)** The record keeping system is reviewed and updated to meet changing technology and system requirements.

| **4** | **Maintain quality assurance procedures** |
|---|---|

**1)** The quality assurance procedures are monitored against requirements, non-conformities are noted and appropriate action is taken.
**2)** Internal audits of the training and assessment system are undertaken, non-conformities are noted and corrective action implemented.
**3)** Information from the quality assurance process is used to:

- enable appropriate planning, resourcing and recording arrangements

- identify any special requirements of persons being trained or assessed

- assess the training and development for trainers and assessors.

**4)** Validity, reliability, fairness and accuracy of the implementation of the training and assessment system is checked and reports developed.

**5**        **Maintain records for audits**

**1)**      Verification records are accurate and the frequency and purpose of audits are identified.

**2)**      Accurate reports on audits and advisory activities are made available.

**3)**      Reports describe accurately whether the organisation meets the required criteria.

**4)**      Concerns regarding the design and implementation of training and/or assessment and the interpretation of standards are clearly and promptly reported to the auditing body.

**5)**      Clear recommendations for improvements to training and assessment practices, training and assessment system and infrastructure requirements are developed.

**6)**      Identified good practice is reported clearly and accurately.

**Range of Variables**

- Appropriate personnel may include:
  ◊ trainers/teachers and assessors
  ◊ team leaders/supervisors/employers
  ◊ training and assessment coordinators
  ◊ participants/employees/learners
  ◊ technical experts
  ◊ government regulatory bodies
  ◊ union/employee representatives
  ◊ consultative committees
  ◊ relevant industry training advisory bodies
  ◊ users of training information such as training providers, employers, human resource departments
  ◊ State/Territory Training/Recognition Authorities.

- Purposes of assessment may include:
  ◊ diagnosing performance
  ◊ classifying an employee
  ◊ confirming an employees competency for the purpose of career advancement/job level
  ◊ awarding a qualification or statement of attainment
  ◊ confirming progress in learning
  ◊ recognition of current competency/recognition of prior learning.

- Purpose of training may include:
  ◊ productivity improvement
  ◊ professional development requirements
  ◊ competency acquisition
  ◊ induction of new employees
  ◊ refresher training for competency maintenance
  ◊ legislative or government regulatory requirements
  ◊ access and equity considerations.

- System may be developed by:
  ◊ the industry
  ◊ the enterprise
  ◊ the training organisation
  ◊ a combination of the above.

- Policies may include:
  - ◊ purposes of training and assessment
  - ◊ human resource management issues
  - ◊ what and who is to be trained and assessed
  - ◊ timing of training and assessments
  - ◊ links with human resource functions
  - ◊ evidence types
  - ◊ assessment methods
  - ◊ record keeping requirements
  - ◊ recognition of current competencies/recognition of prior learning
  - ◊ development costs and resources
  - ◊ evaluation.

- Operational constraints may include:
  - ◊ time available for the development of competencies
  - ◊ relative cost of information gathering strategies
  - ◊ availability of stakeholders for review and feedback.

- Quality assurance procedures may include:
  - ◊ conduct of regular internal and external reviews (person(s) being assessed/trained, peer, self and supervisor)
  - ◊ professional development of participants
  - ◊ sampling and evaluation of implementation of competencies
  - ◊ assessment of the assessors/trainers competencies
  - ◊ modifications of the competency system based on evaluation and reviews
  - ◊ promotion of regular networking amongst developers, assessors/trainers and peer review amongst persons responsible for planning, conducting and reviewing assessments/training within the system.

- The auditing body may be State/Territory Training/Recognition Authority.

- Sources of information may include:
  - ◊ industry/enterprise competency standards, including international information
  - ◊ training packages
  - ◊ curriculum and other training program information
  - ◊ licensing requirements
  - ◊ government legislation, policies and practices
  - ◊ job descriptions
  - ◊ observations of competent workers
  - ◊ enterprise skills audit reports
  - ◊ industry skills audit reports
  - ◊ workplace conditions, policies and standard operating procedures
  - ◊ benchmarking reports
  - ◊ industry publications or reports
  - ◊ market needs analysis reports
  - ◊ quality assurance procedures.

## Evidence Guide

*Critical aspects of evidence*

Assessment requires evidence of the following products to be collected:
- Records which are current and meet legislative, industry/enterprise requirements
- A record keeping system which maintains confidentiality, is secure and effectively uses appropriate technology
- Documentation used to inform all appropriate personnel about the training and assessment system
- Information on procedures for trainers and assessors to update personal competency and review and reflect on assessment and training issues and personal performance
- Documentation on the implementation of quality assurance procedures, including
  ◊ moderation and monitoring of training and assessment decisions
  ◊ an appeal procedure for assessment decisions
  ◊ conduct of regular internal or external reviews and evaluation
  ◊ sampling and evaluation of judgements of evidence and assessment decisions and training effectiveness to check their fairness and accuracy
  ◊ modifications of the system based on evaluations and reviews
  ◊ referral of any recommended changes/modifications to the system.

Assessment requires evidence of the following processes to be provided:

- How opportunities are provided for trainers and assessors to practice and maintain current competency
- How the security and confidentiality of records are maintained
- How support is given to the implementation of quality assurance procedures
- How networking is achieved amongst trainers and assessors
- How the quality assurance procedures are implemented
- Why particular procedures were chosen for internal/external review of the training and assessment system
- Why any modifications are recommended to the training and assessment system on the basis of evaluations and review
- How the record keeping system is maintained including how it meets legislative and organisational requirements
- Why professional development strategies were chosen for trainers and assessors and how they were circulated and promoted.

*Interdependent assessment of units*

This unit of competency may be assessed in conjunction with other units that form part of a job role.

*Required knowledge and skills*

- Language and literacy skills to comprehend sources of information and to prepare required documentation in a clear and comprehensible format
- Knowledge of relevant industry/enterprise competency or performance standards
- Knowledge of the Assessment and Workplace Training Competency Standards and Assessment Guidelines
- Knowledge of quality assurance methodology
- Knowledge of compliance with requirements for copyright and other regulatory requirements
- Knowledge and application of audit procedures as they relate to training and assessment systems
- Focus of operation of work systems and equipment
- Identification and correct use of equipment, processes and procedures
- Planning own work including predicting consequences and identifying improvements
- Communication skills appropriate to the culture of the workplace.

*Resource implications*

Access to a training and assessment system and relevant information and resources on management and review procedures.

*Consistency in performance*

Competency in this unit needs to be assessed over a period of time, in a range of contexts, and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment may occur on the job or in a simulated workplace.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | | • |
| Using technology | | | • |

**BSZ 505 A**                                      **Evaluate the training and assessment system**

**Description**

This unit covers the requirements for a person to evaluate an external or internal training and assessment system.

**1        Plan a system evaluation**

      **1)**    The purpose and role of the evaluation is identified and confirmed with client and stakeholders.

      **2)**    The system is defined in terms of  location, purpose, and personnel.

      **3)**    The needs of the stakeholders of the system are identified and prioritised.

      **4)**    The necessary resources for the evaluation are identified, obtained or developed.

      **5)**    The evaluation plan is agreed to by stakeholders including:

- responsibility of appropriate personnel for conducting and participating in evaluations
- evaluation criteria
- responsibilities for implementation of the evaluation plans
- means of protection of participants
- agreement for data collection, storage and retrieval
- procedures for editing and disseminating reports
- agreement of the financing the evaluation.

      **6)**    The evidence required for making decisions of system improvement is established.

      **7)**    Evidence gathering instruments and procedures as sources of information are identified, developed and validated for reliability and validity.

      **8)**    Cost effective methods utilising an appropriate evaluation model are linked to the purpose of the evaluation.

**2        Conduct the evaluation**

      **1)**    Evidence is collected in accordance with agreed evaluation procedures.

      **2)**    The evidence is interpreted at the individual and aggregate levels and strengths and weaknesses of the system are identified.

**3        Report on evaluation findings**

      **1)**    The differing communication needs of the stakeholders are identified.

      **2)**    A range of report formats on the evaluation are prepared to meet the differing needs of stakeholders.

**4        Develop intervention strategies**

      **1)**    Key components of the changes required are identified, constraints determined and resources required for implementation determined.

      **2)**    A review process for monitoring and evaluating both the change and its effect is determined.

**Range of Variables**

- Clients needs may include:
  ◊ increased productivity
  ◊ increased enterprise profitability
  ◊ attainment of specified industry or enterprise competencies
  ◊ achievement of community priorities
  ◊ achievement of government priorities
  ◊ licensing or accreditation requirements.

- Purposes of assessment may include:
  ◊ diagnosing performance
  ◊ classifying an employee
  ◊ confirming an employees competency for the purpose of career advancement/job level
  ◊ awarding a qualification or statement of attainment
  ◊ confirming progress in learning
  ◊ recognition of current competency/recognition of prior learning.

- Purposes of training may include:
  ◊ productivity improvement
  ◊ professional development requirements
  ◊ competency acquisition
  ◊ induction of new employees
  ◊ refresher training for competency maintenance
  ◊ legislative or government regulatory requirements
  ◊ access and equity considerations.

- System may be developed by:
  ◊ the industry
  ◊ the enterprise
  ◊ the training organisation
  ◊ a combination of the above.

- Policies may include:
  ◊ purposes of training and assessment
  ◊ human resource management issues
  ◊ what and who is to be trained and assessed
  ◊ timing of training and assessments
  ◊ links with human resource functions
  ◊ evidence types
  ◊ assessment methods
  ◊ record keeping requirements
  ◊ recognition of current competencies/recognition of prior learning
  ◊ development costs and resources
  ◊ evaluation.

- Stakeholders may include:
  - ◊ industry/professional/trade associations
  - ◊ trainers/teachers and assessors
  - ◊ team leaders/supervisors
  - ◊ managers/employers
  - ◊ training and assessment coordinators
  - ◊ participants/employees/learners
  - ◊ technical experts
  - ◊ government regulatory bodies
  - ◊ union/employee representatives
  - ◊ consultative committees
  - ◊ relevant industry training advisory bodies
  - ◊ funding bodies
  - ◊ State/Territory Training/Recognition Authorities.

- Operational constraints may include:
  - ◊ time, resources and locations available
  - ◊ cost of evidence gathering strategies
  - ◊ availability of stakeholders for review and feedback
  - ◊ government, organisational, industry requirements and procedures.

- Evaluation methodology and report may include selection of appropriate evaluation models including:
  - ◊ Stake model
  - ◊ Stufflebeam (CIPP) model
  - ◊ Scriven model
  - ◊ Ethnographic model
  - ◊ Action research model
  - ◊ The Portrayal approach.

- Types of evidence to be collected may include:
  - ◊ affective (e.g. satisfaction with the program)
  - ◊ cognitive (e.g. knowledge or skill gain)
  - ◊ performance or behaviour (e.g. quality of work, productivity).

- Resources may include:
  - ◊ human personnel required to carry out the evaluation
  - ◊ physical resources (equipment, materials/documents, facilities, assessment tools)
  - ◊ financial amounts
  - ◊ in-kind services
  - ◊ space, location.

- Report Formats may include:
  - ◊ written reports
  - ◊ oral presentations
  - ◊ audio visual reports.

- Evidence gathering instruments and procedures may include:
  - ◊ survey instruments (Delphi, questionnaires, diaries, logs, attitude scales, diagnostics)
  - ◊ interview schedules and records
  - ◊ observations.

- Validating the data gathering process may include:
  ◊ detailing what is to be measured
  ◊ assessing the capacity of the instrument to collect sufficient, valid, reliable and current information
  ◊ detailing how the instrument or procedure is administered, scored and interpreted in the particular evaluation
  ◊ presenting both qualitative and quantitative evidence that justifies the use of the particular instrument or procedure
  ◊ defending the validity of the use and interpretation of the information provided by the instrument or procedure.

- Summarising quantitative information may involve:
  ◊ charts
  ◊ tables
  ◊ reports
  ◊ videos
  ◊ oral presentations
  ◊ development of visual presentations including computer generated visuals and overhead transparencies.

- Sources of information may include:
  ◊ industry/enterprise competency standards, including international information
  ◊ training packages
  ◊ curriculum and other training program information
  ◊ licensing requirements
  ◊ government legislation, policies and practices
  ◊ job descriptions
  ◊ observations of competent workers
  ◊ enterprise skills audit reports
  ◊ industry skills audit reports
  ◊ workplace conditions, policies and standard operating procedures
  ◊ benchmarking reports
  ◊ industry publications or reports
  ◊ market needs analysis reports
  ◊ quality assurance procedures.

## Evidence Guide

*Critical aspects of evidence*

Assessment requires evidence of the following products to be collected:
- Description of client and stakeholders
- Evaluation plan
- List and review of information relevant to evaluation
- Description of evaluation method selected
- Evidence gathering instruments and procedures
- Evaluation report, including any proposed changes.

Assessment requires evidence of the following processes to be provided:
- How client and stakeholders were identified
- Why the evaluation of the system was proposed
- How the evaluation plan was developed and confirmed with client and stakeholders
- Why particular evaluation model and evidence gathering instruments were selected
- How the evaluation was conducted
- How the evaluation report was drafted and confirmed with client and stakeholders
- How any changes to the system are to be implemented.

*Interdependent assessment of units*

This unit of competency may be assessed in conjunction with other units that form part of a job role.

## BSZ 505 A — Evaluate the training and assessment system

*Required knowledge and skills*

- Knowledge of program evaluation models
- Skills in applying evaluation models
- Skills in validating evaluation procedures
- Planning own work including predicting consequences and identifying improvements
- Compliance with requirements for copyright and other regulatory requirements
- Language and literacy skills to collect and interpret information relevant with the unit and communicate with client, stakeholders and others.
- Application of cultural understanding in the workplace
- Skills in applying relevant workplace policies and procedures and any related legislation or regulatory requirements.

*Resource implications*

Access to clients, stakeholders, information and resources needed to address the required skills and knowledge and to conduct an evaluation of a training and assessment system.

*Consistency in performance*

Competency in this unit needs to be assessed over a period of time, in a range of contexts and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment may occur on the job or in a simulated workplace. Key Competencies and Application to Standards.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | | • |
| Using technology | | | • |

**Description**

This unit covers the requirements for developing an assessment procedure for a target group, including determining evidence requirements and selecting appropriate assessment methods to be used by assessors.

**1        Establish evidence requirements**

**1)**     The purpose of the assessment and the target group to be assessed is identified and confirmed with stakeholders.
**2)**     The type of evidence required to infer competency is established and the process of interpreting and recording the evidence is established and documented.
**3)**     Evidence requirements are specified to assure coverage of the key components of competency.
**4)**     Evidence requirements are specified to assure:
   • validity
   • currency
   • authenticity
   • sufficiency.
**5)**     Where additional levels of competence are used, criteria for making judgements for different levels of competency are defined.
**6)**     Links to existing relevant assessment system(s) are defined, including:
   • recording and reporting requirements
   • appropriate personnel and requirements for receiving information about the assessment
   • appeal process
   • quality assurance mechanisms.
**7)**     Any additional review mechanisms are identified and documented.
**8)**     The reporting formats for the assessment process and recording of outcomes are designed.
**9)**     The development, implementation and review costs of the assessment procedure are estimated.

**2        Identify assessment methods**

**1)**     The context and location of assessments are described and specified.
**2)**     The facilities and physical resources needed to conduct assessments are identified and documented.
**3)**     A range of assessment methods for gathering evidence in relation to the competencies to be assessed are evaluated for:
   • type and amount of evidence required
   • validity
   • reliability
   • fairness
   • cost effectiveness
   • administration ease
   • the characteristics of the target group.
**4)**     The instructions for the persons being assesses are drafted.

**2** **Identify assessment methods (continued):**

**5)** The number of assessors and any required supports to implement the assessment process is determined.
**6)** The instructions for the persons being assessed are drafted.
**7)** The assessment method(s) to be used are selected and allowable adjustments are proposed to cater for characteristics of persons being assessed.
**8)** The required evidence of competency to be demonstrated or supplied by the persons being assessed.
**9)** The instructions for interpreting the evidence and making a decision of competence are documented.
**10)** Descriptions of likely performances are established and verified with appropriate personnel.
**11)** Other related competencies are identified for inferring full or partial competence from the evidence gathered.
**12)** The rules for verifying assessment decisions are determined.
**13)** Any limits, variations or restrictions on the assessment tools are specified.

**3** **Identify potential available assessment tools**

**1)** Available assessment tools appropriate to evidence required to infer competency are identified and evaluated in relation to applicability for the:
- characteristics of persons being assessed
- assessment contexts
- assessors.
**2)** A panel of specialists is convened to critique tools for:
- reliability
- validity
- fairness
- relevance to the workplace context
- content accuracy
- ease of use
- cost effectiveness
- appropriateness of language
- avoidance of bias.
**3)** Adjustments to the tools and methods are made to ensure applicability to the context, competencies and characteristics of persons being assessed.

**4** **Trial the assessment methods and tools**

**1)** The tools and assessment method are trialed with a sample from the target group.
**2)** Allowable adjustments to the assessment method and tools are drafted.
**3)** Assessors (if required) are trained to administer the assessment tools in a consistent manner.
**4)** The assessments tools and methods are administered to the target sample.
**5)** Responses from the target sample and the assessors are compiled and analysed.
**6)** The appropriateness of the assessment method and the ease of use and language level of the assessment tools are determined.
**7)** Improvements and changes to the assessment tools are made where necessary.

5        **Document assessment procedures**

1)    Any influences that may affect (bias) the assessment decision are identified and documented.

2)    Any allowable adjustments to the assessment methods and tools to meet the characteristics of persons being assessed are documented.

3)    The criteria for making decisions of competent or not yet competent are reviewed, and if necessary, adjusted.

4)    The assessment procedure(s) and administration instructions are documented.

## Range of Variables

- Stakeholders may include:
  ◊ industry/professional/trade associations
  ◊ trainers/teachers and assessors
  ◊ team leaders/managers/employers
  ◊ training and assessment coordinators
  ◊ participants/employees/learners
  ◊ technical/subjects experts including language, literacy and numeracy specialists
  ◊ government regulatory bodies
  ◊ union/employee representatives
  ◊ consultative committees
  ◊ relevant industry training advisory bodies
  ◊ funding bodies
  ◊ State/Territory Training/Recognition Authorities.

- Target group may include:
  ◊ an enterprise
  ◊ a department/division
  ◊ a job role/occupation
  ◊ an industry sector
  ◊ a professional association
  ◊ a trade
  ◊ community sector
  ◊ government organisation.

- Purpose of assessment:
  ◊ diagnosing performance;
  ◊ classifying an employee
  ◊ confirming an employees competency for the purpose of career advancement/job level;
  ◊ awarding a qualification;
  ◊ providing a statement of attainment;
  ◊ confirming progress in competency acquisition/learning
  ◊ recognising prior learning or current competencies.

*Evidence for assessment:*

- Type of evidence may include:
  ◊ indirect
  ◊ direct
  ◊ supplementary
  ◊ combination of the above.

- Evidence might be interpreted using a range of reference frames. These include:
  ◊ criterion referenced frames
  ◊ linkages of evidence to competency standards
  ◊ prediction of workplace performance.

- Characteristics of persons being assessed:
  ◊ language, literacy and numeracy levels
  ◊ cultural and language background
  ◊ educational background or general knowledge
  ◊ physical ability
  ◊ work organisation or roster
  ◊ age
  ◊ gender
  ◊ experience in assessment
  ◊ level of confidence, nervousness or anxiety
  ◊ previous experience with topic.

- Appropriateness of evidence types may include:
  ◊ cost effectiveness
  ◊ practicability
  ◊ flexibility
  ◊ communication skills of person(s) being assessed
  ◊ assessment experience and characteristics of persons being assessed.

- Assessment methods may include combinations of:
  ◊ direct observation of performance or product
  ◊ practical tasks
  ◊ projects written/oral/computer-based questioning
  ◊ simulation exercise(s)
  ◊ consideration of third party reports and self and peer assessment
  ◊ authenticated prior achievements.

- Allowable adjustment to assessment methods/tools may include:
  ◊ provision of support services (e.g. Auslan interpreter, reader, interpreter, attendant carer, scribe)
  ◊ use of special equipment (e.g. word processor or lifting gear)
  ◊ adaptive technology
  ◊ shorter assessment to allow for fatigue or medication
  ◊ use of large print version of any papers.

- Specialist panel may include:
  ◊ technical specialists
  ◊ language, literacy and numeracy specialists
  ◊ assessment specialists
  ◊ management and enterprise representatives
  ◊ industry representatives
  ◊ union/employee representatives
  ◊ potential and past candidates.

- Operational constraints may include:
  ◊ time available for assessment
  ◊ relative cost of evidence gathering strategies
  ◊ availability of assessors
  ◊ availability of experts in the technical area to be assessed
  ◊ availability of persons being assessed because of matters such as work organisation
  ◊ geographical location of persons being assessed.

- Record systems may include:
  - ◊ paper based systems
  - ◊ computer-based systems using magnetic or optical storage
  - ◊ combination of both paper and computer based systems.

NB: statutory and legislative requirements for maintaining records may vary in States/Territories

*Assessment system:*

- The assessment system may be developed (and endorsed) by:
  - ◊ the industry
  - ◊ the enterprise
  - ◊ the training organisation
  - ◊ a combination of the above.

- The assessment system should specify the following:
  - ◊ the purpose of assessment
  - ◊ competencies required of assessors
  - ◊ record keeping procedures and policies
  - ◊ any allowable adjustments to the assessment method
  - ◊ the appeal/review mechanisms and procedures
  - ◊ the review and evaluation of the assessment process
  - ◊ the linkages between assessment and training qualifications/awards, employee classification, remuneration, progression
  - ◊ relevant policies
  - ◊ quality assurance mechanisms
  - ◊ apportionment of costs/fees (if applicable)
  - ◊ marketing/promotion of assessment
  - ◊ verification arrangements
  - ◊ auspicing arrangements, if applicable
  - ◊ partnership arrangements, if applicable.

- Assessment procedure should include:
  - ◊ recording procedure
  - ◊ appeal/review mechanism
  - ◊ assessment methods to be used
  - ◊ number of assessors
  - ◊ assessment tools
  - ◊ evidence required
  - ◊ location of assessment
  - ◊ timing of assessment
  - ◊ assessment group size
  - ◊ allowable adjustments to assessment methods and tools.

**Evidence Guide**

*Critical aspects of evidence*

- Assessment requires evidence of the following products to be collected:
  - ◊ A description of the stakeholders, target group, the purpose of assessment
  - ◊ A description of the competencies to be assessed, and evidence required to infer competency
  - ◊ Documentation on steps taken to develop the assessment procedures, including the trialing of assessment methods and tools in accordance with performance criteria
  - ◊ Documented assessment procedures.

- Assessment requires evidence of the following processes to be provided:
  ◊ How the target group and stakeholders were determined and consulted
  ◊ Why particular assessment methods and tools were selected
  ◊ How assessment methods and tools were trialed
  ◊ How other persons were involved in the development of the assessment procedure including:
  ◊ The panels of specialists that reviewed the materials – their roles and responsibilities
  ◊ The characteristics of the candidates that piloted the tasks and provided feedback in detail
  ◊ The characteristics of the trial sample.

*Interdependent assessment of units*

This unit of competency must be assessed in conjunction with unit BSZ 507A.

*Required knowledge and skills:*

- Knowledge of relevant industry/enterprise training packages, competency or other performance standards
- Knowledge of assessment methods, their purposes and uses
- Skills in applying assessment methods and tools to elicit evidence, in a relevant context, from target group
- Knowledge in the development and modification of assessment tools for a defined group of competencies, assessment contexts and to meet the characteristics of persons being assessed
- Language and literacy skills to comprehend sources of information and to prepare required documentation
- Knowledge of compliance requirements for copyright and other regulatory requirements
- Identification and correct use of equipment, processes and procedures
- Planning own work including predicting consequences and identifying improvements.

*Resource implications*

Access to target group, stakeholders, competencies or other standards of performance, information and resources needed to address required knowledge and skills and for the development assessment procedures.

*Consistency in performance*

Competency in this unit needs to be assessed over a period of time, in a range of contexts and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment may occur on the job or in a simulated workplace.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | | • |
| Using technology | | | • |

**Description**

This assessment unit covers the requirements for selecting, developing, validating and documenting new assessment tools to be used by assessors.

**1        Identify the context for the assessment tool**

**1)**    The purpose of the assessment, the target group and the competency or other standard of performance to be assessed is identified.

**2)**    Evidence required to infer competency is identified.

**3)**    Assessment methods are evaluated to establish requirements of assessment tools, particularly:
- resources and requirements for the assessment tools
- assessment location and context
- administration ease
- the characteristics of the target group.

**4)**    Requirements of the assessment system in relation to the assessment tools are identified:
- storage and security of documentation
- appropriate personnel and differing needs for receiving information about the assessment tools
- evaluation and review process
- quality assurance mechanisms.

**5)**    Development, implementation and review plans costs of the assessment tools development are estimated.

**6)**    A plan for the development of the assessment tools is prepared.

**2        Draft assessment tools in accordance with plan**

**1)**    Assessment tools are designed to assess the relevant competencies using appropriate:
- format
- language, numeracy requirements
- visual representation and where appropriate, sound
- question and activity types
- media
- sequence of activities
- choice in activities.

**2)**    Assessment tools require the person being assessed to demonstrate the components of competency.

**3)**    The assessment tools are checked for the following characteristics:
- reliability
- validity
- fairness
- relevance to the workplace context
- content accuracy
- ease of use
- cost effectiveness
- avoidance of bias
- testing the required scope of the competencies

**4)**    Adjustments to the tools and procedures are made as required.

**3        Develop instructions for assessment tools**

**1)**     The instructions for the persons to be assessed are drafted.
**2)**     The instructions for administering each assessment tool are drafted to include the resources needed to conduct the assessment and the context for the use of the tools.
**3)**     Evidence of competency to be demonstrated is documented and incorporated in the assessment tools.
**4)**     Allowable adjustments identified in the assessment procedures are noted and included in the instructions.
**5)**     The rules for verifying assessment decisions are identified and any limits, variations or restrictions on the assessment tools are specified.

**4        Pilot the assessment tools**

**1)**     The tools are piloted with a small sample selected across the range of the target group.
**2)**     Feed back from sample target group individuals and others involved in administering the pilot is used to establish appropriate amendments to the assessment tools, particularly in relation to:
*    ease of use
*    language and other literacy/numeracy requirements in terms of the relevant competencies
*    appropriateness for the assessment context and competencies
*    costs/time effectiveness for candidates and assessors.
**3)**     Improvements and changes to the assessment tools are made where necessary

**5        Validate assessment tools**

**1)**     An adequate sample of the target group to be assessed is selected.
**2)**     Assessors are trained (if required), to administer the assessment tools in a consistent manner.
**3)**     The assessment tools are administered to the target sample responses compiled and analysed assessment tools are modified according to the findings.
**4)**     Any influences that may affect (bias) the assessment decision are identified and documented.

**6        Finalise assessment tools**

**1)**     Validated and appropriately amended tools are incorporated in assessment procedure(s).
**2)**     Documentation in paper and/or electronic form is filed in appropriate secure, accessible locations.

**Range of Variables**

- Target group may include:
  - ◊ an enterprise
  - ◊ a department/division
  - ◊ a job role/occupation
  - ◊ an industry sector
  - ◊ a professional association
  - ◊ a trade
  - ◊ a community organisation
  - ◊ a government organisation.

- Purpose of assessment may include:
  - ◊ diagnosing performance
  - ◊ classifying an employee
  - ◊ confirming an employees competency for the purpose of career advancement/job level
  - ◊ awarding a qualification
  - ◊ providing a statement of attainment
  - ◊ confirming progress in competency acquisition/learning
  - ◊ recognising prior learning or current competencies.

- Evidence for assessment may include:
- Type of evidence may include:
  - ◊ direct
  - ◊ indirect
  - ◊ supplementary
  - ◊ combination of the above.

- Evidence might be interpreted using a range of reference frames including:
  - ◊ criterion referenced frames
  - ◊ linkages of evidence to competency standards
  - ◊ prediction of workplace performance.

- Appropriateness of evidence types includes:
  - ◊ cost effectiveness
  - ◊ practicability
  - ◊ communication skills of person(s) being assessed
  - ◊ assessment experience and special needs of person(s) being assessed.

- Components of competency include:
  - ◊ task skills
  - ◊ task management skills
  - ◊ contingency management skills
  - ◊ job/role environment skills
  - ◊ transfer and application of skills and knowledge to new contexts.

- The assessment system may be developed (and endorsed) by:
  - ◊ the industry
  - ◊ the enterprise
  - ◊ the Registered Training Organisation
  - ◊ a combination of the above.

- The assessment system should specify the following:
  ◊ the purpose of assessment
  ◊ competencies required of assessors
  ◊ record keeping procedures and policies
  ◊ any allowable adjustments to the assessment method which are to be made for the person being assessed who have special needs
  ◊ the appeal/review mechanisms and procedures
  ◊ the review and evaluation of the assessment process
  ◊ the linkages between assessment and training qualifications/awards, employee classification, remuneration, progression
  ◊ relevant policies
  ◊ quality assurance mechanisms
  ◊ apportionment of costs/fees (if applicable)
  ◊ marketing/promotion of assessment
  ◊ verification arrangements
  ◊ auspicing arrangements, if applicable
  ◊ partnership arrangements, if applicable.

- Allowable adjustment to assessment tools include:
  ◊ provision of support services (e.g. Auslan interpreter, reader, interpreter, attendant carer, scribe)
  ◊ use of special equipment (e.g. word processor or lifting gear)
  ◊ adaptive technology
  ◊ shorter assessment to allow for fatigue or medication
  ◊ use of large print version of any papers.

- Assessment methods may include:
  ◊ direct observation of performance or product
  ◊ practical tasks
  ◊ projects
  ◊ written/oral/computer-based questioning
  ◊ simulation exercise(s)
  ◊ consideration of third party reports and self and peer assessment
  ◊ authenticated prior achievements.

- Operational constraints may include:
  ◊ time available for assessment
  ◊ relative cost of evidence gathering strategies
  ◊ availability of assessors
  ◊ availability of experts in the vocational area to be assessed
  ◊ availability of person(s) being assessed because of matters such as rosters, shift work
  ◊ geographical location of person(s) being assessed.

### Evidence Guide

*Critical aspects of evidence*

- Assessment requires evidence of the following products to be collected:
  ◊ A plan for the development of the assessment tool(s)
  ◊ Assessment tools and related instructions in final format. This should be a useable tool together with a set of instructions for assessors and the person being assessed
  ◊ A report on the piloting of the assessment tools including any changes proposed and made.

- Assessment requires evidence of the following processes to be provided:
  ◊ How the target group was identified
  ◊ How the plan for the development of the assessment tools was prepared
  ◊ How the assessment tools meet the components of competency for the target group
  ◊ How the assessment tools were validated.
  ◊ How the finalised assessment tools were incorporated in assessment procedure(s).

*Interdependent assessment of units*

This unit of competency must be assessed in conjunction with BSZ 506A.

*Required knowledge and skills*

- Knowledge of relevant training packages, competency or other standards of performance
- Knowledge of different methodology for developing assessment tools
- Skills in applying evaluation methodology particularly in relation to trialing assessment tools
- Compliance with requirements for copyright and other regulatory requirements
- Language and literacy skills to collect and interpret relevant information and communicate with stakeholders and appropriate personnel.
- Skills in planning own work including predicting consequences and identifying improvements
- Skills in applying relevant workplace policies and procedures and any related legislation or regulatory requirements
- Communication skills appropriate to the culture of the workplace.

*Resource implications*

Access to a target group, information and resources to meet the required skills and knowledge to development of assessment tools.

*Consistency in performance*

Competency in this unit needs to be assessed over a period of time, in a range of contexts and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment may occur on the job or in a simulated workplace.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | | • |
| Using technology | | | • |

**Description**

This unit covers the requirements and responsibilities for designing training courses as part of a training system to meet client identified outcomes and where appropriate, receive formal recognition.

### 1        Determine the need for a course

**1)**    Stakeholders are identified and consulted to establish training aims and requirements.
**2)**    Course proposal is outlined in terms of stakeholders aims.
**3)**    Relevant endorsed training packages and curriculum are sourced and assessed for relevance to course proposal.
**4)**    Any licensing/regulatory or government policies relevant to the course proposal are identified.
**5)**    Potential employment markets and career opportunities for training participants are recorded and documented.
**6)**    Results of monitoring activities for related courses are sourced and analysed, where appropriate.

### 2        Identify the learner profile

**1)**    Potential learners are identified.
**2)**    Profiles of learners on entry to the course are developed and learner profiles are examined to determine language and literacy requirements.

### 3        Develop course structure

**1)**    Core and elective units/modules are identified.
**2)**    The relationship between units of competence/modules and course outcomes is documented.
**3)**    Entry and exit points are identified and documented.
**4)**    Prerequisites for the course and for specific units/modules within the course are identified and documented.

### 4        Determine the training and assessment requirements

**1)**    The professional development and competency requirements of trainers and assessors are identified in consultation with appropriate personnel.
**2)**    The trainer and assessor requirements are checked for consistency with industry/training package assessment guidelines, where appropriate.
**3)**    Essential learning resources, materials, facilities, equipment and human resources are identified.

### 5        Define the training content

**1)**    The competencies to be acquired by learners are clearly specified.
**2)**    Entry level competencies are identified and documented.
**3)**    Requirements for on the job training or assessment are identified and documented.
**4)**    Appropriate evidence and assessment methods are identified and documented.

**6** **Develop course monitoring arrangements**

**1)** Mechanisms for ongoing course monitoring are negotiated, agreed and documented in consultation with appropriate personnel.
**2)** Arrangements to enable course outcomes to be evaluated against relevant performance indicators including industry/enterprise competency standards and learner needs are defined and documented.

**7** **Identify career/educational pathways**

**1)** Course entry and exit points are linked to occupational and educational opportunities.
**2)** Articulation points with higher or related qualifications are identified, negotiated with course owners and documented.

**Range of Variables**

- Stakeholders and relevant parties may include:
  ◊ professional associations
  ◊ employer associations
  ◊ union/employee associations
  ◊ secondary, TAFE/VET and higher education sector representatives
  ◊ potential learners
  ◊ trainers/teachers
  ◊ regulatory authorities
  ◊ partner organisations
  ◊ enterprise(s)/organisation(s)
  ◊ industry training advisory bodies
  ◊ industry sector
  ◊ government bodies
  ◊ community sector.

- Licensing, regulatory and government policies may include:
  ◊ qualifications framework and regulations for issuing statements of attainment, qualifications
  ◊ relevant equal employment opportunity and anti-discrimination legislation, regulations and policies
  ◊ relevant licensing or accreditation arrangements
  ◊ relevant policies or agreement(s) on any of the following:
  ◊ purposes of training and assessment
  ◊ human resource management issues
  ◊ what and who is to be trained/ assessed
  ◊ timing of training/ assessments
  ◊ links with other human resources functions
  ◊ appeal/review mechanisms
  ◊ criteria for making decisions of competent, or not yet competent
  ◊ number of assessors
  ◊ allowable adjustments to the assessment procedure
  ◊ record keeping requirements
  ◊ recognition of prior learning/recognition of current competencies
  ◊ development costs and resources
  ◊ evaluation
  ◊ licensing.

- A training course proposal may include:
  ◊ stakeholder(s) aims and objectives
  ◊ course outcomes
  ◊ identified learners
  ◊ career and educational pathways
  ◊ scope and need for course.

- A training course may include:
  ◊ suite of training programs (or modules)
  ◊ courses may be designed and documented (curriculum) to:-
  ◊ meet a whole or part qualification in a training package
  ◊ be submitted for formal recognition
  ◊ meet industry/enterprise competency standards
  ◊ meet stakeholder aims and objectives.

- Learner profiles might include:
  ◊ generic or technical competencies of potential clients
  ◊ relevant prior learning (formal and informal) and employment
  ◊ language, literacy and numeracy skills.

- Course outcomes may include:
  ◊ qualifications
  ◊ units of competence
  ◊ learning outcomes (module/program outcomes)
  ◊ satisfaction of requirements for licensing
  ◊ memberships of professional associations
  ◊ further education opportunities
  ◊ employment.

- Course monitoring arrangements may include:
  ◊ panel of external evaluators
  ◊ feedback from learners – during and after course delivery
  ◊ survey responses from industry/enterprises about the course outcomes
  ◊ moderation mechanisms of assessment decisions
  ◊ conduct of regular internal and external reviews
  ◊ sampling and evaluation of competencies
  ◊ networking of trainers and assessors involved in course implementation.

- Appropriate personnel may include:
  ◊ support personnel (administration)
  ◊ technical experts (e.g. language and literacy specialists)
  ◊ supervisors/managers
  ◊ assessment/training personnel
  ◊ other training organisations (partners)
  ◊ existing and former learners.

- Course requirements
  ◊ entry requirements may include:
  ◊ pre requisite competencies
  ◊ access to the workplace.
  ◊ training requirements may include:
  ◊ job placement
  ◊ field placement
  ◊ access to specialist equipment and facilities
  ◊ minimum competencies to be held by trainers.
  ◊ assessment requirements may include:
  ◊ minimum competencies to be held by assessors
  ◊ assessment conditions including location, timing and access to resources.

- Sources of information/documents may include:
  - ◊ performance standards which may include:
  - ◊ industry/enterprise competency standards
  - ◊ licensing requirements
  - ◊ job descriptions
  - ◊ standard operating procedures.
  - ◊ conditions of service, legislation and industrial agreements including:
  - ◊ workplace agreements and awards
  - ◊ occupational health and safety procedures.
  - ◊ applicable State, Territory, Commonwealth legislation and related regulations concerning occupational health and safety in terms of duties of employers, employees, suppliers and contractors
  - ◊ workplace relations
  - ◊ workers compensation
  - ◊ equal opportunity, anti-discrimination and affirmative action.

## Evidence Guide

*Critical aspects of evidence*

- Assessment requires evidence of the following products to be collected:
  - ◊ Documentation on the identification and confirmation stakeholder training aims and requirements
  - ◊ Course proposal
  - ◊ Course documentation
  - ◊ Documentation on course monitoring mechanisms
  - ◊ Description of career pathways, including qualification entry and exit points.

- Assessment requires evidence of the following processes to be provided:
  - ◊ How stakeholder needs were identified
  - ◊ How the learner profile was researched
  - ◊ How assessment and training requirements were researched
  - ◊ How the course monitoring arrangements were developed.

*Interdependent assessment of units*

This unit of competency may be assessed in conjunction with other units that form part of a job role.

*Required knowledge and skills*

- Knowledge of mechanisms to implement relevant access and equity principles
- Knowledge of relevant training packages, competency and other performance standards to course proposal
- Knowledge of accreditation and any licensing or regulatory requirements
- Knowledge of course monitoring mechanisms
- Compliance with requirements for copyright and other regulatory requirements
- Language and literacy skills to collect and interpret relevant information  and communicate with stakeholders and appropriate personnel
- Skills in planning own work including predicting consequences and identifying improvements
- Communication skills appropriate to the culture of the workplace
-  Skills in applying occupational health and safety and other workplace policies and procedures and any related legislation or regulatory requirements.

*Resource implications*

Access to stakeholders, information and resources to meet the required skills and knowledge to develop course proposal, course documentation and course monitoring mechanisms.

*Consistency in performance*

Competency in this unit needs to be assessed over a period of time, in a range of contexts and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.

*Context for assessment*

Assessment may occur on the job or in a simulated workplace.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | ● |
| Communicating ideas and information | | | ● |
| Planning and organising activities | | | ● |
| Working with others in teams | | | ● |
| Using mathematical ideas and techniques | | | ● |
| Solving problems | | | ● |
| Using technology | | | ● |

**1          Communicate information about workplace processes**

**1)**      Communication method is chosen.
**2)**      Multiple operations involving several topics/areas are communicated.
**3)**      Listening is undertaken without interrupting the speaker.
**4)**      Questions are used to gain extra information.
**5)**      Correct sources of information are identified.
**6)**      Information is selected and sequenced correctly.
**7)**      Verbal and written reporting is undertaken when required.
**8)**      Communication skills are maintained in both familiar and unfamiliar situations.
**9)**      Communication is maintained with both familiar and unfamiliar individuals and groups.

**2          Participate in workplace discussions**

**1)**      Responses to workplace issues are sought.
**2)**      Responses to workplace issues are provided when sought.
**3)**      Constructive contributions are made to workplace discussions on such issues as production, quality and safety.
**4)**      Goals and aims of actions undertaken in the workplace are communicated.

**3          Identify and communicate issues arising in the workplace**

**1)**      Issues and problems are identified as they arise.
**2)**      Information regarding problems and issues are organised coherently to ensure clear and effective communication.
**3)**      Dialogue is initiated with appropriate personnel.
**4)**      Communication about problems and issues is on-going and new issues are raised as they arise.

**Range of Variables**

- Methods of communicating information may include:
  ◊ hand signals
  ◊ verbal, face-to-face, two-way radio, speaking to groups, and using the telephone
  ◊ written signs, forms, workplace diaries and documents
  ◊ graphic signs and instructions
- Courteous communication may encompass firm and/or strong views on a matter.

**Evidence Guide**

Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:
- Performance
- Work reports
- Questioning and discussion.

# Maintain interactive communication in the workplace - intermediate

**FPI G16 A**

*Assessment should ensure that:*

- General:
  - ◊ Responses to workplace issues are sought
  - ◊ Responses to workplace issues are provided when sought
  - ◊ Constructive contributions are made to workplace issues
  - ◊ Goals and aims of actions undertaken in the workplace are communicated
  - ◊ Issues and problems are identified as they arise
  - ◊ The applicant approaches appropriate people for communication needs
  - ◊ Issues are followed up and communication is continued where necessary
  - ◊ Issues are summarised and effectively communicated to the assessor
  - ◊ The applicant deals with a range of communication/information at one time.

- Written information:
  - ◊ Reported information is clearly and effectively presented when in written form
  - ◊ Appropriate sources of information are used
  - ◊ Information is selected and sequenced to provide an understandable report.

- Verbal information:
  - ◊ Suitable questions are asked
  - ◊ Listening was undertaken without interrupting when appropriate
  - ◊ Questions are used to explore or gain additional information
  - ◊ Information is reported accurately and reflects that provided
  - ◊ Information is reported with reasonable sequence and ease.

- Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions.

*Critical underpinning knowledge:*

- Enterprise requirements for written and electronic communication methods.

*Critical underpinning skills:*

- Organise information
- Understand and convey intended meaning
- Participate in a variety of workplace discussions
- Comply with enterprise requirements for the use of written and electronic communication methods.


## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | ● | | |
| Planning and organising activities | | | |
| Working with others in teams | ● | | |
| Using mathematical ideas and techniques | | | |
| Solving problems | | | |
| Using technology | | | |

## FPI G17 A         Communicate workplace information - advanced

**1        Convey information clearly**

    **1)**    Form of communication to be used is adapted to anticipated contexts and audiences.
    **2)**    Communication is via established procedures, where appropriate.
    **3)**    Where possible, the form of communication to be used is adapted to suit the context of the communication.
    **4)**    Communication is clear and coherent so that the prescribed information is organised to suit the purpose.
    **5)**    Communication style is revised in light of feedback.
    **6)**    Coherence is conveyed between disparate ideas and information.

**2        Interpret and apply workplace information**

    **1)**    Workplace objectives are understood.
    **2)**    Workplace goals are identified and met.
    **3)**    Feedback is provided to supervisors and subordinates to ensure smooth operations.

**3        Participate in work team meetings**

    **1)**    Personal views are presented in a way that supports and respects the views of others involved in the discussion.
    **2)**    Appropriate meeting procedures established by the convenor are adhered to throughout the meeting.
    **3)**    Information is conveyed in a logical, clear and concise manner.
    **4)**    Specified follow-up steps are taken within timeframe set by the meeting.
    **5)**    Contributions made in meetings are kept relevant to the topic under discussion.

**Range of Variables**

- Methods of communicating information and instructions include:
  ◊ Hand signals,
  ◊ Verbal, face-to-face, speaking to a group, using the telephone and two-way radio
  ◊ Written signs, forms, documents and workplace diaries
  ◊ Graphic signs and instructions.

**Evidence Guide**

Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:

- Performance
- Work reports
- Questioning and discussion.

- Assessment should ensure that:
  ◊ Established communication procedures within the workplace are known
  ◊ Communication forms are determined based on differing situations
  ◊ Feedback is sought to ensure successful communications
  ◊ Information is organised in order that the communication is understood and the required result is achieved
  ◊ Methods of determining what is required of the work situation are known, depending upon the specific issue
  ◊ Clarification is sought from, and feedback given to, a range of colleagues in the work situation
  ◊ Behaviours and attitudes needed to make meetings successful are important.

- Demonstrates the ability to:
  ◊ Organise information
  ◊ Understand and convey intended meaning
  ◊ Participate in a variety of workplace discussions
  ◊ Provide and respond to feedback.

- Demonstrates knowledge of:
  ◊ Standard hand signals used in the workplace.
  ◊ Appropriate forms of communication for a range of situations.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | | | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | | | |
| Solving problems | ● | | |
| Using technology | | | |

**FPI G20 A**                    **Collect, analyse and organise information - basic**

**1          Receive and interpret information**

**1)**    Oral instructions are interpreted and correctly applied in accordance with enterprise standards.
**2)**    Written information or instructions are analysed and applied to the workplace situation.
**3)**    Assistance is provided to others in the workplace to develop their understanding.

**2          Interpret technical information**

**1)**    Production drawings or design requirements are correctly interpreted in accordance with enterprise requirements.
**2)**    Production tooling and ancillary equipment are identified in documentation.
**3)**    Dimensions and tolerances are correctly interpreted and applied in accordance with enterprise procedures.

**3          Maintain records**

**1)**    Workplace records are prepared accurately and legibly using enterprise forms and procedures.
**2)**    Finished product records are entered and updated during production.
**3)**    Stock records are maintained to enterprise standards using site documentation.
**4)**    Inventory and stock records are continually checked for accuracy.
**5)**    Work procedures and time sheets are kept in accordance with established.
**6)**    Data outputs from monitoring equipment are maintained and collated in accordance with established procedures.

**Range of Variables**

- Instructions and information may include organisation terminology; fault reports; consumption reports; internal memos; production records; stock records; machine data outputs; time sheets; accident/incident reports.
- Information media may include written/printed; oral; electronic; hand signals; visual display units/personal computers; drawings/plans.
- Maintenance of records may include collation (of information or documentation); interpretation of routine information and standard analyses; filing of documentation.

**Evidence Guide**

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions.

Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:
- Performance
- Work reports
- Questioning and discussion.

# Collect, analyse and organise information - basic          **FPI G20 A**

*Assessment should ensure that:*

- Safe work practices in the worksite are recognised and known
- Methods of helping newcomers to the worksite understand the organisation's procedures are known
- Features of commonly used plans/drawings are recognised and correctly interpreted, including, for example, tools, measurements, materials
- Required recordkeeping procedures for the particular work being done, and importance of that recordkeeping are known and described.

*Demonstrates the ability to:*

- understand a variety of information styles
- interpret information in a way that is relevant to workplace requirements
- organise and maintain records accurately
- utilise a full range of information media.


## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|:---:|:---:|:---:|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | ● | | |
| Planning and organising activities | ● | | |
| Working with others in teams | | | |
| Using mathematical ideas and techniques | ● | | |
| Solving problems | | | |
| Using technology | ● | | |

## FPI G21 A           Collect, analyse and organise information - advanced

### 1        Receive and interpret complex information

**1)** Complex information is accessed and interpreted.
**2)** Instruction and information is provided to others in the workplace.
**3)** Terms relating to production processes or procedures are explained to others to develop general understanding.

### 2        Interpret workplace information

**1)** Written or printed workplace directives are correctly read and interpreted.
**2)** Production drawings or design requirements correctly interpreted.
**3)** Production technique/procedure to be employed is identified and related it to product.
**4)** Design features required are understood and related to product.
**5)** Dimensions and tolerances are correctly interpreted in accordance with enterprise requirements.

### 3        Maintain detailed records

**1)** Detailed workplace records are prepared accurately and legibly using enterprise forms and procedures.
**2)** Data is correctly entered and checked.
**3)** Inspection procedures on standard forms are itemised to meet enterprise requirements.
**4)** Data outputs from monitoring equipment are maintained and collated to determine best production parameters.
**5)** Detailed product records are entered and updated during production.
**6)** Stock records are maintained and interpreted using site documentation.
**7)** Notifications of stock movements are prepared and transmitted.

### Range of Variables

- Instructions and information may include organisation terminology; fault reports; consumption reports; internal memos.
- Information media may include written/printed; oral; electronic; hand signals; visual display units/personal computers.
- Maintenance of records may include collation (of information or documentation)
  ◊ interpretation of routine information and standard analyses
  ◊ action resulting from information interpretation
  ◊ filing of documentation.

# Collect, analyse and organise information - advanced     FPI G21 A

## Evidence Guide

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions

Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:

- Performance
- Work reports
- Questioning and discussion.

*Assessment should ensure that:*

- Safe work practices in the worksite are recognised and explained
- Types and origin of information required to be analysed are described
- Issues to be taken into account when instructing or explaining processes and procedures to others in the workplace are described and appropriate responses to issues described.

*Demonstrates the ability to:*

- understand a variety of information styles
- interpret information in ways relevant to workplace requirements
- organise and maintain records accurately.

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | ● | | |
| Working with others in teams | ● | | |
| Using mathematical ideas and techniques | ● | | |
| Solving problems | ● | | |
| Using technology | ● | | |

**1          Identify task requirements**

   **1)**     Instructions on procedures are obtained, understood and clarified.
   **2)**     Task outcomes are identified.
   **3)**     Relevant specifications for task outcomes are obtained, understood and
            clarified
   **4)**     Task requirements, including completion time and quality measures are
            identified.

**2          Plan steps required to complete task**

   **1)**     Individual steps or activities required to undertake task are understood and
            where necessary, clarified.
   **2)**     Planned steps and outcome are checked to ensure conformity with instructions
            and relevant specifications.
   **3)**     Required sequence of activities to be completed are identified in plan.

**3          Review plan**

   **1)**     Outcomes are identified and compared with (planned) objectives, task
            instructions, specifications and task requirements.
   **2)**     Plan is revised, when necessary, to better meet objectives and task
            requirements.

**Range of Variables**

- Information provided to assist planning includes instructions; standard operation sheets; specifications;
  quality requirements; time allowances
- Plan may or may not be documented
- Task involves one or more steps or functions carried out on a regular basis
- Plan does not require exercise of judgement as to priorities or time limitations.

**Evidence Guide**

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace
conditions
Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance
criteria, and is best demonstrated through a combination of the following, where appropriate in the particular
workplace:
- Performance
- Questioning and discussion.

*Assessment should ensure that:*

- Plans logged provide more detail than simple repetition of standard workplace instructions
- Tasks are broken down into logical steps for planning
- The outcomes to be achieved from tasks planned are clearly identified
- Plan and outcomes are reviewed at reasonable frequency and changes are made when necessary.

# Plan to undertake a routine task                                    FPI G22 A

*Demonstrates the ability to:*

- Develop a plan for a task from information provided, incorporating technical, quality and time requirements, which is capable of achieving appropriate results
- Modify plans as a requirement of outcomes achieved.

*Demonstrates knowledge of:*

- Organisational requirements in relation to planning and related documentation

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | | | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | | | |
| Solving problems | ● | | |
| Using technology | | | |

### 1        Identify activity requirements

**1)**        Instructions on objectives and performance requirements are obtained, understood and clarified where necessary.
**2)**        Activity outcomes are identified.
**3)**        Relevant specifications for activity outcomes are obtained, understood and clarified, where necessary.
**4)**        Activity requirements, including overall timeframe for activity, quality requirements and criteria for acceptable completion are identified.
**5)**        Individual components of activity are identified and prioritised, based on instructions as to objectives, performance requirements and specifications.

### 2        Implement plan

**1)**        Plan is organised in readiness for implementation.
**2)**        Plan is implemented.
**3)**        Component activities and requirements of plan are carried out in sequence.
**4)**        Plan is taken to completion.

### 3        Review and modify plan

**1)**        Outcomes of plan are identified and compared with original objectives.
**2)**        Opportunities for improvement, based on implementation experience are identified.
**3)**        Identified improvement opportunities are incorporated into existing and future planning activities.
**4)**        Report is prepared outlining completion of activities, any unforeseen difficulties and resolutions.

## Range of Variables

- Information provided to assist planning includes instructions; standard operation sheets; specifications; quality requirements; time allowances
- Plan may involve activities performed in accordance with established procedures but may require modification of procedures to deal with unforeseen developments
- Activity may require prioritising and sequencing of individual components
- Planning will be related to work tasks and environments which are familiar to individual undertaking planning activity.

## Evidence Guide

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions
Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:

- Performance
- Questioning and discussion.

*Assessment should ensure that:*

- The job is broken down into individual, prioritised activities
- Signs that the plan is not going as planned are recognised
- Opportunities for improvement are identified and incorporated into any future plan.

# Plan a complete activity                    FPI G23 A

*Demonstrates the ability to:*

- Develop a plan for a task from information provided, incorporating technical, quality and time requirements, which is capable of achieving appropriate results
- Modify plans as a requirement of outcomes achieved
- Prioritise components of activities to achieve performance, quality and time requirements.

*Demonstrates knowledge of:*

- Organisational requirements in relation to planning and related documentation.

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | | | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | | | |
| Solving problems | ● | | |
| Using technology | | | |

**1        Identify complex activity requirement**

    **1)**    Information recording timeframe, quality requirements, personal time availability, own and other resources available are obtained and examined.

    **2)**    Resources required for complex activity completion are identified.

    **3)**    Time available for completion of activity is identified.

**2        Identify work method**

    **1)**    Alternative work methods to meet complex activity objectives are identified.

    **2)**    Relative advantage and disadvantage of each work method is established.

    **3)**    Most appropriate work method is selected.

**3        Prepare complex activity plan**

    **1)**    Appropriate sequences of tasks are determined.

    **2)**    Critical path for completion of complex activity within time and budget is determined.

    **3)**    Individual tasks required to apply work method and meet objectives are identified.

    **4)**    Complex activity plan is documented.

**Range of Variables**

- Plan may involve complex activity performed in accordance with established procedures but may required modification of procedures to deal with unforeseen developments
- Planning will be related to work tasks and environments which are familiar to individual undertaking planning activity
- Plan is prepared to meet production, timing and quality requirements.

**Evidence Guide**

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions
Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:

- Performance
- Work reports
- Questioning and discussion.

*Assessment should ensure that:*

- Information about quality and resource requirements are identified, obtained, and examined
- Alternative work methods are identified and rigorously compared
- Work method selected is based on rigorous analysis
- Plan is documented.

# Plan a complex activity     FPI G24 A

*Demonstrates the ability to:*

- Develop a plan for a complex activity from information provided, incorporating technical, quality and time requirements, which is capable of appropriate results
- Modify plans as a result of outcomes achieved
- Prioritise components of complex activities to achieve performance, quality and time requirements.

*Demonstrates knowledge of:*

- Organisational expectations from complex planning process
- Organisational guidelines for documentation, including any appropriate forms.

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | | ● | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | ● | | |
| Solving problems | ● | | |
| Using technology | | | |

### 1        Contribute to the organisation of a team activity

**1)**     Team members and their roles in activities are identified.
**2)**     Information on activity objectives is contributed.
**3)**     Team goals are planned in co-operation with other team members.
**4)**     Appropriate roles and responsibilities for each work group member are suggested and decided by members, on a cooperative basis.
**5)**     Suggestions, contributions and active participation are continuously given whilst implementing activity.

### 2        Maintain effective work relationships

**1)**     Forms of communication appropriate to activity are used.
**2)**     Assistance in completion of activities is requested where appropriate.
**3)**     Contributions to achievement of set goal are made.
**4)**     Work is undertaken to specifications on an individual and shared basis as appropriate.
**5)**     Problems are discussed and resolved, where possible, through agreed and accepted processes.
**6)**     Suggestions for improvements to processes are made and discussed within the team.

## Range of Variables

- Individuals will work with a small number of others most of whom are their peers or immediate supervisors
- Contributions made will relate to aspects of their own jobs, to activities, tasks, objectives, parameters, specifications and constraints with which they are familiar
- Forms of communication used may include verbal; written; hand signals; two-way radio; telephone.

## Evidence Guide

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions
Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:
- Performance
- Work reports
- Questioning and discussion.

*Assessment should ensure that:*

- Communication style chosen is the most appropriate for the particular situation
- Help is sought from supervisor or work colleagues when needed
- Contributions and suggestions are made during the activity
- Interaction with colleagues is constant, communication is effective, and problems are shared.

# Work effectively with others                                    FPI G25 A

*Demonstrates the ability to:*

- Communicate effectively and interact within the group
- Make appropriate contributions to planning and other group activities.

*Demonstrates knowledge of:*

- Appropriate communication forms for a range of workplace situations.

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | ● | | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | | | |
| Solving problems | ● | | |
| Using technology | | | |

**1        Plan and determine group activity**

     **1)**    Information about activity objectives is obtained.
     **2)**    Work roles of participants are determined on a co-operative basis.
     **3)**    Optimal way to complete a new activity or a number of related activities is planned on a co-operative basis.
     **4)**    Responsibility for planning a component of activity is taken on an individual or shared basis.
     **5)**    Contributions are made to the planning process.

**2        Participate in work group activity**

     **1)**    Forms of communication appropriate to the activity are applied.
     **2)**    Responsibility for completion of certain components of activities is accepted on an agreed or shared basis, as appropriate
     **3)**    Assistance in completion of activities is sought where required.
     **4)**    Responsibility for quality, timeliness and appropriate levels of productivity is taken on an agreed individual and shared basis, as appropriate.
     **5)**    Problems are discussed and resolved through accepted processes.

**3        Monitor progress of activity**

     **1)**    Processes are decided, on an individual and collective basis, on ways to effectively review performance.
     **2)**    Individual members of the work team monitor their role in the activity's progress.
     **3)**    Feedback is provided to the work group on effectiveness of activity.
     **4)**    Ways of improving performance are proposed and agreed upon on a collective basis.

**Range of Variables**

- Individual participation and responsibility within the group will relate to aspects of their own jobs, and activities, tasks, objectives, parameters, specifications and constraints with which they are familiar
- Individual and group may need to adapt familiar information to meet new situations or deal with unforeseen problems or occurrences
- Modifications may have to be made to information provided as part of the group process.

**Evidence Guide**

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions.

Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:
- Performance
- Work reports
- Questioning and discussion.

# Work effectively in work groups                    FPI G26 A

*Assessment should ensure that:*

- Information about activity objectives is obtained
- Contributions to the planning process are made
- Communication forms used are appropriate to the activity
- Ways to effectively review performance are decided upon either individually or with others
- Feedback is provided to the work group on the effectiveness of the activity.

*Demonstrates the ability to:*

- Communicate effectively and interact within the group
- Make appropriate contributions to planning and other group activities
- Monitor performance and review plans as part of the group communication process.

*Demonstrates knowledge of:*

- Organisation information flow processes/scheduling procedures and tools
- Appropriate communication forms for a range of workplace situations.

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | | ● |
| Planning and organising activities | | | ● |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | ● | | |
| Solving problems | | ● | |
| Using technology | | | |

**FPI G28 A**                                           **Solve problems in the workplace - basic**

**1          Identify problems**

      **1)**     Problems are identified.
      **2)**     Nature of problem is clarified.
      **3)**     Information and evidence of problem is gathered.

**2          Plan action to solve problem**

      **1)**     Goals are set for dealing with problem.
      **2)**     Timeframe available for solving problem is identified.
      **3)**     Possible solutions are identified.
      **4)**     Optimal solution is chosen.

**3          Implement and follow up solution**

      **1)**     Chosen solution is implemented within timeframe.
      **2)**     Criteria are established to determine if chosen solution resolves problem.
      **3)**     Chosen solution is evaluated against determined criteria and by checking with work group or designated officer, if applicable.
      **4)**     Follow-up procedures are implemented.
      **5)**     Follow-up contingency arrangements are implemented in consultation with work group and designated officer.

**Range of Variables**

- Complexity of problems solved may require consultation with other departments/outside clients; problem may be affected by number and availability of resources; problem may involve non-routine system of work; problem offered by a broad set of factors
- Options/solutions: optimal solution may involve compromise; timeframe determined by individual; solution is determined by taking into account all variables that affect it, including resources and budget; assisting others; designated officer; other departments; peers and subordinates
- Cause of the problem may include human error; material problems; machinery breakdown
- Problem may be recognised by self; supervisor; other worker.

**Evidence Guide**

*Critical underpinning knowledge*

- Approaches to problem solving in the workplace
- Established lines of communication/reporting when problems arise in the workplace.

*Critical underpinning skills*

- Devise and implement logical and efficient plans
- Evaluate action against determined criteria
- Modify and communicate plans in response to new circumstances
- Assist others to solve problems and plan and implement chosen solutions
- Organise time and actions so that some work can be continued while dealing with the problem
- Communicate with others throughout the problem solving activity.

## Solve problems in the workplace - basic                    **FPI G28 A**

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | • | |
| Communicating ideas and information | | • | |
| Planning and organising activities | | • | |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | | • |
| Using technology | • | | |

**FPI G29 A**                    **Solve problems in the workplace - advanced**

**1        Identify problems**

**1)**    Potential problems, relevant to the workplace, are identified.
**2)**    Checks of workplace environment and equipment are regularly made.
**3)**    Signs of routine problem(s) are identified.
**4)**    Non-routine problem is clarified.
**5)**    Nature of problem is clarified.
**6)**    Information and evidence of problem is gathered.
**7)**    Relevant and irrelevant components of problem are identified.

**2        Plan action to solve problems**

**1)**    Achievable goals are set for dealing with problem.
**2)**    Timeframe available for solving problem is identified.
**3)**    Daily duties are organised in accordance with plan to solve problems.
**4)**    Time is managed appropriately.
**5)**    Access to relevant information is maintained.

**3        Assist others to identify and resolve problems in the workplace**

**1)**    Other workers are assisted in anticipating or identifying signs of a problem.
**2)**    Other workers are assisted in devising alternative options and/or strategies.
**3)**    Other workers are assisted in implementing chosen solution.

**4        Implement and evaluate solutions**

**1)**    Possible solutions are identified.
**2)**    Most feasible and efficient solution is chosen.
**3)**    Chosen solution is implemented within timeframe.
**4)**    Criteria are established to determine if chosen solution resolves problem.
**5)**    Chosen solution is evaluated against determined criteria and by checking with
         work group or designated officer, if applicable.
**6)**    Follow-up procedures are implemented.
**7)**    Follow-up contingency arrangements are implemented in consultation with
         work group and designated officer.

**Range of Variables**

- Complexity of problems solved may require consultation with other departments/outside clients; problem may be affected by number and availability of resources; problem may involve non-routine system of work; problem offered by a broad set of factors
- Options/solutions:  optimal solution may involve compromise; timeframe determined by individual; solution is determined by taking into account all variables that affect it, including resources and budget; assisting others; designated officer; other departments; peers and subordinates
- Cause of the problem may include human error; material problems; machinery breakdown; industrial relations issues; production process; customers; sales; delivery; costs; supply
- Problem may be recognised by self; supervisor; other worker; result of routine checks on machinery or product; figures on output; accidents/incidents; absenteeism.

## Solve problems in the workplace - advanced                    FPI G29 A

**Evidence Guide**

*Critical underpinning knowledge*

- Approaches to problem solving in the workplace
- Established lines of communication/reporting when problems arise in the workplace
- Organisational processes, procedures and culture.

*Critical underpinning skills*

- Devise and implement logical and efficient plans
- Evaluate action against determined criteria
- Modify and communicate plans in response to new circumstances
- Assist others to solve problems and plan and implement chosen solutions
- Organise time and actions so that some work can be continued while dealing with the problem
- Communicate with others throughout the problem solving activity.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | • | |
| Working with others in teams | | • | |
| Using mathematical ideas and techniques | | • | |
| Solving problems | | | • |
| Using technology | • | | |

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## FPI G30 A  Interpret and solve numerical problems - basic

### 1  Interpret problems and devise logical solutions

**1)** Purpose and objectives of an activity requiring numeracy skills is defined.
**2)** Mathematical ideas and techniques which are applicable to the tasks are identified and selected.
**3)** Mathematical ideas and techniques are selected, sequenced and applied reliably and efficiently.
**4)** Level of precision and accuracy needed for the situation is determined.
**5)** Solutions obtained are interpreted and evaluated.
**6)** Solutions are applied.

### 2  Perform basic computations

**1)** Simple calculations are performed using the four basic rules (+, -, x, ∋).
**2)** Simple calculations involving length, perimeter, area, and volume are understood and performed.
**3)** Simple calculations including fractions and mixed numbers are performed using four basic rules.
**4)** Simple calculations involving decimal fractions and mixed numbers are performed.
**5)** Calculated answers are checked by estimating techniques.
**6)** Simple rounding off operations are performed when estimating.
**7)** Simple calculations are performed to obtain percentages from information expressed in either decimal or fractional form.
**8)** Simple calculations are performed involving ratios and proportions using whole numbers, fractions and decimal fractions.
**9)** Information is extracted from charts and graphs and is interpreted correctly.
**10)** Information is used to produce simple charts and graphs.

### Range of Variables

- Calculations may be performed with pen and paper or on a calculator
- Problems will relate to the sector of the forestry industry and work activities with which the individual is familiar
- Interpretation of graphs will extend to simple histograms, control charts, pie charts or similar and may be generated from readings taken or computer generated.

### Evidence Guide

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions.

Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:
- Performance
- Work reports
- Questioning and discussion.

## Interpret and solve numerical problems - basic                    **FPI G30 A**

*Assessment should ensure that:*

- The purpose of solving numerical problems is understood
- Basic mathematical ideas and techniques are understood
- Requirement for accuracy in calculation is recognised and understood
- Results of calculations/estimates are rounded off correctly and used appropriately
- Information obtained from workplace charts and graphs is correct
- Information added to, or plotted on, workplace charts and graphs is correct.

*Demonstrates the ability to:*

- Define basic mathematical requirements of a problem
- Select appropriate calculations
- Apply calculations to appropriate data
- Understand and test the relevance of solutions
- Interpret graphically presented information.

*Demonstrates knowledge of:*

- Application of numerical problem solving in the workplace
- Required levels of accuracy for a range of workplace problems.

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | ● | | |
| Planning and organising activities | | | |
| Working with others in teams | | | |
| Using mathematical ideas and techniques | | | ● |
| Solving problems | | ● | |
| Using technology | ● | | |

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## FPI G31 A                     Interpret and solve numerical problems - advanced

**1          Solve numerical problems using logical procedures**

**1)**    Purpose and objectives of an activity requiring numeracy skills is defined.
**2)**    Mathematical ideas and techniques which are applicable to the task are identified and selected.
**3)**    Mathematical ideas and techniques are selected, sequenced and applied reliably and efficiently
**4)**    The level of precision and accuracy needed for the situation is determined.
**5)**    Solutions obtained are interpreted and evaluated.
**6)**    Solutions are applied.

**2          Perform mathematical calculations**

**1)**    Calculations involving the six trigonometrical ratios are performed.
**2)**    Calculations are performed on non-right angle triangles utilising the sine and cosine rule.
**3)**    Calculations aimed at solving problems involving right angle triangles using the sine, cosine, tangent, cosecant, secant and cotangent ratios.
**4)**    Simple transposition of formulae is carried out in order to isolate variable required.
**5)**    Formula is constructed to solve problems involving simple shapes and concepts.
**6)**    Simple equations are solved, including one unknown value.
**7)**    Geometrical properties of angles, triangles and circles are used to solve problems.
**8)**    Areas and volumes of composite shapes, which may include: conical sections, is calculated.
**9)**    Complex information is extracted from graphical representations.
**10)**   Data is analysed with respect to emerging trends.
**11)**   Graphs are constructed from data and drawn with respect to scale and accepted method.
**12)**   Significant features of graphical representations, such as lines, gradient (straight line graphs), intercepts, maximum and minimum values are understood.
**13)**   Wide variety of graphs, including histograms, control charts, straight line graphs and parabolic graphs are constructed.
**14)**   Mean, mode and medium are calculated from given data.
**15)**   Standard deviation is calculated and the significance of 1, 2, and 3 sign limits is understood.

**Range of Variables**

- Application is dependent on industrial sector
- A calculator may be used
- Interpretation of charts and graphs may be generated from readings taken or computer generated
- Calculations may be performed with pen and paper; calculator; computer application
- Mathematical problems will relate to the forestry industry sector with which the individual is familiar
- Construction and interpretation of graphs will extend to histograms, control charts, straight line graphs and parabolic graphs
- Graphs may be generated from readings taken in the workplace or other information sources and may include: computer generated data and graphs.

## Interpret and solve numerical problems - advanced                    FPI G31 A

### Evidence Guide

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions.

Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:
- Performance
- Questioning and discussion.

*Assessment should ensure that:*

- Mathematical ideas and techniques are reliably and efficiently selected, sequenced and applied
- The applicant accurately applies and understands the range of mathematical ideas and techniques involved
- The applicant is aware of what the data is used for in the workplace, and the cost and consequences of any errors in calculations.

*Underpinning skills*

- Define basic mathematical requirements of a problem
- Select appropriate calculations
- Apply calculations to appropriate data
- Understand and test the relevance of solutions
- Develop and interpret all aspects of graphically presented information
- Operate a hand-held calculator.

*Underpinning knowledge*

- Basic statistical concepts.


### Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | ● |
| Communicating ideas and information | ● | | |
| Planning and organising activities | | ● | |
| Working with others in teams | | | |
| Using mathematical ideas and techniques | | | ● |
| Solving problems | | | ● |
| Using technology | ● | | |

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**1          Treat minor skin injuries**

**1)**     Skin injuries are treated in accordance with standard first-aid techniques.
**2)**     Splinters are removed using recognised first aid techniques.
**3)**     Skin injuries are appropriately protected while working, in accordance with recognised first aid practice.
**4)**     Injuries requiring professional treatment are identified and arrangements are made as far as possible to ensure treatment is obtained.

**2          Avoid aggravation of injuries**

**1)**     Potential for further injury to victim and others present from injury-causing agent is determined.
**2)**     Victim and others are removed from injury-causing agent where appropriate, using recognised techniques.
**3)**     Professional advice is obtained promptly, according to circumstances of injury.

**3          Provide emergency assistance where hazardous substances may have been absorbed**

**1)**     Symptoms of suspected poisoning are identified by:
- appropriate observation
- questioning where victim is able to respond
- referral to workplace documentation, material safety data sheets and container labels.
**2)**     Route through which poison entered the body is ascertained as far as possible.
**3)**     Treatment for poisoning is in accordance with Australian Resuscitation Council procedures, workplace documentation, material safety data sheets and container labels.
**4)**     Professional advice is obtained promptly.

**4          Stop bleeding**

**1)**     Casualty's trunk and limbs are positioned according to standard first aid techniques.
**2)**     Wound is checked to ensure it does not contain foreign bodies or protruding bones.
**3)**     Wounds clear of protruding matter have direct pressure applied to them using hands, pads and/or bandages according to standard first aid techniques.
**4)**     Casualty is monitored for shock.
**5)**     Professional medical assistance is obtained promptly.

**5          Report accident and treatment**

**1)**     Accident/incident is reported to enterprise procedures.
**2)**     Treatment is reported to person in charge of first aid or recorded to enterprise procedures.

# Apply basic first aid techniques                    FPI G37 A

## Range of Variables

- Injuries where aggravation is avoided are those commonly found in the industry, e.g. falls, crush, manual handling and machinery
- Sources of advice and referral including qualified first aid personnel; workplace first aid centre; poisons centre; medical practitioners; ambulance service; hospitals
- Occupational health and safety legislation relating to the administration of first aid.

## Evidence Guide

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions.

Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:
- Performance
- Work reports
- Questioning and discussion.

*Assessment should ensure that:*

- A current and authentic first aid certificate is held by the applicant
- Any other certificate that is held is current and authentic
- Accident/incident forms are completed to enterprise requirements
- The correct procedure for obtaining an organisation accident or incident report form is demonstrated
- The circumstances in which an accident or incident report form must be completed is explained
- Personnel who must be informed of any first aid treatment provided are identified for a range of work locations and shifts (where applicable)
- Method of obtaining more senior first aid assistance or professional medical help when it is required is demonstrated
- Location and process for accessing material safety data sheets for workplace materials is known and demonstrated, as well as any other sources for similar information.

*Underpinning skills*

- Demonstrates competence in first aid procedures by performance in simulated situations, e.g. skin injuries, aggravation of injury
- Demonstrates knowledge of referral procedures by appropriate answers to questions related to simulated situation or to questions about procedures
- Identify common poisonous substances in industry.

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | ● | | |
| Planning and organising activities | ● | | |
| Working with others in teams | | | |
| Using mathematical ideas and techniques | | | |
| Solving problems | | | |
| Using technology | | | |

1        **Assess crisis situation**

   **1)**    Accident scene is checked for existing or potential hazards.
   **2)**    Casualty is approached only when it is safe to do so.
   **3)**    Casualty is moved only if absolutely necessary.
   **4)**    Nature if injuries are identified as far as possible.


2        **Seek professional help**

   **1)**    Ambulance and/or professional services are called and appropriate information
             provided to obtain additional treatment in more serious cases.
   **2)**    Casualty is reassured.
   **3)**    Casualty is monitored until professional help arrives.


3        **Apply cross infection and hygiene procedures for protection of self and victim**

   **1)**    Procedures recommended by the Australian Resuscitation Council are used to
             prevent cross infection between victim, self, other and surroundings.
   **2)**    First aid materials are appropriately disposed of.
   **3)**    Instruments are cleaned and disinfected.


4        **Maintain breathing and circulation of victim**

   **1)**    Breathing and circulation is checked.
   **2)**    Cardiopulmonary resuscitation procedures or expired air resuscitation
             techniques as recommended by the Australian Resuscitation Council are
             applied to maintain breathing and circulation where required.


5        **Minimise the effects of injury or illness**

   **1)**    Symptoms and signs of common conditions are recognised and conditions are
             appropriately managed in a first aid capacity.
   **2)**    Condition of casualty is assessed and most serious condition attended to first.
   **3)**    Wounds are treated according to recognised procedures.


6        **Maintain required records**

   **1)**    Accident/injury forms as required by State/Territory legislation are completed
             for later reference.
   **2)**    Completed forms are securely stored in accordance with privacy and
             legislative requirements.


**Range of Variables**

- State/Territory legislation, standards and codes of practice applying to occupational health and safety and first aid
- Australian Resuscitation Council recommendations in published policy statements
- Conditions generally recognised and able to be treated in a first aid capacity:
- Asthma; external and internal bleeding; burns and scalds; cerebro-vascular accident (e.g. stroke); diabetes; electric shock; epileptic seizure; eye injuries, minor and major; fractures, major and minor; head injuries, major and minor; myocardial infraction (e.g. heart attack); poisoning – including snake bite; shock; crush injuries; soft tissue injuries; heat exhaustion and stroke.

# Administer first aid procedures                              FPI G38 A

## Evidence Guide

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions.

Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:
- Performance
- Work reports
- Questioning and discussion.

*Assessment should ensure that:*

- A current and authentic senior first aid certificate is held by the applicant
- Professional services which might have to be called during the provision of first aid are known and process for doing so is explained
- Information which should be given to the ambulance service when calling them is known and explained
- Accident/injury forms that are required to be completed are known and identified
- The location(s) of accident/injury forms that are required to be completed are known and identified, and rules relating to the files are known and explained.

*Underpinning skills*

- Demonstrates and explains performance of first aid procedures in simulated situations
- Demonstrates referral, infection prevention and recording procedures by answers to questions related to the simulated situation or to questions about the procedure.

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|:---:|:---:|:---:|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | ● | | |
| Working with others in teams | ● | | |
| Using mathematical ideas and techniques | | | |
| Solving problems | ● | | |
| Using technology | | | |

**FPI G39 A**                                                    **Implement quality control - basic**

## 1        Examine and assess product quality

**1)**    Equipment is regularly checked and problems reported.
**2)**    Product is visually examined.
**3)**    Product/material faults/variations are reported to supervisor immediately.
**4)**    Appropriate documentation on product quality is completed where required.

## 2        Monitor and control product quality

**1)**    General criteria regarding product standard is understood.
**2)**    Product quality is monitored regularly throughout work process.
**3)**    Responsibility for quality of personal work area is planned for and maintained.

### Range of Variables

- Production faults detected may stem from problems with material, mechanical equipment faults and equipment settings.

### Evidence Guide

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions.

Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:
- Performance
- Work reports
- Questioning and discussion.

*Assessment should ensure that:*

- Equipment is checked regularly and problems reported
- Product faults/variations are reported immediately to the supervisor
- Product quality is monitored regularly throughout the work process
- Safety precautions required to be taken are understood and put in place.

*Demonstrates the ability to:*

- Monitor products and operations and maintain quality
- Use organisational procedures to report problems and product faults/variations.

*Demonstrates knowledge of:*

- General product quality standards
- Safety requirements for the work process and equipment being used.

## Implement quality control - basic                                FPI G39 A

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | ● | | |
| Planning and organising activities | ● | | |
| Working with others in teams | ● | | |
| Using mathematical ideas and techniques | | | |
| Solving problems | ● | | |
| Using technology | | | |

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### 1      Examine and assess product quality

**1)**    Equipment is checked for correct function and sequence of operation in accordance with organisation procedures.

**2)**    Product sampling, examination and assessment criteria are understood and applied.

**3)**    Product is examined and assessment made against quality control standard in accordance with organisation procedure.

**4)**    Appropriate documentation is developed according to standards.

**5)**    Product/material fault/variation is isolated in a production run and remedial action taken.

**6)**    Raw materials being used are checked against materials specification.

**7)**    Quality assurance information is verified and sampling for analysis is undertaken if required.

**8)**    Equipment is checked for correct function and sequence or operations in accordance with organisation procedures.

**9)**    Product/material fault is corrected in accordance with organisation standard procedures.

### 2      Monitor and control product quality

**1)**    Quality control standards and procedures are established and applied in accordance with organisation requirements.

**2)**    Quality awareness is created amongst immediate work team.

**3)**    Product sampling, examination and assessment criteria are understood and applied in accordance with organisation control requirements.

**4)**    Production output is monitored for quality in accordance with established procedures.

**5)**    Variations in product quality due to process or material faults are identified and addressed, in accordance with organisation standard procedures.

### Range of Variables

- Equipment utilised will include measuring tapes, squares, templates and dimensional gauges
- Procedures employed will include:
  - ◊ Basic measurements, use of templates and gauges and visual inspection
  - ◊ Organisation quality control procedures
  - ◊ Organisation quality assurance/management procedures
- Production faults detected may stem from problems with material, mechanical equipment faults and equipment settings.

### Evidence Guide

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions.

Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:
- Performance
- Work reports
- Questioning and discussion.

# Implement quality control - advanced FPI G40 A

*Assessment should ensure that:*

- Equipment is checked for correct function and sequence of operation
- Product is examined and assessed against organisation quality control standards
- Product/material faults are appropriately corrected
- Organisational quality control procedures are established and applied
- Awareness of quality required is created and maintained amongst the work team
- Production output is monitored for quality.

*Demonstrates knowledge of:*

- Product quality standards and requirements
- Quality systems employed
- Safety requirements for the work process and equipment being used.

*Demonstrates the ability to:*

- Monitor products and operations and maintain quality
- Create and maintain awareness of quality amongst the work team.

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | | ● | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | | | |
| Solving problems | ● | | |
| Using technology | ● | | |

**1          Select appropriate hand-operated or hand-held power tools**

      **1)**   Occupational health and safety regulations, policies and precautions are followed.
      **2)**   Production requirements including products and processes are identified from orders and supervisor's instructions.
      **3)**   Appropriate hand and/or power tools are selected according to task requirements.
      **4)**   Tools are checked before use and unsafe or faulty items are identified and marked for repair to organisation standard procedures.

**2          Operate hand-operated or hand-held power tools**

      **1)**   Occupational health and safety regulations and safety precautions are followed.
      **2)**   Hand tools and/or power tools are used according to manufacturers' recommendations to produce desired outcome(s).
      **3)**   Tools becoming unsafe or faulty during use are identified and marked for repair to organisation standard procedures.
      **4)**   Tool operation and work results produced are checked to identify need for tool repair or sharpening.
      **5)**   Tools requiring repair or sharpening are marked to organisation standard procedures.
      **6)**   Operational maintenance of tools is undertaken to organisation standards, manufacturers' recommendations and applicable legislative requirements.
      **7)**   Tools are stored safely and in an appropriate location according to organisation requirements.

**Range of Variables**

- Hand tool use includes but is not limited to handsaws; knives; chisels; hammers; hand drills; files and rasps
- Hand held power tool use includes but is not limited to electric drills; grinders and sanders; nail guns
- Operational maintenance tasks include cleaning; lubricating; tightening and adjusting.

**Evidence Guide**

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions.
- Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:
- Performance
- Work reports
- Questioning and discussion.

*Assessment should ensure that:*

- Required safety equipment/personal protective equipment is selected and used
- Power and non-power tools are used safely
- Tools selected and used for each job are appropriate to the outcome required.

# Use hand-held tools

*Demonstrates the ability to:*

- Interpret orders and instructions for a typical range of products manufactured by the organisation select appropriate tools for a range of typical tasks
- Use a range of hand operated and hand held power tools.

*Demonstrates knowledge of:*

- Checking procedure for tools
- Marking procedures for faulty tools
- Typical faults in tools and work produced
- Characteristics of blunt blades for a range of tools.

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | | | |
| Planning and organising activities | ● | | |
| Working with others in teams | | | |
| Using mathematical ideas and techniques | | | |
| Solving problems | ● | | |
| Using technology | | | |

**1          Determine the condition of cutting edge**

**1)**     Cutting performance of equipment/hand tool is assessed to determine requirement for sharpening.
**2)**     Required geometry of cutting edge for job is determined.
**3)**     Cutting edge is examined to determine extent of sharpening required.
**4)**     Arrangements for knives and blades identified as requiring machine sharpening/reconditioning are made to organisation procedures.
**5)**     Hazardous conditions or equipment, hand tools, blades, and knives are identified and managed to manufacturer's and organisation requirements.

**2          Sharpen cutting edge**

**1)**     Appropriate method of hand sharpening is determined.
**2)**     Appropriate safety clothing and equipment is selected and used while sharpening, according to occupational health and safety requirements.
**3)**     Cutting edge is sharpened to required geometry and temper.
**4)**     Sharpening is conducted safely and efficiently.
**5)**     Sharpened edge is checked to organisational procedures.

**Range of Variables**

- Type of knife/blade may be one or more of the following chipper; hand saw; debarker; chainsaw
- Sharpening is limited to restoring the cutting edge from minor bluntness and nicks while maintaining temper of material
- Equipment used may be one or more of the following hand files; pedestal or bench grinder; hand grinder; quenching/tempering tanks
- Checking procedures may relate to safety of equipment and quality procedures.

**Evidence Guide**

Competency should be demonstrated in an actual workplace or in a situation which reproduces workplace conditions.

Evidence of satisfactory performance of this unit of competence should be demonstrated against all performance criteria, and is best demonstrated through a combination of the following, where appropriate in the particular workplace:
- Performance
- Work reports
- Questioning and discussion.

*Assessment should ensure that:*

- Hazardous conditions on equipment, hand tools, and blades and knives are identified and managed
- Appropriate personal protective equipment are selected and used correctly
- Cutting edges are sharpened to the required geometry and temper
- All sharpening is conducted safely and efficiently.

*Demonstrates the ability to:*

- Sharpen a range of knives/blades using hand tool or grinder methods
- Check sharpened knives/blades.

# Hand sharpen knives and blades FPI G42 A

*Demonstrates knowledge of:*

- General standard for cutting too requirements for timber characteristics, hand tool or type of equipment and required timber finish
- Organisation requirements and procedures for maintenance of cutting tools.

## Key Competencies and Application to Standards

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | |
| Communicating ideas and information | | | |
| Planning and organising activities | ● | | |
| Working with others in teams | | | |
| Using mathematical ideas and techniques | | | |
| Solving problems | ● | | |
| Using technology | | | |

### Description

Follow defined occupational health and safety policies and procedures related to the work being undertaken in order to ensure own safety and that of others in the workplace. This occupational health and safety competency is relevant for employees without managerial or supervisory responsibilities.

| 1 | **Follow workplace procedures for hazard identification and risk control** |
|---|---|

**1)** Hazards in the work area are recognised and reported to designated personnel according to workplace procedures.
**2)** Workplace procedures and work instructions for controlling risks are followed accurately.
**3)** Workplace procedures for dealing with accidents, fires and emergencies are followed whenever necessary within scope of responsibilities and competencies.

| 2 | **Contribute to participative arrangements for the management of occupational health and safety** |
|---|---|

**1)** Occupational health and safety issues are raised with designated personnel in accordance with workplace procedures and relevant occupational health and safety legislation.
**2)** Contribute to participative arrangements for occupational health and safety management in the workplace within organisational procedures and scope of responsibilities and competencies.

### Range of Variables

This unit describes occupational health and safety competencies applicable for employees without supervisory responsibility.  This includes school-based workers, entry-level workers, trainees and apprentices.  This competency complements and is applicable in combination with other industry, occupation or enterprise workplace specific competencies.

- This competency is to be exhibited in accordance with all relevant occupational health and safety legislation, particularly:
  ◊ State/territory/commonwealth occupational health and safety acts, regulations and codes of practice; including regulations and codes of practice relating to hazards in the workplace or industry
  ◊ General duty of care under occupational health and safety legislation and common law
  ◊ Regarding roles and responsibilities of health and safety representatives and/or occupational health and safety committees
  ◊ Occupational health and safety issue resolution in accordance with relevant workplace procedures, which are arrangements for how workplace activities are to be done.  They may be formally documented or communicated verbally.

- They may include procedures that are:
  ◊ General to the management of the enterprise such as:  Job procedures and work instructions
  ◊ Specific to occupational health and safety, such as:  Emergency response; consultation and participation; issue resolution; identifying hazards (e.g. inspections); assessing risks; controlling risks; reporting occupational health and safety issues.
- Hazard identification may include activities associated with:
  ◊ Checking equipment or work area before work commences
  ◊ Workplace inspections
  ◊ Housekeeping.

- Participative arrangements may include:
  - ◊ Formal and informal meetings with include occupational health and safety
  - ◊ Occupational health and safety committees
  - ◊ Other committees (e.g. consultative, planning, purchasing)
  - ◊ Health and safety representatives
  - ◊ Suggestions, reports, concerns put forward by employees to management.

- Designated personnel may include:
  - ◊ Supervisors; managers; team leaders; and other persons authorised or nominated by the enterprise or industry to perform specified work; approve specified work; inspect specified work; direct specified work.

## Evidence Guide

*Competence is demonstrated in the context of:*

- An established organisational occupational health and safety system
- Provision of relevant policies, procedures and programs
- Provision of information about the rights and responsibilities of the workplace parties under occupational health and safety acts, regulations and codes of practice
- Provision of information on hazards and risks relevant to the workplace.

*Critical aspects of evidence to be considered*

- Demonstrated ability to recognise and report hazards to designated personnel
- Demonstrated ability to follow accurately workplace procedures relevant to controlling hazards and risks in the workplace
- Demonstrated ability to communicate about hazards in the workplace.

*Interdependent assessment of unit*

Competency in this unit underpins competency in other aspects of the workplace role of employees without supervisory responsibilities. It may be appropriate to assess parts of this unit in conjunction with units relating to the performance of such aspects of the role. For example, assessment of a unit of competence relating to operation of plant and equipment could involve assessing that the person is able to recognise and report any hazards associated with that plant or equipment.

*Critical underpinning knowledge and skills*

In demonstrating competency the following underpinning knowledge and skills should also be displayed:
- The rights and responsibilities of the workplace parties under occupational health and safety acts, regulations and codes of practice
- The ways in which occupational health and safety is managed in the workplace, and activities required under occupational health safety legislation, e.g. policies, procedures, plant and equipment maintenance, hazard identification, hazard assessment and control, occupational health and safety instruction and training, provision of occupational and health safety information
- Hazards which exist in the workplace
- The preferred order of ways to control hazards (known as the hierarchy of control).

Workplace occupational and health safety procedures relevant to the work being undertaken, including procedures for:
- Recognising and reporting on hazards (e.g. work area inspections)
- Work operations to control risks (e.g. permit to work systems; isolation procedures)
- Responding to accidents, fires and emergencies
- Raising occupational health and safety issues

- Contributing to arrangement put in place to enable employees to participate in occupational health and safety management (e.g. consultative or occupational health and safety committees, joint employer/employee inspections)
- The meaning of occupational health and safety symbols found on signs and labels in the workplace
- Ways in which participation and consultation over occupational health and safety can occur
- Designated personnel responsible for occupational health and safety.

*Resource implications*

Assessment of this unit requires access to:
- Relevant occupational health and safety acts, regulations and codes of practice
- Enterprise occupational health and safety policies and procedures
- Personnel protective equipment
- Relevant work areas for recognition of hazards and control measures.

*Method of assessment*

To ensure that the contingency management component of competency is adequately assessed, evidence needs to be gathered across a range of workplace operations and circumstances.  When assessing entry level workers consideration should be given to techniques which allow for evidence from relevant workplace experience to be collected.
- Techniques for assessment should include observation; simulation; case studies; interviews; written tests; workplace projects.

*Context of assessment*

This unit should be assessed by a combination of workplace and off-the-job assessment.  The context for assessment should ensure that evidence relating to the contingency management component of competency could be collected.  Evidence must include observation in the workplace as well as off-the-job techniques such as interviews and simulations.  Conditions for simulations should:
- Accurately simulate the range of activities and circumstances that the individual would be expected to deal with in the workplace
- Allow for discussion
- Ensure the relevant documents and resources are available.

In particular, evidence of the ability to follow emergency procedures and contribute to participative arrangements may be gathered through simulation/role-play.
The assessor should have recognised expertise in managing occupational health and safety in the industry, or work in an assessment team with such a person.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|:---:|:---:|:---:|
| Collecting, analysing and organising information | ● | | |
| Communicating ideas and information | ● | | |
| Planning and organising activities | ● | | |
| Working with others in teams | ● | | |
| Using mathematical ideas and techniques | ● | | |
| Solving Problems | ● | | |
| Using technology | ● | | |

## FPI OHS 2A    Implement and monitor the organisation's occupational health and safety policies, procedures and programs

**Description**

Implement and monitor the organisation's occupational health and safety policies, procedures and programs in the relevant work area to achieve and maintain occupational health and safety standards.  This occupational health and safety competency is relevant for employees with supervisory responsibilities.

**1**    **Provide information to the work group about occupational health and safety and the organisation's occupational health and safety policies, procedures and programs**

    **1)**    Relevant provisions of occupational health and safety legislation and codes of practice are accurately and clearly explained to the work group.

    **2)**    Information on the organisation's occupational health and safety policies, procedures and programs is provided in a readily accessible manner and is accurately and clearly explained to the work group.

    **3)**    Information about identified hazards and the outcomes of risk assessment and risk control procedures is regularly provided and is accurately and clearly explained to the work group.

**2**    **Implement and monitor participative arrangements for the management of occupational health and safety**

    **1)**    Organisational procedures for consultation over occupational health and safety issues are implemented and monitored to ensure that all members of the work group have the opportunity to contribute.

    **2)**    Issues raised through consultation are dealt with and resolved promptly or referred to the appropriate personnel for resolution in accordance with workplace procedures for issue resolution.

    **3)**    The outcomes of consultation over occupational health and safety issues are made known to the work group promptly.

**3**    **Implement and monitor the organisation's procedures for identifying hazards and assessing risks**

    **1)**    Existing and potential hazards in the work area are identified and reported so that risk assessment and risk control procedures can be applied.

**4**    **Implement and monitor the organisation's procedures for controlling risk**

    **1)**    Work procedures to control risks are implemented and adherence to them by the work group is monitored in accordance with workplace procedures.

    **2)**    Existing risk control measures are monitored and results reported regularly in accordance with workplace procedures.

    **3)**    Inadequacies in existing risk control measures are identified in accordance with the hierarchy of control and reported to designated personnel.

    **4)**    Inadequacies in resource allocation for implementation of risk control measures identified and reported to designated personnel

**5          Implement the organisation's procedures for dealing with hazardous events**

**1)**     Workplace procedures for dealing with hazardous events are implemented whenever necessary to ensure that prompt control action is taken.

**2)**     Hazardous events are investigated to identify their cause in accordance with investigation procedures.

**6          Implement and monitor the organisation's procedures for providing occupational health and safety training**

**1)**     Occupational health and safety training needs are identified accurately, specifying gaps between occupational health and safety competencies required and those held by work group members.

**2)**     Arrangements are made for fulfilling identified occupational health and safety training needs in both on and off-the-job training programs in consultation with relevant parties.

**7          Implement and monitor the organisation's procedure for maintaining occupational health and safety records**

**1)**     Occupational health and safety records for work area are accurately and legibly completed in accordance with workplace requirements for occupational health and safety records and legal requirements for the maintenance of records of occupational injury and disease.

**2)**     Aggregate information from the area's occupational health and safety records is used to identify hazards and monitor risk control procedures within work area according to organisational procedures and within scope of responsibilities and competencies.

**Range of Variables**

- Describes occupational health and safety competencies applicable for employees with supervisory responsibility.  This may include: roles such as team leaders, production coordinator, forepersons or supervisors
- This competency is to be exhibited in accordance with all relevant occupational health and safety legislation, particularly:
  ◊   State/Territory/Commonwealth acts, regulations and codes of practice, including regulations and codes of practice relating to hazards present in the work area
  ◊   General duty of care under occupational health and safety legislation and common law
  ◊   Requirements for the maintenance and confidentiality of records of occupational injury and disease
  ◊   Requirements provision of information and training
  ◊   Provisions for health and safety representatives and/or occupational health and safety committees
  ◊   Relating to occupational health and safety issue resolution.

- In accordance with relevant workplace procedures, which are arrangements for how workplace activities are to be done.  They may be formally documented or communicated verbally.  They may include:
- Procedures that are general to the management of the enterprise such as:
  ◊   Job procedures and work instructions
  ◊   Maintenance of plant and equipment
  ◊   Purchasing of supplies and equipment.

## FPI OHS 2A    Implement and monitor the organisation's occupational health and safety policies, procedures and programs

- Specific to occupational health and safety, such as:
  ◊ Providing occupational health and safety information
  ◊ Consultation and participation
  ◊ Emergency response
  ◊ Identifying hazards (e.g. inspections)
  ◊ Incident investigation
  ◊ Assessing risks
  ◊ Controlling risks
  ◊ Occupational health and safety training
  ◊ Occupational health and safety record keeping
  ◊ Reporting occupational health and safety issues
  ◊ Occupational health and safety issue resolution.

Information may include:
- Information:
  ◊ For the induction of new workers
  ◊ About the nature of work and tasks, procedures and the limits to worker authority
  ◊ About hazards and risk management procedures
  ◊ To assist in work tasks
  ◊ As part of providing direct supervision (e.g. to inexperienced workers)
  ◊ To communicate legislation to codes of practice (e.g. relating to hazards in the work area)
  ◊ For consultation with health and safety representatives and occupational health and safety committees.

- Participative arrangements may include:
  ◊ Formal and informal meetings
  ◊ Occupational health and safety committees
  ◊ Other committees (e.g. consultative, planning, purchasing)
  ◊ Health and safety representatives.

- Identifying hazards and assessing risks may occur through activities such as:
  ◊ Audits
  ◊ Workplace inspections
  ◊ Housekeeping
  ◊ Job and work system assessment
  ◊ Reviews of occupational health and safety records, including registers of hazardous substances, dangerous goods etc
  ◊ Maintenance of plant and equipment
  ◊ Purchasing of supplies and equipment (e.g. review of material data sheets, manufacturer/supplier information)
  ◊ Identifying employee concerns

- Controlling risks may include: actions such as:
  ◊ Measures to remove the cause of a risk at it source
  ◊ Application of the hierarchy of control, namely:
  ◊ Elimination of the risk
  ◊ Engineering controls
  ◊ Administrative controls
  ◊ Personal protective clothing and equipment
  ◊ Consultation with workers and their representatives.

- Hazardous events may include accidents; fires and explosions; emergencies such as chemical spills; bomb scares; violent incidents e.g. armed robberies

- Procedures for dealing with these may include evacuation; chemical containment; first aid procedures; accident/incident reporting and investigation

- Occupational health and safety training may include:
  ◊ Induction training
  ◊ Specific hazard training
  ◊ Specific task or equipment training
  ◊ Emergency and evacuation training
  ◊ Training as part of broader programs (e.g. equipment operation)

- Occupational health and safety records may include:
  ◊ Occupational health and safety audits and inspection reports
  ◊ Health surveillance and workplace environmental monitoring records
  ◊ Records of instruction and training
  ◊ Manufacturers and suppliers information, including material safety data sheets and dangerous goods storage lists
  ◊ Hazardous substances registers
  ◊ Maintenance and testing reports
  ◊ Workers compensation and rehabilitation records
  ◊ First aid/medical post records.


**Evidence Guide**

*Competence is demonstrated in the context of:*

- An established organisational occupational health and safety system
- Relevant policies, procedures and programs.
- Competence may be demonstrated working individually, or under the guidance of, or as a member of a team with, specialist occupational health and safety staff or managers.
- Competence may be assessed in conjunction with units of competency related to workplace training.


*Critical aspects of evidence to be considered*

Evidence of:
- A working knowledge, consistent with the elements of competence, of all applicable occupational health and safety acts, regulations and codes of practice is required
- Understanding and application of management systems and procedures and for occupational health and safety is required
- Understanding of the significance of other management systems and procedures for occupational health and safety is required
- Understanding and ability to apply the hierarchy of control (the preferred order of risk control measures from most to least preferred. That is: elimination, engineering controls, administrative controls and, lastly, personal protective equipment) is required
- Understanding of the significance of equal employment opportunity principles and practices for occupational health and safety, and an ability to apply those principles and practices, is required
- Knowledge of literacy levels and communication skills of work group members and consequent suitable communication techniques is required.

# FPI OHS 2A Implement and monitor the organisation's occupational health and safety policies, procedures and programs

*Interdependent assessment of unit*

Competency in this unit underpins competency in other aspects of the workplace role of employees with supervisory responsibilities. It may be appropriate to assess parts of this unit in conjunction with units relating to the performance of such aspects of the role. For example, assessing a unit relating to supervising a work system could involve assessing that the person is able to identify and report any existing or potential hazards of the system.

*Critical underpinning knowledge and skills*

In demonstrating competency the following underpinning knowledge and skills should also be displayed:
- The provision of occupational health and safety acts, regulations and codes of practice relevant to the workplace, including legal responsibilities of employers, employees and other parties with legal responsibilities
- Principles and practices of effective occupational health and safety management, such as:
  ◊ risk management approaches (risk identification, assessment, control)
  ◊ the hierarchy of control
  ◊ elements of an effective occupational health and safety management system
  ◊ participation and consultation over occupational health and safety
  ◊ accident and incident investigation
- Hazards which exist in the workplace including:
  ◊ the range of control measures available for these hazards
  ◊ considerations for choosing between different control measures, such as possible inadequacies of particular control measures
- Organisational occupational health and safety management systems, policies and procedures necessary to support organisational compliance with legal requirements, including procedures for:
  ◊ Communicating about occupational health and safety issues
  ◊ Consulting and allowing participation over occupational health and safety issues
  ◊ Identifying and reporting on hazards, e.g. through inspections
  ◊ Assessing risks
  ◊ Controlling risks
  ◊ Monitoring risk control measures
  ◊ Reporting budgetary and resource needs
  ◊ Responding to and dealing with hazardous events
  ◊ Occupational health and safety training
  ◊ Occupational health and safety record keeping.
- How the characteristics and composition of the workforce impact on occupational health and safety management including:
  ◊ Literacy; communication skills; cultural background; gender; workers with disabilities; part time, casual, contract workers
- Other organisational systems, policies and procedures relevant to occupational health and safety management, including:
  ◊ Business planning (especially new technology, organisational change); budgeting; purchasing; maintenance; contractors; training; consultation; human resource management
- Ability to analyse the entire working environment in the area of responsibility in order to identify hazards, assess risks and judge when intervention to control risks is necessary
- Ability to analyse relevant workplace data, such as incident or environmental monitoring data, to identify and assess risks and evaluate the effectiveness of risk control measures
- Ability to assess the resources needed to apply different risk control measures and make recommendations to management on that basis.

*Resource implications*

Assessment of this unit requires access to:
- Relevant occupational health and safety acts, regulations and codes of practice
- Enterprise occupational health and safety policies and procedures
- Personnel protective equipment
- Work areas for recognition of hazards and control measures.

*Method of assessment*

To ensure that the contingency management component of competency is adequately assessed, evidence needs to be gathered across a range of workplace operations and circumstances. When assessing entry level workers consideration should be given to techniques which allow for evidence from relevant workplace experience to be collected. Techniques for assessment should include:
- Observation; simulation; case studies; interviews; written tests; workplace projects.

*Context of assessment*

This unit should be assessed by a combination of workplace and off-the-job assessment. The context for assessment should ensure that evidence relating to the contingency management component of competency could be collected. Evidence must include observation in the workplace as well as off-the-job techniques such as interviews and simulations. Conditions for simulations should:
- Accurately simulate the range of activities and circumstances that the individual would be expected to deal with in the workplace
- Allow for discussion
- Ensure the relevant documents and resources are available.

In particular, evidence of the ability to follow emergency procedures and contribute to participative arrangements may be gathered through simulation/role-play.

The assessor should have recognised expertise in managing occupational health and safety in the industry, or work in an assessment team with such a person.
- Monitor the production program

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | ● | |
| Communicating ideas and information | | ● | |
| Planning and organising activities | | ● | |
| Working with others in teams | | ● | |
| Using mathematical ideas and techniques | | ● | |
| Solving problems | | ● | |
| Using technology | | ● | |

**Establish, maintain and evaluate the organisation's occupational health and safety system**

**Description**

Establish, maintain and evaluate the organisation's occupational health and safety system in order to ensure that the workplace is, so far as is practicable, safe and without risks to the health of the employees. This occupational health and safety competency is relevant for those with managerial responsibilities. This may be as am employee or as an owner of a business.

**1       Establish and maintain the framework for the occupational health and safety system in the area of responsibility**

**1)**   Occupational health and safety policies are developed which clearly express the organisation's commitment with respect to occupational health and safety within the area of managerial responsibility and how relevant occupational health and safety legislation will be implemented.

**2)**   Occupational health and safety responsibilities and duties which will allow implementation and integration of the occupational health and safety system are clearly defined, allocated and included in job descriptions and duty statements for all relevant positions.

**3)**   Financial and human resources for the operation of the occupational health and safety system are identified, sought and/or provided in a timely and consistent manner.

**4)**   Information on the occupational health and safety system and procedures for the area of responsibility is provided and explained in a form that is readily accessible to employed.

**2       Establish and maintain participative arrangements for the management of occupational health and safety**

**1)**   Appropriate consultative processes are established and maintained in consultation with employees and their representatives in accordance with relevant occupational health and safety legislation and consistent with the organisation's overall process for consultation.

**2)**   Issues raised through participation and consultation are dealt with and resolved promptly and effectively in accordance with procedures for issue resolution.

**3)**   Information about the outcomes of participation and consultation is provided in a manner accessible to employees.

**3       Establish and maintain procedures for identifying hazards**

**1)**   Existing and potential hazards within the area of managerial responsibility are correctly identified and identification confirmed in accordance with occupational health and safety legislation, codes of practice and trends identified from the occupational health and safety records system.

**2)**   Activities are appropriately monitored to ensure that this procedure is adopted effectively throughout the area of managerial responsibility.

**3)**   Hazard identification is addressed at the planning, design and evaluation stages of any change in the workplace to ensure that new hazards are not created.

**4**      **Establish and maintain procedures for assessing risks**

**1)**    Risks presented by identified hazards are correctly assessed in accordance with occupational health and safety legislation and codes of practice.

**2)**    A procedure for ongoing assessment of risks is developed and integrated within systems of work and procedures.

**3)**    Activities are monitored to ensure that this procedure is adopted effectively throughout the area of managerial responsibility.

**4)**    Risk assessment is addressed at the planning, design and evaluation stages of any change within the area of managerial responsibility to ensure that the risk from hazards is not increased.

**5**      **Establish and maintain procedures for controlling risks**

**1)**    Measures to control assessed risks are developed and implemented in accordance with the hierarchy of control, relevant occupational health and safety legislation, codes of practice and trends identified from the occupational health and safety records system.

**2)**    When measures that control a risk at the source are not immediately practicable, interim solutions are implemented until a permanent control measure is developed.

**3)**    A procedure for ongoing control of risks, based on the hierarchy of control, is developed and integrated within general systems of work and procedures.

**4)**    Activities are monitored to ensure that the risk control procedure is adopted effectively throughout the area of managerial responsibility.

**5)**    Risk control is addressed at the planning, design and evaluation stages of any change within the area of managerial responsibility to ensure that adequate risk control measures are included.

**6)**    Inadequacies in existing risk control measures are identified in accordance with the hierarchy of control, and resources enabling implementation of new measures are sought and/or provided according to appropriate procedures.

**6**      **Establish and maintain organisational procedures for dealing with hazardous events**

**1)**    Potential hazardous events are correctly identified.

**2)**    Procedures that would control the risks associated with hazardous events and meet any legislative requirements as a minimum are developed in consultation with appropriate emergency services.

**3)**    Appropriate information and training is provided to all employees to enable implementation of the correct procedures in all relevant circumstances.

**7**      **Establish and maintain an occupational health and safety training program**

**1)**    An occupational health and safety training program is developed and implemented to identify and fulfil employees' occupational health and safety training needs as part of the organisation's general training program.

**8**    **Establish and maintain a system for occupational health and safety records**

**1)**    A system for keeping occupational health and safety records is established and monitored to allow identification of patterns of occupational injury and disease within the area of managerial responsibility.

**9**    **Evaluate the organisation's occupational health and safety system and related policies, procedures and programs**

**1)**    The effectiveness of the occupational health and safety system and related policies, procedures and programs is assessed according to the organisation's aims with respect to occupational health and safety.

**2)**    Improvements to the occupational health and safety system are developed and implemented to ensure more effective achievement of the organisation's aims with respect to occupational health and safety.

**3)**    Compliance with occupational health and safety legislation and codes of practice is assessed to ensure that legal occupational health and safety standards are maintained as a minimum.

**Range of Variables**

Describes generic occupational health and safety competencies applicable for those with managerial responsibilities. This may be as an employee or as an owner of a business, including managers and owners of contracting businesses.
These competencies complement, and are applicable in combination with other industry, occupation or enterprise-specific competencies.
Competency is to be exhibited within the area of managerial responsibility that might be an entire enterprise or department of an enterprise. In the case of owners the responsibility will be for an entire enterprise.
Positions to which this competency apply will vary according to the industry or enterprise, and may include:
- Managers – at a range of levels
- Other specialist managers (e.g. maintenance manager; personnel manager).

This competency is to be exhibited in accordance with all relevant occupational health and safety legislation, particularly:
- State/Territory/Commonwealth occupational health and safety acts, regulations and codes of practice, including regulations and codes of practice relating to hazards present in the work area
- The general duty of care under occupational health and safety legislation and common law
- Requirements for the maintenance and confidentiality of records of occupational injury and disease
- Requirement for provision of occupational health and safety information and training
- Provisions for occupational health and safety representatives and/or occupational health and safety committees
- Relating to occupational health and safety issue resolution.

Establish and maintain the framework for occupational health and safety may include:
- Policy development and updating
- Determining the ways in which occupational health and safety will be managed. This may include: distinct occupational health and safety management activities, or inclusion of occupational health and safety functions within a range of management functions and operations such as:
  ◊    maintenance of plant and equipment
  ◊    purchasing of materials and equipment
  ◊    designing operations, work flow and materials handling
  ◊    planning or implementing alterations to site, plant, operations or work systems.

- Mechanisms for review and allocation of human, technical and financial resources needed to manage occupational health and safety. Includes defining and allocating occupational health and safety responsibilities for all relevant positions
- Mechanisms for keeping up to date with relevant information and updating the management arrangements for occupational health and safety. For example: information on health effects of hazards, technical developments in hazard control and environmental monitoring, changes to legislation
- Mechanisms to assess and update occupational health and safety management arrangements relevant to regulatory requirements
- A system for communicating occupational health and safety information to employees, supervisors and manages with the enterprise.

Establish and maintain participative arrangements for management of occupational health and safety may cover:
  ◊ Occupational health and safety committees and other committees, e.g. consultative, planning, purchasing
  ◊ A system of health and safety representatives
  ◊ Employee and supervisor involvement in occupational health and safety management activities, e.g. occupational health and safety inspections, audits, environmental monitoring, risk assessment, risk control
  ◊ Procedures for reporting hazards, risks and occupational health and safety issues by managers and employees
  ◊ Inclusion of occupational health and safety in consultative or other meetings and processes.

Establish and maintain procedures for identifying hazards may include:
- Developing and updating procedures for:
  ◊ Workplace inspections
  ◊ Audits
  ◊ Maintaining and analysing occupational health and safety records, including environmental monitoring, health surveillance reports
  ◊ Maintenance of plant and equipment
  ◊ Reviews of materials and equipment purchases, including manufacturers and suppliers information
  ◊ Employee reporting of occupational health and safety issues.

Establish and maintain procedures for assessing risks may include:
- Developing and updating of procedures for:
  ◊ Determining the likelihood and severity of adverse consequences from hazards
  ◊ Occupational health and safety audits
  ◊ Occupational health and safety workplace inspections
  ◊ Maintenance of plant and equipment
  ◊ Purchasing of materials and equipment
  ◊ Planning or implementing alterations to site, operations or work systems
  ◊ Analysis of relevant records and reports, e.g. injuries and incidents, hazardous substances, inventories/registers, audit and environmental monitoring reports, occupational health and safety committee records.

Establish and maintain procedures for controlling risks may include:
- Developing and updating procedures for:
  ◊ Assessing the occupational health and safety consequences of material, plant or equipment prior to purchase
  ◊ Obtaining expert advice
  ◊ Appropriate application of the hierarchy of control measures
  ◊ Elimination of the risk
  ◊ Engineering controls
  ◊ Administrative controls
  ◊ Personal protective clothing and equipment
  ◊ Designing safe operations and systems of work
  ◊ Inclusion of new occupational health and safety information into procedures
  ◊ Checking enterprise compliance with regulatory requirements.

Establish and maintain organisational procedures for hazardous events may include:

- Developing and updating of procedures regarding:
  - ◊ Making inventories of and inspecting high risk operations
  - ◊ Inspection of systems and operations associated with potentially hazardous events, e.g. emergency communications, links to emergency services, fire fighting, chemical spill containment, bomb alerts, first aid services.

Establish and maintain an occupational health and safety training program may include:
- Arrangements for ongoing assessment of training needs
- Supervisors and managers
- Specific hazards
- Specific tasks or equipment
- Emergencies and evacuations
- Training required under occupational health and safety legislation
- Allocation of resources for occupational health and safety training – including acquisition of training resources, development of staff training skills, purchase of training services
- Occupational health and safety in induction training
- Training for new operations, materials or equipment.

Establish and maintain a system for occupational health and safety records may cover:
- Identifying records required under occupational health and safety legislation
- Workers compensation and rehabilitation records
- Hazardous substances registers
- Material safety data sheets
- Major accident/injury notifications
- Certificates and licenses
- Manufacturers and suppliers occupational health and safety information
- Occupational health and safety audits and inspection reports
- Maintenance and testing reports
- Workplace environmental monitoring and health surveillance and records
- Records of instruction and training
- First aid/medical records.

Evaluating the organisation's occupational health and safety system may include arrangements for:
- Reviewing the effectiveness of the occupational health and safety management system
- Regular review of operating procedures
- Regular analysis of occupational health and safety records
- Occupational health and safety audits against occupational health and safety legislative requirements.

**Evidence Guide**

*Competence is demonstrated in the context of:*

This unit applies to both managers and owners of enterprises.  Competence is demonstrated in the context of:

- Responsibility for managing the operations of an enterprise or a department of an enterprise
- Provision of information on or access to the arrangements for managing an entire enterprise or a department
- Provision of information on or access to established arrangements for management of occupational health and safety in an enterprise or department

Competence may be demonstrated working individually, or under the guidance of, or as a member of a team with, specialist occupational health and safety staff, managers or consultants

*Critical aspects of evidence to be considered*

- Detailed knowledge of all relevant occupational health and safety acts, regulations and codes of practice and how they will be implemented within the area of responsibility is required
- Ability to establish and/or maintain the organisation's occupational health and safety management system is required
- Understanding of the hierarchy of control (the preferred order of risk control measures from most to least preferred. That is: elimination, engineering controls, administrative controls and lastly, personal protective equipment) is required
- Understanding of the significance of equal employment opportunity principles and practices for the management of occupational health and safety, and ability to apply appropriate practices is required
- Understanding of the significance of other management systems and procedures for occupational health and safety, and ability to establish and maintain appropriate arrangements for occupational health and safety within those systems and procedures is required
- Knowledge of literacy levels and communication skills of employees in the area of managerial responsibility and ability to establish and maintain suitable communication and training techniques is required.

*Interdependent assessment of unit*

Competency in this unit underpins competency in other aspects of the workplace role of employees with managerial responsibilities. It may be appropriate to assess parts of this unit in conjunction with units relating to the performance of such aspects of the role. For example, assessing a unit relating to managing an operational area could involve assessing that the person is able to assets he effectiveness of risk control measures in place for that operation or area.

*Critical underpinning knowledge*

In demonstrating competence the following underpinning knowledge should also be displayed:
- The provisions of occupational health and safety acts, regulations and codes of practice relevant to the workplace, including legal responsibilities of employers, manufactures, suppliers, employees and other parties with legal responsibilities
- Principles and practices of effective occupational health and safety management including:
  ◊ elements of an effective occupational health and safety management system
  ◊ risk management
- Appropriate links to other management systems (e.g. contractors, maintenance, purchasing)
- The role of technical information and experts in designing control measures, monitoring systems and health surveillance
- The hierarchy of control measures
- Participation and consultation over occupational health and safety
- Incident and accident investigation
- Management arrangements related to regulatory compliance. For example arrangements for:
  ◊ keeping the organisation abreast of developments in occupational health and safety (e.g. law, control measure, hazards)
  ◊ mandatory notifications and reporting
  ◊ mandatory licenses and certificates
  ◊ registers, listings, and labelling of regulated materials (e.g. hazardous substances, dangerous goods)
- Communicating to the organisation about occupational health and safety
- Consulting about and participation in occupational health and safety management
- Identifying and reporting on hazards e.g. through audits, inspections
- Assessing risks
- Controlling risks
- Monitoring risk control measures
- Allocating financial, technical and human resources for occupational health and safety

- Responding to and dealing with hazardous events
- Occupational health and safety training
- Occupational health and safety record keeping
- Collection and use of occupational health and safety related data
- Hazards and associated risks which exist in the enterprise including:
  ◊ the range of control measures available for these hazards
  ◊ considerations for choosing between different control measures, such as possible inadequacies with particular control measures
  ◊ considerations in when to seek expert advice.
- How the characteristics and composition of the workforce impact on occupational health and safety management including:
  ◊ literacy; communication skills; cultural background; gender; workers with disabilities; part time, casual, contract workers.
- Other organisational management systems, policies and procedures relevant to occupational health and safety management, including:
  ◊ business planning (especially new technology, organisational change, workplace design); finance; contractors; purchasing; materials transport and storage; maintenance; training; consultation; human resource management.

*Underpinning skills*

In demonstrating competence the following underpinning skills should also be displayed:
- Ability to analyse the entire working environment in order to identify hazards, assess risks and design and implement appropriate occupational health and safety management systems
- Ability to analyse relevant workplace data (e.g. incident, environmental monitoring) to identify and assess risks and evaluate the effectiveness of the occupational health and safety management system
- Ability to assess the resources needed to establish and maintain occupational health and safety management systems including a range of risk control measures.

*Resource implications*

Assessment of this unit requires access to:
- Relevant occupational health and safety acts, regulations and codes of practice
- Information relevant to the management of the enterprise (e.g. planning, operations, maintenance, purchasing, budgeting)
- Enterprise occupational health and safety management information including policies and procedures
- All work areas or work areas in area of responsibility.

*Method of assessment*

To ensure that the contingency management component of competency is adequately assessed, evidence needs to be gathered across a range of occupational health and safety management systems, operations and work place circumstances. Techniques for assessment could include:
- Observation
- Simulation
- Case studies
- Interviews
- Written tests
- Work place projects.

*Context of assessment*

The context for assessment should ensure that evidence relating to the contingency management component of competency could be collected.

This unit should be assessed by a combination of workplace and off-the-job assessment.

Evidence must include observation in the workplace as well as off-the-job techniques such as interviews and simulations. Conditions for simulations should:
- Accurately simulate the range of operations and circumstances that managers or owners could be expected to manage in the workplace
- Allow for discussion
- Ensure the relevant information and documents are available.

In particular, evidence of ability to manage a range of emergencies and hazardous events may be gathered through simulation.

The assessor should have recognised expertise in managing occupational health and safety in the industry, or work in an assessment team with such a person.

**Key Competencies and Application to Standards**

| Key Competency | 1 | Level 2 | 3 |
|---|---|---|---|
| Collecting, analysing and organising information | | | • |
| Communicating ideas and information | | | • |
| Planning and organising activities | | | • |
| Working with others in teams | | | • |
| Using mathematical ideas and techniques | | | • |
| Solving problems | | | • |
| Using technology | | | • |