

Administration Training Package BSA97
Legal Services
Competency Standards
Level 5

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BSALPP501A Obtain information from a client

This Unit covers preparing for and collecting information from a client, recording this information and updating the client's file accordingly, under the instruction of a qualified legal practitioner.

Note: It may be illegal for a person without a current legal practice certificate to provide legal advice, to sign off on legal work and to receive trust monies. It may also be illegal for persons to misrepresent their qualifications (ie. claiming to be a lawyer/conveyancer or acting as a lawyer/conveyancer when they are not qualified to do so). Accordingly, persons without a current practice certificate must make their status clear to the other party and must act under the instructions of a qualified legal practitioner. The legal practitioner must be kept up to date with the file's progress. Further, problems of a legal nature must not be resolved without consulting the instructing legal practitioner and resolutions which emerge from such discussions must be complied with.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Prepare relevant background material	<ul style="list-style-type: none">• Nature of client needs and client matter is discussed and clarified with instructing legal practitioner• If client has had previous dealings with the firm, relevant information is reviewed and analysed• If first dealing with client, client file is opened according to <i>a firm's policies and procedures</i>• Meeting is arranged with instructing legal practitioner to discuss approach to matter and relevant interview questions if applicable
Arrange for exchange of information	<ul style="list-style-type: none">• Self or other is organised to contact client according to <i>a firm's policies and procedures</i>• Additional assistance from support staff is arranged for contact

Element of Competency	Performance Criteria
Obtain information from client	<ul style="list-style-type: none">• Legal limits to own responsibility are outlined clearly to client• Purpose of contact is explained to client and mutual expectations are established• Relevant legislation and associated legal process is clearly explained to client• Planned questions are asked of client• Self or other is organised to record client information• Transcript of interview and synopsis of information gathered is presented to client for verification• Client authorisation is obtained, where appropriate
Conduct meeting follow-up	<ul style="list-style-type: none">• Debriefing meeting is arranged with instructing legal practitioner to discuss meeting outcomes• Additional activities agreed upon in debriefing meeting are planned and implemented

Range of Variables
<p>Relevant background material and additional information may include:</p> <ul style="list-style-type: none"> • current file • relevant legislation and regulations • previous dealings with client or relevant third party
<p>Contact may include:</p> <ul style="list-style-type: none"> • interview • telephone interview • interview through an interpreter or other support person • letter
<p><i>A firm's policies and procedures may include:</i></p> <ul style="list-style-type: none"> • assigning the file matter number • determining the costing mechanism • performing conflict of interest check • verifying appointments • arranging meeting rooms • re-scheduling appointments
<p>Method of obtaining information</p> <ul style="list-style-type: none"> • in writing • in person • verbal • via third party
<p>Appropriate questioning technique may relate to:</p> <ul style="list-style-type: none"> • state of presentation of client • sensitivity of the matter • cultural background of the client
<p>State of presentation of the client may include:</p> <ul style="list-style-type: none"> • cooperative • emotional • defensive • non-communicative • non-English speaking • communication issues • effected by disability, eg. hearing impaired, speech impaired

Range of Variables
<p>Risk management issues may include:</p> <ul style="list-style-type: none"> • conflict of interest • security and access to files • disclosable information
<p><i>A firm's policies and procedures may include:</i></p> <ul style="list-style-type: none"> • information sources • time recording procedures • initiation of files • updating files • security/confidentiality/privacy procedures • contingencies • interviewing • verifying and authorising information • recording information • accommodating special client needs, eg. case manager, social worker, parole officer • protocol for contacting clients eg. translator, interpreter
<p>The area of law may include*:</p> <ul style="list-style-type: none"> • commercial law • corporate law • criminal law • family law • industrial relations /employment law • property law • tax law • litigation • wills and probate <p><i>* These are nine common areas of law. The area of law is not restricted to this list; other areas of law may be applicable.</i></p>
<p>Legislative requirements may relate to:</p> <ul style="list-style-type: none"> • relevant State/Territory/Commonwealth legislation and regulations • the client and the firm (eg. Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice) • the area of law • schedules of fees and duties payable • client solicitor privilege

Evidence Guide

Critical aspects:

- where appropriate, suggested interview questions and activities are forwarded to instructing legal practitioner for review
- interview questions are relevant and appropriate for the information requirements
- arrangements and verification of client meeting is completed within *agreed timelines*
- arrangements for interview are made taking into account any equipment needed prior, during and after the interview
- evidence of knowledge of the relevant legal process and legislative requirements
- explanations to client are made clearly and sensitively
- the interview is conducted efficiently and courteously
- legal terminology and process can be explained in clear, simple language
- instructing legal practitioner is kept up to date regarding all activities, actions and outcomes
- where instructing other, instructions are clear with adequate explanation to allow the task/s to be completed
- where instructing other, supervision is provided throughout the task in relation to:
 - providing advice and assistance with resolving problems
 - ensuring that work is completed within timelines
 - ensuring that recording of interview is accurate
 - checking that interview documents are formatted and filed correctly
 - ensuring that confidentiality and security of information is maintained
- appropriate questioning techniques are used, taking into account the client's characteristics
- client's questions are answered within limits of own area of responsibility
- questions outside own area of responsibility and knowledge are identified and assistance is promptly sought, where appropriate
- client questions within range of responsibility are answered satisfactorily and questions outside own range of responsibility are referred to instructing legal practitioner for immediate resolution
- client information is obtained *within agreed timelines* using appropriate method
- interview is carried out sensitively and non-disclosable information not disclosed
- all activities, actions and outcomes are documented and time is recorded
- file notes are kept up to date
- all work is conducted within accepted codes of conduct including those relating to: maintaining confidentiality and security of information, use of company property, duty of care, ethical behaviours, non-discriminatory practice, conflict of interests and compliance with reasonable direction

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- appropriate legislation and regulations relevant to assisting clients
- workplace manuals and reference materials such as company policy, procedural manuals and checklists

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, dealing with different clients and conducting different types of interviews, and over a period of time to ensure that situational variables are consistently achieved.

Evidence Guide

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times).

Evidence gathering methods may include:

- observation of performance
- questioning
- discussion

Underpinning Knowledge and Skills

Knowledge

- relevant legal process
- time recording procedures
- complexity of the matter at hand
- security, confidentiality and privacy
- legal terminology relevant to the matter
- appropriate questions and questioning technique
- range of responsibility in relation to the matter
- application of *a firm's policies and procedures* required in the full range of tasks covered
- *a firm's invoicing procedures*

Skills

- literacy: reads and interprets intricate legal procedures and texts; identifies and selects relevant information; prepares brief and debrief; makes notes from spoken and written texts, and revises to enhance meaning and effectiveness
- research and analysis: analyses a complex legal procedural text; assembles and critically evaluates evidence
- follows and provides clear written and oral sequenced instructions
- communication: participates in sustained and complex transactions; clarifies and elicits relevant information; adjusts questioning techniques to respond to client
- numeracy: keeps accurate records/files
- contingency planning
- interviewing skills

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	2	3	2	0	2	1

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

BSALPP502A Draft legally binding documents

This Unit covers the drafting of a variety of legally binding documents to meet particular legal matter requirements under the instruction of a qualified legal practitioner.

Note: It may be illegal for a person without a current legal practice certificate to provide legal advice, sign off on legal work and to receive trust account monies. It may also be illegal for persons to misrepresent their qualifications (ie. claiming to be a lawyer/conveyancer or acting as a lawyer/conveyancer when they are not qualified to do so). Contravening these conditions is illegal and compromises a firm's professional indemnity insurance. An instructing legal practitioner must supervise the tasks covered in this unit as they are legally responsible for the document (through the signing off process). Therefore, the instructing legal practitioner must review all documents before they are forwarded to clients. This unit is positioned at AQF Level 5 due to the broad knowledge of legally binding documents it requires and the substantial knowledge of client files, the legal process and legislation. It requires application of theoretical skills to drafting a range of documents as well as planning and taking responsibility for the work of others.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Identify purpose of document	<ul style="list-style-type: none">• Client file is reviewed and client needs are identified• Meeting is arranged with the instructing legal practitioner to discuss document requirements and future actions• Client is contacted and scope of own responsibility, document implications and its uses are clearly explained to client• Existing precedents are reviewed as a basis for drafting new document
Draft document	<ul style="list-style-type: none">• Research is carried out to ensure compliance with relevant legislation and/or regulations• Self-education is arranged with firm and pursued when necessary• Document is drafted to comply with legal requirements and client needs

Element of Competency	Performance Criteria
Evaluate document	<ul style="list-style-type: none">• Draft document is self-checked to ensure it meets the client's needs, particular legal requirements and includes relevant legislative excerpts• Any gaps or deficiencies are rectified• Meeting is arranged with instructing legal practitioner to review document and file and any suggestions or amendments are implemented• Amended document is forwarded to instructing legal practitioner to facilitate signing off process
Forward document to client	<ul style="list-style-type: none">• Document is forwarded to client for approval• Client's amendments are forwarded to instructing legal practitioner and integrated as directed by instructing legal practitioner• Signatures are obtained, witnessed and dated as required and appropriate follow-up action is undertaken

Range of Variables

Candidates must demonstrate competency in at least six (6) of the following.

Documents may include:

- letter
- dictatyped not drafted
- leases
- mortgage
- contracts
- transfer of shares
- wills
- conveyancing documents
- agreements
- memorandums of law
- briefs
- pleadings
- caveats

Clients may include:

- a small business
- individual
- large organisations
- third party
- insurance company
- community organisation
- financial institutions
- international companies

Details pertaining to the matter may include the following under the instruction of a qualified legal practitioner:

- reading file notes
- reading supervisor's notes
- obtaining information from
 - a client
 - a representative of opposing party
 - an external party
 - a government department
- firm's procedural manuals
- guidelines/checklists

Range of Variables**Legal matter may include:**

- settling a dispute
- agreements
- contracts
- disputing a claim
- mediated disputes
- protecting rights
- initiating litigation
- trademarks

The precedent bank may be:

- in-house
- external
- on-line
- stored pre-printed forms

Precedent documents may be relevant to the following areas of law:

- commercial law
- corporate law
- criminal law
- family law
- industrial relations/employment law
- property law
- tax law
- litigation
- wills and probate

** These are nine common areas of law. The area of law is not restricted to this list; other areas of law may be applicable.*

Range of new legally binding document may include:

- single purpose documents
- multi-purpose document
- document links with existing precedents
- document provides limited options for inserting individual clauses

Range of Variables**Format requirements may include:**

- bound
- letter layout
- court document
- contract layout
- will
- correct margins
- correct spacing
- dual column system
- presence/absence of a backup sheet
- presence/absence of a cover sheet
- placing of headings
- usage of keycaps and font features
- table of contents
- paragraph numbering
- correct use of referencing
- specific sign off clauses
- appropriate use of letterhead
- use of document footers
- list of enclosures
- spaces for signature and date of:
 - client
 - witness/es
 - other party/ies

Relevant sources of information may include:

- clients
- files
- documents
- other staff or legal personnel
- database
- government departments
- libraries
- on-line information services
- *a firm's policies and procedures*
- relevant State/Territory/commonwealth legislation

Appropriate information used in drafting the document may include:

- standard legal phrases
- particular Acts/legislation/regulations

Range of Variables
<p>Legislative requirements in relation to drafting the document may relate to:</p> <ul style="list-style-type: none"> • relevant State/Territory/Commonwealth legislation • the client and a firm (eg. Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice) • the area of law • schedule of fees and duties payable
<p>Deficiencies may include:</p> <ul style="list-style-type: none"> • inappropriate language • inaccurate terms • ambiguity • inappropriate legislation • incorrect interpretation of legislation • grammar • spelling • missing words
<p>Following obtaining signatures on document, appropriate follow-up action may include:</p> <ul style="list-style-type: none"> • getting document stamped • lodging copy with a government agency/department • forwarding a copy or the original to the client • forwarding the document to another party • processing and storing the document <ul style="list-style-type: none"> • on the firm's information system • for <ul style="list-style-type: none"> - client records - client's beneficiaries - later date
<p><i>A firm's policies and procedures may include:</i></p> <ul style="list-style-type: none"> • information sources • time recording procedures • security/confidentiality/privacy procedures • verifying and authorising information • recording information • style/layout guide
<p>Search for precedent documents may include:</p> <ul style="list-style-type: none"> • precedent document management systems • precedent book

Evidence Guide

Critical aspects:

- instructing legal practitioner's instructions are followed
- format, content and range of new document is determined in consultation with instructing legal practitioner
- client and instructing legal practitioner are kept up-to-date with progress of matter and any questions are clearly answered
- summaries of work performed and duties payable are forwarded to client on a regular basis and according to *a firm's policies and procedures*
- information is extracted and notes, summaries and/or photo-copies are made throughout the research process
- deficiencies in draft document are rectified through further research and drafting as required
- legal process, legislative requirements, purpose of document and legal terminology are explained to client in clear and simple language
- correct legal terminology is used in appropriate sections of document
- precedents are adapted where appropriate
- document is prepared correctly *within agreed timelines*
- produced document is assessed to ensure that it meets the requirements of legislation, legal matter and client needs
- problems or questions outside own area of responsibility are promptly referred to instructing legal practitioner
- ancillary notes explaining document are forwarded to client where appropriate
- file/matter number is attached to all relevant documentation and relevant documentation is filed appropriately for future reference
- all activities, actions and outcomes are documented and time is recorded
- all work is conducted within accepted codes of conduct including those relating to: maintaining confidentiality, use of company property, duty of care, ethical behaviours, privacy, non-discriminatory practice, conflict of interests and compliance with reasonable direction

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- appropriate legislation and regulations relevant to assisting clients, drafting legally binding documents and the area of law for which the document is intended
- workplace manuals and reference materials such as legal dictionary, company policy, procedural manuals and checklists
- appropriate technology such as computers with relevant software

Evidence Guide**Consistency in performance:**

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different legally binding documents, and over a period of time to ensure that situational variables are consistently achieved.

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- flexible delivery methods used by training providers to cater for distance education students
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times).

Evidence gathering methods may include:

- demonstration
- questioning
- workplace performance
- projects/assignments
- written tests
- skills portfolio
- third party reports

Evidence Guide**Underpinning knowledge and skills****Knowledge**

- various types of legally binding documents and their purposes
- security, confidentiality and privacy
- legal terminology
- application of *a firm's policies and procedures* required in the full range of tasks covered
- knowledge of statute and common law relevant to the area of law for which the document is drafted

Skills

- literacy: reads and interprets intricate legal documents; demonstrates well developed writing skills; uses legal vocabulary and grammatical structures to achieve precise meaning; understands and interprets relevant legislation and regulations
- research and analytical: interprets, selects and investigates relevant information
- follows and provides clear written and oral instructions
- proofreading and editing skills
- communication: participates in sustained and complex transactions; conducts meeting with clients to clarify issues and problem solve
- problem solving: uses developed estimation skills to check accuracy and relevance; demonstrates flexibility and a range of interactional strategies for the purposes of maintaining and developing relationships; exploring issues; or problem solving
- word processing and document management software

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	2	2	2	1	2	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

This Unit covers the duties carried out by a fee-earner as she/he manages the conduct of a file under the instruction of a qualified legal practitioner. This includes: establishing a file for the legal matter at hand, developing and obtaining appropriate documents, negotiating with clients, costing the file and file closure procedures.

Note: It may be illegal for a person without a current legal practice certificate to provide legal advice, to sign off on legal work and to receive trust monies. It may also be illegal for persons to misrepresent their qualifications (ie. claiming to be a lawyer/conveyancer or acting as a lawyer/conveyancer when they are not qualified to do so). Accordingly, persons without a current practice certificate must make their status clear to the other party and must act under the instructions of a qualified legal practitioner. Whenever work is carried out on behalf of an instructing legal practitioner, the work must be first checked by the instructing legal practitioner. Whenever a client or other party/ies are contacted on behalf of the instructing legal practitioner, the caller must identify themselves and their position and contact must occur according to the instructions and advice of the instructing legal practitioner. The legal practitioner must be kept up to date with the file's progress. Problems of a legal nature must not be resolved without consulting the instructing legal practitioner and resolutions which emerge from such discussions must be complied with.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Initiate preliminary file activities	<ul style="list-style-type: none"> • Meeting is arranged with instructing legal practitioner to discuss new file and plan and prioritise preliminary work • Details of the legal matter are obtained from client according to <i>a firm's policies and procedures</i> • A quote in line with <i>a firm's fee structure</i> is developed and forwarded to instructing legal practitioner for approval • Quote and instructions for establishing a trust account are forwarded to client on behalf of instructing legal practitioner • Terms of engagement are clarified with instructing legal practitioner and client and mutual expectations are agreed upon and documented • Initial file documentation is prepared

Element of Competency	Performance Criteria
Carry out conflict of interest check	<ul style="list-style-type: none"> • Self or other is organised to carry out conflict of interest check • Results of conflict of interest check are recorded on preliminary file notes and any areas of potential conflict are discussed and resolved
Open file	<ul style="list-style-type: none"> • Relevant information for initiating files is located, accessed and extracted • Support staff are selected to assist on file in consultation with instructing legal practitioner and briefed on matter • Confirmation of instructions, details of those working on the file, a summary of work to be performed and associated timelines are forwarded to client on behalf of instructing legal practitioner
Determine appropriate legal process and steps to facilitate the process	<ul style="list-style-type: none"> • Work is planned in conjunction with instructing legal practitioner, staff are assigned to tasks and resources are allocated • Relevant background information is obtained and relevant legal documents are prepared and checked by instructing legal practitioner • Relevant legislation and cases are identified and relevant legal requirements are clearly outlined to the client and questions are answered or referred to instructing legal practitioner for follow-up • Summary of future activities and preliminary work already performed are signed off by instructing legal practitioner and forwarded to client within <i>agreed timelines</i>
Contact <i>other persons</i> in regard to the file	<ul style="list-style-type: none"> • Liaison is undertaken with <i>other persons</i> and statements are obtained if necessary • Liaison with experts undertaken where appropriate • File notes are updated detailing all activities, actions and their outcomes and time is recorded

Element of Competency	Performance Criteria
Undertake legal process according to plan	<ul style="list-style-type: none"> • Legal process as planned with instructing legal practitioner is carried out • Instructing legal practitioner is kept up to date on progress of matter • Issues or problems outside own range of responsibility are referred immediately to instructing legal practitioner for resolution • Client is kept up to date on progress of matter through progress reports and where necessary meetings with instructing legal practitioner • Trust account is monitored to ensure sufficient monies and instructing legal practitioner is contacted to facilitate the transfer of additional funds if necessary • Meeting is arranged with instructing legal practitioner to present report on work undertaken and to facilitate instructing legal practitioners sign off on the matter
Facilitate file administration and closure	<ul style="list-style-type: none"> • Organise self or other to reconcile time records with costing • Organise self or other to undertake final costing • Organise self or other to prepare invoice • Meeting is arranged with instructing legal practitioner to review final invoice and relevant documentation in order to facilitate sign off before forwarding same to client • File notes are updated and completed • Trust accounts are checked for zero dollar balance and any outstanding disbursements are resolved • File is closed and archived according to <i>a firm's policies and procedures</i>

Range of Variables
<p>Legal matter may include:</p> <ul style="list-style-type: none"> • settling a dispute • agreements • contracts • disputing a claim • mediated disputes • protecting rights • initiating litigation • trademarks
<p>Client may include:</p> <ul style="list-style-type: none"> • third party • individual • business • insurance company
<p>Initial file documentation may involve:</p> <ul style="list-style-type: none"> • recording relevant client matter details • assigning file/matter number to client • attaching file/matter number is attached to all relevant documentation
<p>Client requirements in relation to the matter requirements* include, but are not exclusive of:</p> <ul style="list-style-type: none"> • an estimate of the total legal costs • billing frequency • charge out rate • reporting frequency • bill narrative • information about avenues for challenging invoice • name and address of RPA (recognised professional association) which regulates the firm or the practitioner <p><i>* These requirements are legislated and may differ from state to state.</i></p>
<p>Relevant background material and additional information may include:</p> <ul style="list-style-type: none"> • open file • relevant legislation • previous dealings with client or relevant third party
<p>Conflict of interest check may include:</p> <ul style="list-style-type: none"> • searching files • past working history of supervisor • databases • accounting package

Range of Variables
Conflict of interest may include: <ul style="list-style-type: none">• representing relative• representing other party• vested interest in outcome
Terms of engagement may include: <ul style="list-style-type: none">• fee contingent on success of case• pro bono work• union agreement• referral arrangement
Fee structure may include: <ul style="list-style-type: none">• fixed quote• fee by hour• scale of costs• tender• special rates
Appropriate documentation may include: <ul style="list-style-type: none">• leases• mortgages• contracts• transfer of shares• wills• <i>a firm's templates</i>• information for client• letters• internal correspondence• transcripts from supervisor's notes• agreements• opinion letters• memorandums of law• briefs• pleadings• precedents• statements• bank statements• other financial documentation

Range of Variables
Relevant legislation and cases may include: <ul style="list-style-type: none">• statutory law• constitutional law• common law
Experts may include: <ul style="list-style-type: none">• medical practitioner• psychologist• psychiatrist• social scientist• historian• parole officer• social worker
<i>Other persons with whom liaison may occur may include:</i> <ul style="list-style-type: none">• experts• opposing party/ies• government departments/agencies
Appropriate resources may include: <ul style="list-style-type: none">• time• staff• venues for liaison and meetings• services• office materials• access to experts
Relevant documentation to be forwarded to client may include: <ul style="list-style-type: none">• certificates• letters• experts reports

Range of Variables
<p>All activities and outcomes may include:</p> <ul style="list-style-type: none"> • exchange of information • discovery • consulting experts • verbal communication with external parties • failure to return call
<p><i>A firm's policies and procedures may include:</i></p> <ul style="list-style-type: none"> • office procedure manual • information sources • information specific to the firm • telephone protocol • initiation of files • accessing files • updating files • security/confidentiality/privacy procedures • contingency management • time recording procedures • interviewing • verifying and authorising information • recording information • protocol for accommodating special client needs, eg. case manager, social worker, parole officer • protocol for contacting clients, eg. translator, interpreter • conflict of interest check • providing quotes • fee structure • terms of engagement • instructing legal practitioner supervisory procedures
<p>The area of law may include*:</p> <ul style="list-style-type: none"> • commercial law • corporate law • criminal law • family law • industrial relations/employment laws • property law • tax law • litigation • wills and probate <p><i>* These are nine common areas of law. The area of law is not restricted to this list; other areas of law may be applicable.</i></p>

Range of Variables
<p>Legislative requirements may relate to:</p> <ul style="list-style-type: none">• relevant State/Territory/Commonwealth legislation• the client and a firm (eg. Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice)• the area of law• schedules of fees and duties payable• trust accounts• taxation and banking requirements• Australian Tax Office regulations• tort, equity and statute law
<p>Problems and issues which may be within own range of responsibility to resolve may include:</p> <ul style="list-style-type: none">• ensuring that support staff are adhering to security, confidentiality, privacy and timeline requirements• technical difficulties• difficulties with accessing requirement information
<p>Disbursements may include:</p> <ul style="list-style-type: none">• filing fees• photocopying• postage• cost of duty stamps• court costs• billable hours• hiring experts• hiring services

Evidence Guide

Critical aspects:

- evidence of understanding scope of own responsibility and roles and responsibilities of all relevant people involved in the matter
- background legal implications are understood
- evidence of understanding problems which may arise and approaches to resolving them
- evidence of understanding what is and is not disclosable in general and in particular to the matter
- appropriate information is given to clients
- non-disclosable information is not communicated and where any doubt exists as to the information's status it is not disclosed
- where instructing other, instructions are clear with adequate explanation to allow the task/s to be completed
- where instructing other, supervision is provided throughout the task/s in relation to:
 - providing advice and assistance with resolving problems
 - ensuring that work is completed within timelines
 - ensuring that confidentiality and security of information is maintained
 - ensuring that work of others meets required standards
- legal actions and legislative requirements are explained to client in simple language where appropriate
- client special needs are accommodated promptly, courteously and with discretion
- documentation required at different stages of the legal process is identified and purpose is understood
- relevant non-litigious solutions are understood and are applied where appropriate
- detailed negotiation/conflict resolution is attempted to client's and firm's satisfaction
- court appearances are executed professionally and efficiently according to instructions and relevant legislation regarding the appearance of persons without legal practice certificate
- file/matter number is attached to all relevant documents and such documentation is filed and file is culled for unwanted drafts
- evidence of knowledge of archiving procedures and appropriate file retention period
- all activities, actions and outcomes are documented
- time is recorded whenever work on matter is performed
- trust account monies are used for all matter expenses and not for any other purposes
- excess trust account monies are returned to client
- appropriate invoicing methods are employed
- all work is conducted within accepted codes of conduct including those relating to: maintaining confidentiality, use of company property, duty of care, ethical behaviours, privacy, non-discriminatory practice, conflict of interests and compliance with reasonable direction

Evidence Guide**Resource implications:**

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- appropriate legislation and regulations relevant to assisting clients, appearing in court, trust accounts and solicitor obligations
- workplace manuals and reference materials such as company policy, procedural manuals and checklists
- appropriate technology such as computers with relevant software

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different clients, different matters, and over a period of time to ensure that situational variables are consistently achieved.

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- use of a Practice Firm or simulated work environment
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times)

Evidence gathering methods may include:

- observation of performance
- obtaining client feedback
- work samples
- questioning
- discussion

Evidence Guide**Underpinning knowledge and skills****Knowledge**

- relevant legal process
- relevant current legislation
- stages involved in the legal process
- broad general knowledge of legal terminology and in-depth knowledge of legal terminology specific to the area of law
- application of *a firm's policies and procedures* required in the full range of tasks covered
- court process
- *a firm's invoicing procedures*

Skills

- literacy: follows intricate legal procedures; reads and interprets legal documents; uses legal vocabulary and grammatical structures to achieve precise meaning
- research and reporting writing: assembles and evaluates background information and critical documents
- follows and provides clear written and oral sequenced instructions
- classifies and sorts information; maintains accurate records of all relevant activities
- communication: participates in sustained and complex transactions; questions to elicit and clarify information
- numeracy: monitors and finalises accounts; accurately records files
- contingency planning skills
- organisational: establishes timelines and criteria for managing staff performance

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	2	3	3	1	2	1

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

BSALO501A**Perform legal research and prepare reports to meet identified needs**

This Unit covers establishing legal research requirements, identifying sources of information and data, evaluating the quality of the information and data, preparing drafts and producing final reports.

Note: It may be illegal for a person without a current legal practice certificate to provide legal advice, sign off on legal work and to receive trust account monies. It may also be illegal for persons to misrepresent their qualifications (ie. claiming to be a lawyer/conveyancer or acting as a lawyer/conveyancer when they are not qualified to do so). Contravening these conditions is illegal and compromises a firm's professional indemnity insurance. Finalisation of reports, research and other legal work must be undertaken by the instructing legal practitioner via the review and signing off process.

This unit has been adapted from BSACOM501B: Initiate, research and prepare specific data/information to facilitate communication flow.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Identify specific legal data/information requirements	<ul style="list-style-type: none"> • Specific legal data/information needs are identified and criteria are established to assess proposed researchers ability to meet the identified needs • Research proposal/brief is prepared and activities are planned and prioritised • Resources and technical requirements are identified
Supervise others to perform research	<ul style="list-style-type: none"> • Staff are selected and meeting is arranged • Purpose of research, ensuing activities and presentation requirements are clearly outlined to staff • Options for obtaining the legal data/information are discussed and sources of legal data/information are identified • Timelines are assigned to tasks and tasks are delegated to staff

Element of Competency	Performance Criteria
Review research	<ul style="list-style-type: none"> • Information is checked to ensure that extracted details are acknowledged and recorded for copyright and other legal requirements • Legal data/information is analysed for relevance • Legal data/information is edited and collated to fit research and any relevant legal/ethical requirements
Prepare drafts	<ul style="list-style-type: none"> • Document is drafted in appropriate format taking into account precedent documents using <i>appropriate language</i> • Legal data/information is presented according to <i>a firm's policies and procedures</i> and legal requirements • Draft is evaluated against previously identified criteria and action is taken to address any identified gaps or deficits • Meeting is arranged with instructing legal practitioner to review document • Amendments are made where necessary
Prepare final draft	<ul style="list-style-type: none"> • Key points are identified and executive summary prepared, where appropriate • Instructions are provided to staff to prepare appendices, bibliography and Table of Contents as required • Final draft is self-checked and then presented to instructing legal practitioner for review and sign off • Instructions are provided to staff to copy, collate and disseminate report as required

Range of Variables**Resources and technical requirements may include:**

- staff
- rooms
- computers
- paper
- telephone
- fax
- monies
- access to experts
- access to legislation

In order to achieve competency in this unit, the candidate must demonstrate competency in the following:

- journal article *or* internal briefing paper
- and** in one of the following:
- oral presentation *or* report formatted according to court requirements

Sources of legal data/information may include:

- *a firm's library*
- court library
- internet
- on-line information services
- specialist texts
- government publisher
- precedent back

Range of Variables**Relevant background material and additional information may include:**

- open file
- relevant legislation
- statistics (ABS/other)
- previous case histories/Common Law
- non-legal reports
- market research information
- financial information
 - specific to firm
 - specific to another firm
 - state
 - federal
 - international
- original research
- media
 - television
 - video
 - audio
- articles
 - academic
 - online
 - newspaper
 - journal
- specialist texts
- letters
- internal correspondence
- transcripts from supervisor's notes
- agreements
- opinion letters
- memorandums of law
- briefs
- pleadings
- precedents
- other bodies
- other libraries

Reports may include:

- marketing report
- report discussing change in legislation and/or new legislation
- financial report
- report of work undertaken
- report for presentation
 - at a conference/seminar
 - in a journal

Range of Variables
<p>Appropriate language may include:</p> <ul style="list-style-type: none"> • plain language • technical language • legal language • academic language
<p><i>A firm's policies and procedures may include:</i></p> <ul style="list-style-type: none"> • report format • information sources • time recording procedures • security/confidentiality/privacy procedures • verifying and authorising information • recording information
<p>The area of law may include*:</p> <ul style="list-style-type: none"> • commercial law • corporate law • criminal law • family law • industrial relations/employment law • property law • tax law • litigation • wills and probate <p><i>* These are nine common areas of law; the area of law is not restricted to this list. Other areas of law may be applicable.</i></p>
<p>Appendices may include:</p> <ul style="list-style-type: none"> • photos stamped as true and correct • certificates stamped as true and correct
<p>Legislative requirements may relate to:</p> <ul style="list-style-type: none"> • relevant State/Territory/Commonwealth legislation • the client and a firm (eg. client solicitor privilege, Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice) • the area of law • schedules of fees and duties payable • Freedom of Information legislation • copyright and intellectual property

Evidence Guide

Critical aspects:

- evidence that purpose of research is understood
- instructing legal practitioner is kept up to date regarding all activities, actions and outcomes
- where instructing other, instructions are clear with adequate explanation to allow the task/s to be completed
- where instructing others, supervision is provided throughout the task in relation to:
 - providing advice and assistance with resolving problems
 - ensuring that work is completed within deadlines
 - ensuring that report/correspondence is formatted correctly
 - ensuring that filing requirements are fulfilled and that a copy/ies of report/correspondence is stored appropriately
 - ensuring that confidentiality and security of information is maintained
- tasks are delegated according to staff availability and abilities
- document is drafted in an *appropriate format* and using *appropriate language*
- text is written using clear and concise language
- spelling, punctuation and grammar are correct
- sources are acknowledged according to appropriate legal footnoting system and page numbers are included where appropriate
- contents are organised logically and reflect the original requirements of the request
- all sources cited in the body of the report are listed alphabetically by author's surname, initials, date of publication, document title, document type, and relevant chapters or pages and additional sources consulted but not cited are included in the bibliography
- report is collated ensuring that all requisite sections are present and in the correct order
- reports are produced within *agreed timelines*
- activities, actions and outcomes are documented
- time is recorded and billed where appropriate
- relevant notes and documents have file/matter number attached and are filed appropriately
- all work is conducted within accepted codes of conduct including those relating to: maintaining confidentiality, use of company property, duty of care, ethical behaviours, privacy, non-discriminatory practice, conflict of interests and compliance with reasonable direction

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- appropriate legislation and regulations relevant to assisting clients, intellectual property and copyright
- workplace manuals and reference materials such as legal dictionary, company policy, procedural manuals and checklists
- appropriate technology such as computers with relevant software

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different research requirements, and over a period of time to ensure that situational variables are consistently achieved.

Evidence Guide

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- flexible delivery methods used by training providers to cater for distance education students
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times)

Evidence gathering methods may include:

- work samples
- oral presentation
- projects/assignments
- work-based research assignments
- third party reports
- questioning
- discussion

Underpinning knowledge and skills
Knowledge

- format for presenting written and oral reports and appendices
- sources of legal data/information
- legal terminology
- application of *a firm's policies and procedures* required in the full range of tasks covered

Skills

- literacy: reads and critically evaluates intricate legal documents; demonstrates well developed writing skills; uses legal vocabulary and grammatical structures to achieve precise meaning
- research and analytical: interprets, selects and investigates relevant information
- report writing: analyses information, identifies contradictions (conflict of interest); summarises data in a logically coherent structure, uses support materials effectively
- uses and follows academic procedures regarding copyright laws
- proofreading and editing skills
- communication: participates in sustained and complex oral transactions; provides clear sequenced oral instructions to others; explores ideas in discussion; builds on other's ideas to advance discussion and questions others to clarify ideas; encourages feedback
- numeracy: collates documents; accurately records documents; analyses and presents statistical data

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	3	3	3	0	2	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

BSALLG501A Assist with the discovery process

This Unit covers locating, preparing and collating documents involved in discovery and arranging any necessary meetings to inspect opposing party's discoverable documents.

Note: It is illegal for a person without a current legal practice certificate to provide legal advice, to sign off on legal work and to receive trust account monies. It is also illegal for persons to misrepresent their qualifications (ie. claiming to be a lawyer or acting as a lawyer when they are not qualified to do so). Contravening these conditions is illegal and compromises a firm's professional indemnity insurance. Accordingly all litigious work must be supervised by a qualified legal practitioner. Whenever work is carried out on behalf of an instructing legal practitioner, the work must be first checked by the instructing legal practitioner. Whenever clients or parties are contacted on behalf of instructing legal practitioner, own identity and position must be clearly stated and contact must proceed according to the legal practitioner's advice.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Assist with interlocutory process	<ul style="list-style-type: none">• Meeting is arranged with instructing legal practitioner to discuss and arrange pre-trial actions and diarise critical dates• Client is contacted on behalf of instructing legal practitioner and purpose of discovery, discovery process and associated legal obligations are explained in clear and simple language• In conjunction with instructing legal practitioner relevant documents are identified and arrangements are made to retrieve them• Non-discoverable documents are excluded
Collate discoverable documents	<ul style="list-style-type: none">• Self or other is organised to collate discoverable documents• Discoverable documents are checked for the following:<ul style="list-style-type: none">- documents requested are provided in full- the correct number of copies are present- signatures are present where necessary• Self or other is organised to prepare table of contents• Self or other is organised to prepare lists of all documents involved in matter according to standard legislative procedures

Element of Competency	Performance Criteria
Deliver list and collation to instructing legal practitioner	<ul style="list-style-type: none">• List is reviewed and amendments are made if necessary• Final list and documents comprising Part I of first schedule are presented to instructing legal practitioner for review
Assist with process of discovery in relation to opposing party's documents	<ul style="list-style-type: none">• Opposing party is contacted on behalf of instructing legal practitioner to request opposing party's discoverable documents• Appointment is made with opposing party's solicitor for pre-trial inspection of opposing party's list of documents and opposing party's discoverable documents• If requested by instructing legal practitioner support is provided at inspection of opposing party's discoverable documents

Range of Variables
<p>Issues which need to be covered in initial meeting include:</p> <ul style="list-style-type: none"> • timelines • identifying relevant documents • which documents are no longer in a firm's possession • obtaining documents from client • obtaining documents from <ul style="list-style-type: none"> - hospital - medical practitioner - other expert • which documents are privileged and which documents are not available for inspection • how to compile the list • the reasoning behind the construction of the list • background to the legal matter • the opposing party's case • the court/tribunal in which the case is to be heard • contacting the client and information to be communicated to the client • contacting the opposing party and information to be communicated to the opposing party • possible interrogation questions
<p>Arrangements to retrieve documents may include:</p> <ul style="list-style-type: none"> • instructing support staff to retrieve documents • contacting clients and requesting documents to be forwarded to instructing legal practitioner
<p>Explanation to client regarding the purpose of discovery may include:</p> <ul style="list-style-type: none"> • the philosophy of discovery • legal obligations involved in discovery • which documents can be included in a court hearing • purpose of first and second schedule • purpose of Part I and Part II in first schedule • why documents can be reserved for client-solicitor legal privilege
<p>Legal obligations may include:</p> <ul style="list-style-type: none"> • explaining process to client • listing all documents involved in pleading • listing and making available all discoverable documents (First schedule, Part II) • listing but withholding specific documents from inspection (First schedule, Part II) • listing all documents inspected but no longer in a firm's possession (Second schedule) • maintaining confidentiality and security procedures throughout the entire process

Range of Variables

Listed documents may include:

- file notes
- previous dealings with client or relevant third party
- previous case histories/Common Law
- letters
- transcripts from supervisor's notes
- agreements
- opinion letters
- memorandums of law
- original research
- medical reports
- clinical reports
- hospital discharge summaries
- media
 - television
 - video
 - audio
- articles
 - academic
 - online
 - newspaper
 - journal

Non discoverable documents may include:

- a client's medical history
- a client's psychological history
- financial information
 - specific to firm
 - specific to another firm
 - specific to client
- file notes
- instructing legal practitioner's notes
- confidential statements reserved for client-solicitor legal privilege
- confidential letters solicitor/client letters
- transcripts of conversations reserved for client-solicitor legal privilege
- information not permissible in court
- confidential government documents
- documents protected by commercial in confidence legislation
- witness statements
- briefs to counsel
- schedule II documents/content of non-discoverable documents

Support provided at discovery may include:

- attending discovery of opposing party's documents
- attending discovery of client's documents
- assisting with the inspection and interpretation of documents

Range of Variables***A firm's policies and procedures may include:***

- liaising with opposing party
- discovery procedures
- using checklists
- office procedure manual
- security/confidentiality/privacy procedures
- time recording procedures
- verifying and authorising information
- recording information
- emergency procedures

Nature of the legal matter may include*:

- commercial law
- corporate law
- criminal law
- family law
- industrial relations
- property law
- tax law
- litigation
- wills and probate

** these are nine common areas of law, the area of law is not restricted to this list, other areas of law may be applicable*

Legislative requirements may relate to:

- relevant State/Territory/Commonwealth legislation
- governing legal practice Acts in each State/Territory
- the client and a firm (eg. Client Legal privilege, Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice, common law and Statutory Duties of Care involving financial relationships)
- the area of law
- discovery
- Freedom of Information legislation
- tort, equity and Statute law
- commercial in confidence

Evidence Guide**Critical aspects:**

- evidence of understanding of scope of own responsibility and others involved in the matter
- evidence of understanding of the pre-trial litigation process – (including the purpose composition of pleading documents, discovery interrogatory questions, the pre-trial conference and the Certificate of Readiness)
- instructing legal practitioner and own diary is kept up to date and reminders are issued pending critical dates
- instructing legal practitioner is kept up-to-date with all actions, activities and outcomes
- instructing legal practitioner's instructions are followed
- any irregularities, uncertainties or difficulties are referred immediately to instructing legal practitioner for resolution
- concepts such as subpoena and Client-Solicitor Legal Privilege are understood
- issues pertaining to confidentiality, security and discretion are comprehended and attended to
- clients are kept up to date
- where instructing other, instructions are clear with adequate explanation to allow the task/s to be completed
- where instructing others, supervision is provided throughout the task in relation to:
 - providing advice and assistance with resolving problems
 - ensuring that work is completed within deadlines
 - ensuring that staff work at a high standard
 - ensuring that documents are collated and corrected correctly
 - checking that list and table of contents are correct
 - ensuring that filing requirements are fulfilled and that a copy/ies of report/correspondence is stored appropriately
 - ensuring that confidentiality and security of information is maintained

Critical aspects cont'd overleaf...

Evidence Guide

Critical aspects cont'd...

- interactions with opposing party are conducted efficiently and courteously
- evidence of what is and is not disclosable in general and related to the case in particular
- non-disclosable information is not communicated and where any doubt exists as to the information's status it is not disclosed
- non-disclosable information may include:
 - dates
 - addresses
 - names
 - a firm's other clients
 - fees
 - content of non-discoverable documents
- all activities, actions and outcomes are documented on file notes and time is recorded
- all activities and outcomes may include:
 - exchange of information
 - financial transaction
 - consulting experts
 - verbal communication with external parties
 - non-response
 - documents which cannot be located despite efforts to retrieve them
 - contact with representative from opposing party
 - contact with client
 - dates
 - dates on which own/opposing party's documents were inspected
- file/matter number is attached to relevant documentation and such documentation is filed appropriately
- record of time is processed for client invoicing purposes
- all work is conducted within accepted codes of conduct including those relating to: maintaining confidentiality, use of company property, duty of care, ethical behaviours, privacy, non-discriminatory practice, conflict of interests and compliance with reasonable direction

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- appropriate legislation and regulations relevant to discovery and to assisting clients
- workplace manuals and reference materials such as company policy, procedural manuals, checklists and legal dictionaries
- appropriate technology such as computers with relevant software, photocopiers

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different legal matters, and over a period of time to ensure that situational variables are consistently achieved.

Evidence Guide

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- use of a Practice Firm or simulated work environment
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times).
- flexible delivery methods used by training providers to cater for distance education students

Evidence gathering methods may include:

- questioning
- workplace performance
- simulation
- oral presentation
- third party reports

Underpinning knowledge and skills

Knowledge

- purpose of discovery
- steps involved in interlocutory procedure
- what is and is not discoverable
- conflict resolution techniques
- relevant legal process
- broad knowledge of general legal terminology and in depth knowledge of terminology relating to litigation and the area of law
- relevant current legislation
- indemnity insurance

Skills

- literacy: reads and interprets intricate legal procedures and texts; demonstrates well developed writing skills; uses legal vocabulary and grammatical structures to achieve precise meaning
- research: assembles and evaluates relevant documents and evidence; decides on degree of accuracy and identifies misleading, inaccurate or ambiguous information
- provides clear written and oral sequenced instructions to instructing parties
- communication: participates in sustained and complex transactions; questions to clarify information
- problem solving: chooses appropriate methods of solution; uses developed estimation skills to check accuracy and relevance
- numeracy: collate documents; accurate recording of documents, analysing and presenting statistical data; accurate time estimation skills
- conflict resolution skills
- developed proofreading and editing skills
- liaison and negotiation: liaises with internal and external contacts
- use of technological support tools such as databases for document management

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
2	3	3	3	1	2	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

BSALLG502A Appear in court

This Unit covers presenting information in court under instruction. Individuals performing this task without a legal practice certificate are permitted to carry out instructions but are not permitted to represent a client at a court hearing.

Note: It may be illegal for a person without a current legal practice certificate to provide legal advice, to sign off on legal work and to receive trust account monies. It may also be illegal for persons to misrepresent their qualifications (ie. claiming to be a lawyer or acting as a lawyer when they are not qualified to do so). Contravening these conditions is illegal and compromises a firm's professional indemnity insurance. Accordingly all litigious work must be supervised by a qualified legal practitioner. Whenever work is carried out on behalf of an instructing legal practitioner, the work must first be checked by the instructing legal practitioner. Whenever clients or parties are contacted on behalf of an instructing legal practitioner, own identity and position must be clearly stated and contact must proceed according to the instructing legal practitioner's advice.

This unit can be assessed alone or in combination with other units making up a job role.

Element	Performance Criteria
Attend court	<ul style="list-style-type: none">• Meeting is arranged with instructing legal practitioner to discuss matter and prepare court appearance strategy• File is reviewed and documentation is prepared for court• Limits of own responsibility are understood and adhered to• Court is attended on designated day at designated time• Information is presented to court where appropriate• Requests are submitted to court
Clarify uncertainties	<ul style="list-style-type: none">• If an uncertainty arises, bench or opposing party is asked for an explanation where appropriate• If proceedings become more complex than anticipated, request for matter to be stood down is submitted and instructing legal practitioner is contacted immediately for further instructions
Interpret rulings	<ul style="list-style-type: none">• Judge's rulings on matter, costs, penalties and damages are received, understood and documented• Judge's rulings on matter, costs, penalties and damages are communicated to instructing legal practitioner• Clarification is sought from instructing legal practitioner if necessary

Element	Performance Criteria
Communicate outcomes	<ul style="list-style-type: none"> • Outcome, including judge’s rulings on matter, costs, penalties and damages, is explained to client in simple language where appropriate • Client questions and queries are answered satisfactorily • Feedback from client and instructing legal practitioner is obtained and respective recommendations are communicated where appropriate
Prepare to meet with client	<ul style="list-style-type: none"> • Background research is conducted if necessary • Options available to client are researched and communicated to instructing legal practitioner for approval • Appointment is made to discuss court appearance outcomes and options with client if necessary
Meet with client	<ul style="list-style-type: none"> • Options available are communicated to client • Client is informed about extra monies for trust account if necessary • Client’s instruction regarding course of action are received, understood and documented
Communicate client’s decision to instructing legal practitioner	<ul style="list-style-type: none"> • Client’s instructions regarding course of action are communicated to instructing legal practitioner for comment • Recommendations on appropriate course of action and any follow up action are discussed with instructing legal practitioner and implemented

Element	Performance Criteria
Initiate action under instruction	<ul style="list-style-type: none">• Legal procedures are initiated• Opposing party is contacted and informed of pending actions where appropriate• Negotiations with opposing party are initiated and/or responded to• Appeal is lodged where appropriate• File/matter number is attached to relevant documentation and such documentation is filed appropriately

Range of Variables
<p>Instructions may relate to:</p> <ul style="list-style-type: none">• pleadings• briefs• files• background to the matter• the client• the opposing party• timelines• the court• Common Law• Pieces of legislation• Providing a Direction to the court• Providing a Mention to the court• Appearing before a Taxation Master• the Bill of Costs• date of court hearing
<p>Recording mechanisms/systems may be:</p> <ul style="list-style-type: none">• paper-based• electronic
<p>Court documentation may include:</p> <ul style="list-style-type: none">• pleading• brief• memoranda of law• list of documents• medical report• clinical report• other reports• hospital discharge summary• subpoenaed documents• agreements• transcripts from supervisor's notes• supervisor's instructions• discoverable documents
<p>Client may be:</p> <ul style="list-style-type: none">• plaintiff/claimant• defendant• a child• people with disabilities• mentally incapacitated

Range of Variables
<p>Courts may include:</p> <ul style="list-style-type: none"> • Magistrates Court • District/County Court • Family Court • Children’s Court • Supreme Court • Coroner’s Court • Federal Court
<p>Tribunals may include:</p> <ul style="list-style-type: none"> • Administrative Appeals tribunal • Tenant’s tribunal
<p>Information presented in court may be:</p> <ul style="list-style-type: none"> • pleading if representing defendant • mention • direction • negotiation on costs before a Taxation Master
<p>Non-disclosable information may include:</p> <ul style="list-style-type: none"> • medical history • psychological history • financial information • a firm’s other clients • documents and information reserved for client-solicitor privilege • documents protected by commercial in confidence regulations • witness statements • briefs to counsel • schedule II documents/content of non-discoverable documents
<p>Uncertainties or unanticipated complexities may include:</p> <ul style="list-style-type: none"> • not understanding a point of law • missing information • incomplete information • incorrect information • a change in the opposing party’s pleading • a change in the opposing party’s case • lack of further instructions from <i>designated person</i>

Range of Variables
<p>Judge's ruling may include:</p> <ul style="list-style-type: none"> • ruling on points of law involved in matter • party/party costs • client/solicitor costs • the magnitude of the damages awarded • jail sentence • community service order • family intervention order • custody • order for mediation/counselling
<p>Outcomes and follow-up activities may include:</p> <ul style="list-style-type: none"> • exchange of information • financial transaction • consulting experts • verbal communication with external parties • meetings with clients, opposing party and <i>designated person</i> • acceptance or rejection of offers of compromise • outcomes • further out of court negotiation • initiating an appeal • failure to respond • communication with client • communication with opposing party
<p>Options available to the client may include:</p> <ul style="list-style-type: none"> • no further legal action • initiating an action against the opposing party regarding a different matter • appeal against ruling • appeal against distribution of cost • appeal against damages • appeal against penalties
<p>Negotiations with opposing party may include:</p> <ul style="list-style-type: none"> • resolution of Judge's ruling on costs • division of property • reinstatement at place of work • employment agreement • accident damages • custodial agreement • divorce agreement • hospital fees • public apology • admission of partial negligence

Range of Variables
<p><i>A firm's policies and procedures may include:</i></p> <ul style="list-style-type: none"> • contacting opposing party • contacting client • arranging meetings • accepting/making offers of compromise • attending court • drawing up costs • preparing and witnessing affidavits availability of information • information specific to the firm • privacy/security/confidentiality procedures • contingencies • time recording procedures • interviewing • verifying and authorising information • recording information • accessing files • updating files • protocol for accommodating special client needs, eg. case manager, social worker, parole officer, translator, interpreter • office procedure manual • information sources
<p>The area of law may include*:</p> <ul style="list-style-type: none"> • commercial law • corporate law • criminal law • family law • industrial relations/employment law • property law • tax law • litigation • wills and probate <p><i>* These are nine common areas of law. The area of law is not restricted to this list; other areas of law may be applicable.</i></p>
<p>Legislative requirements may relate to:</p> <ul style="list-style-type: none"> • relevant State/Territory/Commonwealth legislation • Governing legal practice Acts in each State/Territory • the client and a firm (eg. Client Legal Privilege, Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice, common law and Statutory Duties of Care involving financial relationships) • the area of law • schedule of fees and duties payable • tort, equity and Statute law

Evidence Guide

Critical aspects:

- *a firm's policies and procedures* are understood and followed
- unclear instructions or missing information is checked with instructing legal practitioner
- roles and responsibilities of persons involved in matter are understood and adhered to
- *designated person* is kept up-to-date with all actions activities and outcomes
- documentation required at different stages of the legal process is identified, prepared and checked
- matter and associated legal implications are understood
- action is within court and client timelines
- instructing legal practitioner's instructions are adhered to at all times, particularly in relation to:
 - presenting information to court
 - submitting requests to court
 - communicating options to client
 - initiating legal proceedings
 - negotiating with opposing party
 - lodging appeals
- court etiquette and procedures are adhered to
- non-disclosable information is not communicated and where any doubt exists as to the information's status it is not disclosed
- uncertainties and complexities in court are immediately clarified with judge, opposing party or *designated person*
- different rulings, costs, penalties and damages are understood and communicated to client and *designated person* in appropriate language
- client's questions and queries are answered in clear and simple language
- client feedback is sought where appropriate
- background research is relevant and thorough and presented in an effective manner
- options suggested are within client's best interests and client's budgetary capacity
- meetings are conducted professionally and courteously
- legal procedures, legislative requirements and trust account processes are explained to client in simple language where appropriate
- offers of compromise are costed accurately and according to *a firm's policies and procedures*, legal requirements and client's requirements
- legal procedures are initiated within *agreed timelines*
- judge is informed of any bona fide out of court negotiations
- all activities, actions and outcomes are documented on file notes and time is recorded
- financial documentation is prepared on a regular basis and forwarded to client where appropriate
- file/matter number is attached to relevant documentation and such documentation is filed appropriately
- record of time is processed for client invoicing purposes
- all work is conducted within accepted codes of conduct including those relating to: maintaining confidentiality, use of company property, duty of care, ethical behaviours, privacy, non-discriminatory practice, conflict of interests and compliance with reasonable direction

Evidence Guide

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- appropriate legislation and regulations relevant to assisting clients, appearing in court and conducting negotiations
- workplace manuals and reference materials such as company policy, procedural manuals, checklists and legal dictionaries
- mock or real court room

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different clients and court appearances, and over a period of time to ensure that situational variables are consistently achieved.

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times).

Evidence gathering methods may include:

- workplace performance
- role-play
- simulation
- oral presentation
- third party reports

Evidence Guide

Underpinning knowledge and skills

Knowledge

- relevant legal process, court procedures and etiquette, appeals process
- security, confidentiality and privacy
- general knowledge of legal terminology and in-depth knowledge of legal terminology relevant to the area of law
- likely court rulings
- relevant current legislation and penalties for non-compliance with legislation
- accepting and costing offers of compromise
- *a firm's invoicing procedures*
- indemnity insurance
- common law and Statutory Duties of Care
- setting up a trust account
- transferring assets

Skills

- literacy: follows complex legal procedures; interprets court rulings
- research: prepares background evidence and brief
- communication: participates in sustained and complex oral transactions on legal matters; listens and questions to clarify uncertainties or ambiguous rulings; gives clear oral sequenced instructions to others; responds to client's queries
- numeracy: collates documents; accurately records documents
- keyboarding
- professional image and etiquette
- contingency planning and organisational skills
- liaison and negotiation skills with internal and external contacts

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	2	2	2	1	2	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

BSALLG503A Attend pre-trial negotiations

This Unit covers preparing for pre trial negotiations with opposing parties, organising a mutually convenient time when parties can meet and attending the negotiation to offer and/or receive offers of compromise according to instructions.

Note: It may be illegal for a person without a current legal practice certificate to provide legal advice, to sign off on legal work and to receive trust account monies. It may also be illegal for persons to misrepresent their qualifications (ie. claiming to be a lawyer or acting as a lawyer when they are not qualified to do so). Contravening these conditions is illegal and compromises a firm's professional indemnity insurance. Accordingly all litigious work must be supervised by a qualified legal practitioner. Whenever work is carried out on behalf of an instructing legal practitioner, the work must first be checked by the instructing legal practitioner. Whenever clients or parties are contacted on behalf of an instructing legal practitioner, own identity and position must be clearly stated and contact must proceed according to the instructing legal practitioner's advice.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Prepare for pre-trial negotiations	<ul style="list-style-type: none">• Meeting is arranged with instructing legal practitioner to discuss matter and to develop strategy for conducting pre-trial negotiations• Relevant background information is reviewed and analysed in conjunction with instructing legal practitioner• Instructions are provided to others to organise meeting with opposing party• Points of law are examined in conjunction with instructing legal practitioner with a view to pre-trial settlement or issuing of an offer of compromise and relevant documents are prepared where appropriate
Conduct pre-trial negotiations	<ul style="list-style-type: none">• Additional assistance from staff is organised for meeting where necessary• Offers of compromise are forwarded to opposing party and relevant authority as advised by instructing legal practitioner and in accordance with legal requirements• Opposing party's offers of compromise are received if presented• Meeting is recorded and transcript is checked for accuracy

Element of Competency	Performance Criteria
Inform client of pre-trial negotiation outcomes	<ul style="list-style-type: none">• Instructing legal practitioner is contacted and opposing party's offer of compromise is communicated for review• Opposing party's offer of compromise is interpreted in conjunction with instructing legal practitioner and recommendations are drafted• Client is contacted on behalf of instructing legal practitioner and opposing party's offer and draft recommendations are explained in simple language
Undertake follow up action	<ul style="list-style-type: none">• Client's and instructing legal practitioner's instructions are received, understood, documented and any follow up action is undertaken• Where offer of compromise has been rejected and both parties have completed interlocutory steps, Certificate of Readiness is prepared by all parties and filed at relevant court• Where offer of compromise is accepted, relevant documentation is completed and filed at relevant court

Range of Variables
<p>Client may be:</p> <ul style="list-style-type: none"> • Plaintiff/Claimant • Defendant
<p>Relevant background information may include:</p> <ul style="list-style-type: none"> • client's file • past cases • costs to date • strength of case
<p>Instructions may relate to:</p> <ul style="list-style-type: none"> • the file • background information relevant to the matter • the client • the opposing party • timelines • venue • contacting opposing party to arrange a meeting • confidentiality and security of information • altering appointments
<p>Relevant documents may include:</p> <ul style="list-style-type: none"> • own party's offer of compromise, without prejudice • formal offer of compromise
<p>Offers of compromise may be:</p> <ul style="list-style-type: none"> • formal offer of compromise, which must be filed at the appropriate court • own offer of compromise, usually without prejudice
<p>Offers of compromise may involve:</p> <ul style="list-style-type: none"> • resolution of costs • division of property • access rights • employment agreement • accident damages • reinstatement at place of work • custodial agreement • divorce agreement • hospital fees • public apology • admission of partial negligence

Range of Variables
<p>Relevant authority may include:</p> <ul style="list-style-type: none"> • court body • tribunal body • government body • independent body
<p>Client's and instructing legal practitioner's instructions may involve:</p> <ul style="list-style-type: none"> • rejecting the opposing party's offer of compromise • further negotiations • modifying or expanding a client's offer of compromise
<p>Follow up action may include:</p> <ul style="list-style-type: none"> • filing the relevant notice of discontinuance at court should offer of compromise be accepted
<p><i>A firm's policies and procedures may include:</i></p> <ul style="list-style-type: none"> • contacting and liaising with opposing party • arranging meetings • accepting/making offers of compromise • liaising with clients • privacy/security/confidentiality procedures • time recording procedures • interviewing • verifying and authorising information • recording information • protocol for accommodating special client needs, eg. case manager, social worker, parole officer, translator, interpreter • information sources • undertaking negotiations
<p>The area of law may include:*</p> <ul style="list-style-type: none"> • commercial law • corporate law • criminal law • family law • industrial relations/employment law • property law • tax law • litigation • wills and probate <p><i>* These are nine common areas of law; the area of law is not restricted to this list. Other areas of law may be applicable.</i></p>

Range of Variables**Requirements may relate to:**

- relevant State/Territory/Commonwealth legislation
- Governing legal practice Acts in each State/Territory
- the client and a firm (eg. Client Legal Privilege, Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice, common law and Statutory Duties of Care involving financial relationships)
- the area of law
- schedule of fees and duties payable
- tort, equity and Statute law
- relevant court rules
- completion and filing of court documents

Courts and tribunals may include:

- High Court
- Supreme Court
- Federal Court
- Magistrates Court
- District/County Court
- Family Court
- Children's Court
- Industrial Relations Court
- Courts of Petty Sessions
- Coroner's court
- State and Commonwealth Administrative Appeals Tribunals
- Equal Opportunity Tribunal
- Small Claims Tribunal

***NOTE:** Names and functions of some courts/tribunals are subject to change and differ between states.*

Evidence Guide

Critical aspects:

- a firm's policies and procedures *are understood and followed*
- unclear instructions or missing information is checked with instructing legal practitioner
- instructing legal practitioner's instructions are adhered to
- roles and responsibilities of person's involved in matter are understood and adhered to
- actions occur within *agreed timelines*
- file/matter notes and relevant documentation are reviewed and understanding of matter is demonstrated
- where instructing other, instructions are clear with adequate explanation to allow the task/s to be completed
- where instructing other, supervision is provided throughout the task in relation to:
 - providing advice and assistance with resolving problems
 - ensuring that work is completed within timelines
 - ensuring that recording of interview is accurate
 - checking that interview documents are formatted and filed correctly
 - ensuring that confidentiality and security of information is maintained
- documentation required at different stages of the legal process is identified
- the advantages and disadvantages of submitting and/or accepting a formal offer of compromise are understood and can be explained
- validity of offer of compromise in relation to dates of expiry are monitored
- offers of compromise are composed in consultation with client and instructing legal practitioner and meet specified requirements
- client and instructing legal practitioner's authorisation to proceed is sought
- any difficulties or irregularities are referred to the instructing legal practitioner for approval
- non-disclosable information is not communicated and where any doubt exists as to the information's status it is not disclosed
- meetings are conducted professionally and courteously
- instructing legal practitioner and client are kept up-to-date with all activities, actions and outcomes
- relevant authority is informed of all *bona-fide* attempts to settle the matter out of court
- evidence of an understanding of client's circumstances is demonstrated
- client's questions and queries are answered in clear and simple language
- all activities, actions and outcomes are documented on file notes and time is recorded
- file/matter number is attached to all relevant documentation and such documentation is filed appropriately
- record of times is processed for client invoicing purposes
- costings are accurate
- all work is conducted within accepted codes of conduct including those relating to: maintaining confidentiality, use of company property, duty of care, ethical behaviours, privacy, non-discriminatory practice, conflict of interests and compliance with reasonable direction

Evidence Guide**Resource implications:**

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- appropriate legislation and regulations relevant to assisting clients and conducting pre-trial negotiations
- workplace manuals and reference materials such as company policy, procedural manuals, checklists and legal dictionaries

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different clients and matters, and over a period of time to ensure that situational variables are consistently achieved.

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times)

Evidence gathering methods may include:

- workplace performance
- role-play
- simulation
- oral presentation
- projects/assignments
- third party reports

Evidence Guide**Underpinning knowledge and skills****Knowledge**

- authorised 'signing parties'
- relevant legal process and current legislation
- broad knowledge of general legal terminology and in-depth knowledge of terminology relating to litigation and the area of law
- preparing offers of compromise
- accepting offers of compromise
- costing offers of compromise
- indemnity insurance
- common law and Statutory Duties of Care

Skills

- literacy: reads and interprets intricate legal procedures and documents; uses legal vocabulary and grammatical structures to achieve precise meaning; prepares and interprets offers of compromise
- follows and provides clear written and oral sequenced instructions
- research: assembles and evaluates evidence and background information
- communication: participates in sustained and complex transactions to explore issues and problems solving; questions to clarify and elicit information; negotiates by establishing common understandings and bringing different points of view together; uses language to influence others
- numeracy: determines costs; keeps accurate recording of files and time
- professional presentation and etiquette
- liaison and negotiation skills

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
2	2	3	2	2	2	1

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

BSALPL501A Cost complex files

This Unit covers the preparation and despatch of invoices for files where there is no fixed quote.

Note: It may be illegal for a person without a current legal practice certificate to provide legal advice, to sign off on legal work and receive trust account monies. The use of trust account monies is subject to legislative control. Accordingly work carried out in regard to trust account monies occurs under the instruction of a legal practitioner and is of a complex but specified nature.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Prepare documentation	<ul style="list-style-type: none">• Type of invoice for preparation is determined• Meeting is arranged with instructing legal practitioner to discuss costing of the file• Relevant information sources are accessed• Relevant costs and disbursement information is integrated and checked• Incomplete costs and disbursement information is checked with instructing legal practitioner and relevant amendments are made• Costs and disbursements to be invoiced are assessed according to <i>a firm's policies and procedures</i> and legislative/regulatory requirements• Any discrepancies/irregularities between information sources and costs and disbursement data are checked and rectified• File is prepared for external cost consultant, where appropriate• Invoice is checked against file and legislative/regulatory requirements for accuracy and presented to instructing legal practitioner for approval within <i>agreed timelines</i>

Element of Competency	Performance Criteria
Legal invoice is despatched	<ul style="list-style-type: none">• Details of invoice are recorded on <i>accounting system</i> and/or the file within <i>agreed timelines</i>• File/matter number is attached to all relevant documentation and such documentation is filed appropriately• Invoice is approved in line with the <i>firm's policies and procedures</i>• Client's file is updated to reflect despatch of invoice• Invoice is despatched within <i>designated timelines</i> and according to <i>a firm's policies and procedures</i>

Range of Variables
<p>Types of costs/bill to be assessed may include:</p> <ul style="list-style-type: none"> • solicitor/client • party/party • solicitor/own client
<p>Relevant information sources may include:</p> <ul style="list-style-type: none"> • client files • data • internal staff • <i>accounting system</i> • time records • financial documentation
<p>Competency must be demonstrated in the preparation of at least two (2) of the following. Type of invoice may include:</p> <ul style="list-style-type: none"> • interim bill • bill in taxable form • bill based on scale
<p>Disbursement data may include*:</p> <ul style="list-style-type: none"> • filing fees • photocopying • postage • cost of duty stamps • court costs • search fees • certificate fees • telephone charges <p><i>*according to relevant state definitions</i></p>
<p><i>A firm's invoicing procedures may include:</i></p> <ul style="list-style-type: none"> • scale of costs • no fee no win • billable hours • fixed quote • tender rates • special rates • pro bono • legal aid requirements

Range of Variables
<p>Financial documentation for clients may include:</p> <ul style="list-style-type: none">• statement of accounts• calculation of fees• listing of disbursements• barrister's fees• any duties payable
<p><i>A firm's accounting system may include:</i></p> <ul style="list-style-type: none">• paper-based<ul style="list-style-type: none">- cash books- journals- ledgers- timesheets• electronic<ul style="list-style-type: none">- commercial software package- customised software package
<p>Requirements for despatch may include:</p> <ul style="list-style-type: none">• timelines• format (eg. hard copy or disk copy)• number of copies• accompanying documentation• place for delivery
<p>Method of despatch may include:</p> <ul style="list-style-type: none">• fax• post• AUSDOC• courier• hand delivery
<p><i>A firm's policies and procedures may include:</i></p> <ul style="list-style-type: none">• invoicing and despatching of invoices• costing disbursements• using external cost consultants• security/confidentiality/privacy procedures• time recording procedures• verifying and authorising information• recording information• liaising with financial institutions• <i>a firm's credit policy</i>• protocol for invoicing and collection enquiries• legal bookkeeping

Range of Variables
<p>The area of law may include*:</p> <ul style="list-style-type: none"> • commercial law • corporate law • criminal law • family law • industrial relations/employment laws • property law • tax law • litigation • wills and probate <p><i>* These are nine common areas of law. The area of law is not restricted to this list; other areas of law may be applicable.</i></p>
<p>Legislative requirements may relate to:</p> <ul style="list-style-type: none"> • <i>relevant State/Territory/Commonwealth legislation</i> • Governing Legal Practice Acts in each State/Territory • the client and a firm (eg. Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice, common law and Statutory Duties of Care involving financial relationships) • the area of law • schedules of fees and duties payable • establishing a trust account • taxation and banking requirements • tort, equity and statute law • Australian Taxation Office regulations • regulations and orders, eg. Solicitors Remuneration order
<p>Relevant State/Territory/Commonwealth legislation may include:</p> <ul style="list-style-type: none"> • costing legislation in each State/Territory, eg. Legal Practice Act (Vic) 1996 • regulations and orders in each State/Territory, eg. Solicitor's Remuneration Order
<p>Timelines for completion of documents may be affected by:</p> <ul style="list-style-type: none"> • client needs • availability of information resources • legal or procedural requirements • operator's workload

Evidence Guide

Critical aspects:

- the purpose and preparation of different types of invoices are understood and can be explained
- costs and disbursements are calculated and allocated correctly
- irregularities and/or uncertainties are noted and corrected, or referred to instructing legal practitioner for rectification if outside scope of own responsibility
- legislative requirements regarding account operations can be identified, explained and complied with
- company credit policy is understood and implemented
- principles of accounting are applied in all account operations
- client's file is updated correctly
- *agreed timelines* are met
- financial documentation is prepared on a regular basis and forwarded to clients where appropriate
- non-disclosable information is not communicated and where any doubt exists as to the information's status it is not disclosed
- activities, actions and outcomes are documented and time is recorded
- honesty and integrity are demonstrated in all financial dealings
- all work is conducted within accepted codes of conduct including those relating to: maintaining confidentiality, use of company property, duty of care, ethical behaviours, privacy, non-discriminatory practice, conflict of interests and compliance with reasonable direction

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- appropriate legislation and regulations relevant to assisting clients, maintaining trust accounts and using trust account monies
- workplace manuals and reference materials such as company policy, procedural manuals and checklists
- appropriate technology such as computers with relevant software

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different invoicing requirements, and over a period of time to ensure that situational variables are consistently achieved.

Evidence Guide

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- flexible delivery methods used by training providers to cater for distance education students
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times).

Evidence gathering methods may include:

- demonstration
- questioning
- workplace performance
- role-play
- simulation
- projects/assignments
- written tests
- skills portfolio
- third party reports

Underpinning knowledge and skills

Knowledge

- *a firm's invoicing policies and procedures*
- relevant legal process, the costing steps in the legal process and relevant current legislation
- privacy/security/confidentiality procedures
- legal terminology in general, trust account terminology in particular and terminology relevant to the matter and area of law
- application of *a firm's policies and procedures* required in the full range of tasks covered
- *a firm's accounting system*
- accounting principles and terminology
- *a firm's administrative systems*, eg. Accessing pro formas, invoices, bills; despatching of documents

Skills

- literacy: follows complex legal procedures; reads and interprets legal documents and financial documents; follows and writes detailed instructions organised sequentially;
- communication: participates in sustained and complex oral transactions; answers questions and provides information
- numeracy: application of mathematical and accounting principles; accurate financial costings and timely record keeping; adheres to designated timelines
- proofreading: checks invoice against financial procedures and regulatory requirements

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
2	2	2	1	2	2	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

This Unit covers maintaining *a firm's mortgage register* and managing the financial side of an in-house mortgage practice to ensure adequate funds. It also covers liaising with mortgagors to prepare mortgage documents, satisfying a state's legislative requirements in relation to mortgages, preparing and attending a settlement meeting and executing a mortgage discharge.

Note: It may be illegal for a person without a current legal practice certificate to provide legal advice, to sign off on legal work and to receive trust account monies. It may also be illegal for persons to misrepresent their qualifications (ie. claiming to be a lawyer or acting as a lawyer when they are not qualified to do so). Contravening these conditions is illegal and compromises a firm's professional indemnity insurance. Accordingly all activities in this Unit must be carried out under the instruction of a qualified legal practitioner and the instructing legal practitioner must be responsible for the acceptance of trust account money. Moreover state legislation in regards to in-house mortgage practices varies greatly across the country, respective state legislation will determine the applicability of this Unit.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Manage finances for mortgage	<ul style="list-style-type: none"> • Trust accounts are checked to ensure sufficient monies for in-house mortgage practice • Instructing legal practitioner is assisted to seek permission from trust account investors for monies to be used for in-house mortgage practice • Professional indemnity insurance to cover defaulting debtors is maintained • Interest is paid into trust account investor's bank accounts and <i>a firm's policies and procedures</i>
Maintain and update mortgage register	<ul style="list-style-type: none"> • Investor requests to withdraw funds and options for replacing such funds are referred to a qualified legal practitioner for approval and recommended action is undertaken • Information is recorded on the mortgage register in line with legislative requirements • Mortgage is registered according to <i>a firm's policies and procedures and legislative requirements</i>

Element of Competency	Performance Criteria
Meet with mortgagor	<ul style="list-style-type: none"> • Meeting is arranged with instructing legal practitioner to discuss details of mortgage and liaison with mortgagor • Self or other is organised to arrange liaison • Terms and agreements of mortgage are discussed and legal and financial obligations are explained to client in clear and simple language • Relevant documentation is obtained from mortgagor • Record of meeting is presented to instructing legal practitioner for discussion and review.
Prepare mortgage documents	<ul style="list-style-type: none"> • Precedent documents are used to prepare routine mortgage documents outlining terms and conditions of mortgage according to relevant state legislation and a qualified legal practitioner's instructions • If the mortgagor is buying the property mortgage documents are checked to ensure that mortgagor's details on mortgage document are identical to transferees details on Transferees on the Transfer document • If the mortgage is on a property already owned, mortgage documents are checked to ensure that details on mortgage document are identical to proprietor's details on Land Title document • Annexure sheet detailing amount of money to be loaned, interest rate and other payment arrangements according to a qualified legal practitioner's instructions • Mortgage documents are prepared and layout of documents is checked to ensure that documents comply with relevant state Land Title Office requirements • Documents are presented to a qualified legal practitioner for checking and sign off • List of requisition documents are forwarded to mortgagor

Element of Competency	Performance Criteria
Prepare mortgage documents cont'd	<ul style="list-style-type: none"> • Requisitions documents are received and presented to a instructing legal practitioner to ensure that all mortgage requirements are satisfied • Instructions are provided to fulfill stamp duty requirements on mortgage documents
Arrange settlement	<ul style="list-style-type: none"> • Mortgage advance is prepared for settlement meeting • Self or other is organised to arrange settlement meeting with mortgagor and instructing legal practitioner • Signatures are obtained, witnessed and dated on appropriate forms in appropriate places from mortgagor, witness, and instructing legal practitioner • Self or other is to organise and forward mortgage advance to mortgagor • Instructions are provided to lodge mortgage document at Land Titles Office
Facilitate discharge of mortgage	<ul style="list-style-type: none"> • Meeting is arranged with instructing legal practitioner to review discharge and to prepare and sign relevant documents terminating mortgage • Self or other is organised to forward relevant documents to mortgagor when loan has been repaid

Range of Variables
<p><i>Type of property/mortgage may include:</i></p> <ul style="list-style-type: none"> • strata title • single/joint • first/second mortgage • with/without encumbrances
<p>Terms and agreements may include:</p> <ul style="list-style-type: none"> • amount of money • interest rates • payment periods • whole or part of the land to be mortgaged • first home buyer • term of mortgage
<p>External authorities may include:</p> <ul style="list-style-type: none"> • Land Titles Office • Office of State Revenue • State Law Society or Institute
<p>Instructions for lodging mortgage documents at Land Titles Office include:</p> <ul style="list-style-type: none"> • Location of Land Titles Office • Forwarding copy of document to mortgagor • Appropriate number of copies of mortgage documents are lodged at state's Land Titles Office and forwarded to mortgagor* • Obtaining appropriate verification of registration/lodgment <p><i>*According to state requirements</i></p>
<p>Specific requirements of documentation may include:</p> <ul style="list-style-type: none"> • insertion of Land Titles Office delivery box number • name of registering/lodging party • cross referencing with the title transfer documentation • annexure sheet • witnessing signatures
<p>Appropriate documentation may include:</p> <ul style="list-style-type: none"> • Registrar General's Mortgage form • Real Property Act Mortgage • Memorandum • proof of adequate insurance

Range of Variables
<p>Stamp duty requirements include</p> <ul style="list-style-type: none"> • Correct stamp duty is calculated if necessary and checked • Original and copy of documents are presented to relevant authority for stamp • calculating correct stamp duty • presenting original and copy of documents to relevant authority for stamping
<p>Calculation of stamp duty may include:</p> <ul style="list-style-type: none"> • costs services publications
<p><i>A firm's policies and procedures may include:</i></p> <ul style="list-style-type: none"> • updating mortgage register • using trust fund monies • accessing monies • gaining authorisation • transferring monies • credit arrangements • recording mechanisms • security/confidentiality/ privacy procedures
<p>The area of law may include:</p> <ul style="list-style-type: none"> • property law
<p>Relevant legislation may include:</p> <ul style="list-style-type: none"> • Strata Titles Act • Local Government Act • Income Tax Assessment Act • Bankruptcy Act • Capital Gains Tax Act • Trade Practices Act
<p>Details of mortgage and liaison may include:</p> <ul style="list-style-type: none"> • Terms and agreements of mortgage are discussed and legal and financial obligations are explained to client in clear and simple language
<p>Legislative requirements may relate to:</p> <ul style="list-style-type: none"> • relevant State/Territory/Commonwealth legislation • the client and a firm (eg. Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice) • the area of law • schedules of fees and duties payable

Range of Variables**Requirements for delivery may include**

- timelines
- format (eg. hard copy or disk copy)
- number of copies
- accompanying documentation
- place for delivery

Method of despatch may include:

- fax
- email
- post
- AUSDOC
- courier

Evidence Guide

Critical aspects:

- scope of own responsibility and that of others is understood and can be explained
- types of irregularities which occur in mortgages can be identified and explained and resolutions nominated
- a firm's procedure for documenting trust account investor's permission to use monies for in-house mortgage practice can be explained and performed
- all activities, actions and outcomes are documented and time is recorded
- information is self-checked for accuracy and completeness
- file/matter number is attached to relevant documents and such documents are filed appropriately
- correct enclosures are attached
- any contingencies are managed and appropriate resolutions sought within scope of own responsibility and problems outside own scope of responsibility are referred to instructing legal practitioner promptly
- all legislative requirements are met
- monies are prepared correctly and appropriate authorisation obtained
- accurate record of all activities is maintained
- mortgage register is updated correctly
- correct usage of different types of documents is demonstrated
- the purpose of different types of documents is understood
- documentation required at different stages of the legal process is identified
- the instructing legal practitioner is kept up to date
- client is kept up to date and explanations and questions are delivered using clear, simple language
- documentation is presented to instructing legal practitioner for approval, *within agreed timelines*
- where instructing other, instructions are clear with adequate explanation to allow the task/s to be completed
- where instructing other, supervision is provided throughout the task/s in relation to:
 - providing advice and assistance with resolving problems
 - ensuring that work is completed within timelines
 - ensuring that confidentiality and security of information is maintained
 - ensuring that work of others meets required standards
- all work is conducted within accepted codes of conduct including those relating to: maintaining confidentiality, use of company property, duty of care, ethical behaviours, privacy, non-discriminatory practice, conflict of interests and compliance with reasonable direction

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- appropriate legislation and regulations relevant to assisting clients, conducting an in-house mortgage practice and using trust fund monies
- workplace manuals and reference materials such as company policy, procedural manuals and checklists
- appropriate technology such as computers with relevant software

Evidence Guide**Consistency in performance:**

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different clients and mortgage terms and agreements, and over a period of time to ensure that situational variables are consistently achieved.

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times).

Evidence gathering methods may include:

- demonstration
- questioning
- workplace performance
- role-play
- simulation
- oral presentation
- projects/assignments
- written tests
- skills portfolio
- third party reports

Evidence Guide**Underpinning knowledge and skills****Knowledge**

- mortgage files
- stages of mortgage process
- registration/lodgement process
- authorised 'signing parties'
- appropriate recording mechanisms
- accessing/preparing mortgage monies
- relevant legal process
- ability to access the precedent bank
- security
- confidentiality
- legal terminology
- relevant current legislation
- application of *a firm's policies and procedures* required in the full range of tasks covered
- *a firm's invoicing procedures*

Skills

- literacy: follows intricate legal procedures; interprets legal documents; uses legal vocabulary and grammatical structures to achieve precise meaning
- research and analysis: researches a complex legal procedural text; assembles and critically examines evidence
- provides clear written and oral sequenced instructions to instructing parties
- communication: participates in sustained and complex transactions; questions to elicit and clarify information; liaises with internal and external contacts
- numeracy: prepares monies; updates register and records; monitors mortgages and trust account monies
- proofreading: checks documents to ensure compliance with regulations
- contingency planning

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
2	2	3	2	2	2	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

This Unit describes how to successfully negotiate with others to reach a position which furthers the transaction.

Element of Competency	Performance Criteria
Establish need of other parties, self and client	<ul style="list-style-type: none"> • Desired outcomes for each party are established • Criteria for successful outcomes are agreed to by all parties • The issue(s) is identified and agreed upon by all parties • Confidence and trust in client relationships are engendered • Information, facts and issues relevant to the situation are established and expert advice sought prior to negotiations • Strategies for achieving outcomes are established and analysed
Negotiate to achieve an agreed outcome	<ul style="list-style-type: none"> • Communication demonstrates respect, integrity and empathy for all parties • A strategy for resolution is selected and agreed to by all parties • Strategies comply with contractual requirements (where appropriate) • Possible options for contingencies are evaluated • Agreement by all parties is confirmed and recorded appropriately • Outcomes are in line with business goals and targets • Outcomes comply with contractual requirements where appropriate

Range of Variables

Negotiation may deal with contentions, issues of problems in the course of a transaction prior to settlement and will need to suggest both practical and legal options for resolution. In the Northern Territory, negotiations may also take place prior to a contract being drawn up. In this case, negotiations must comply with contractual requirements, both in relation to getting to a contractual position and drawing up the contract.

Evidence Guide

Context:

Competency shall be assessed in the normal or simulated work environment within the bounds of safety and in accordance with work procedures.

Assessment should include those aspects of the key competencies that are consistent with the work environment of this Unit.

Critical aspects:

The following critical aspects of performance should be observed:

- treats people openly, honestly and fairly
- communicates clearly and concisely
- manages relationships effectively to achieve goals/results
- deals with conflict constructively and before it affects outcomes
- uses effective consultative processes
- proposes strategies for resolution which comply with legislative/practice requirements
- researches, acquires and uses information to achieve positive outcomes
- acts within legislative constraints at all times
- determines a range of contingencies

Underpinning knowledge and skills

Knowledge

A knowledge of:

- negotiating processes and strategies
- barriers to negotiating
- dispute resolution
- options within/external to enterprise for negotiation outcomes
- processes and requirements regarding contracts

Skills

The ability to:

- demonstrate an open, receptive attitude to client's approach and needs
- communicate in a range of business environments with diverse people
- clarify information given/received
- research and analyse current and relevant issues
- explain complex/legal issues in simple terms
- identify relevant bargaining information
- apply steps in the negotiating process
- apply a range of negotiating strategies

This Unit describes how to ensure the transfer of title takes place and that all matters relating to the transaction with the client are completed.

Element of Competency	Performance Criteria
Arrange and attend settlement (if required)	<ul style="list-style-type: none"> • Transaction requirements are fulfilled accurately and completely • Documents are stamped correctly in accordance with requirements • Information relevant to preparation of settlement statements is identified and collated • Funds pertaining to the completion of the transaction are identified and relevant parties advised • Funds requirement for the completion of the transaction are received within the required timeframe
Determine contingency strategies for settlements where contract obligations remain unfulfilled	<ul style="list-style-type: none"> • Unfulfilled contractual obligations are identified • Possible contingencies are assessed • Client is advised of range of contingencies and options • Strategies are determined in consultation with client
Complete transaction	<ul style="list-style-type: none"> • Settlement arrangements are confirmed with all relevant parties • Conditions for the finalisation of the transaction, including compliance with special conditions, are met • Settlement documents are examined for accuracy and completion • Perform final searches and inspections as required • Transaction is completed with all relevant parties • Stamped documents are lodged for registration

Element of Competency	Performance Criteria
Implement post-transaction procedures	<ul style="list-style-type: none">• All relevant parties including rating/other authorities are advised of transaction completion• Outstanding payments are made• Outstanding matters are monitored and concluded in a timely fashion• Financial/business records (including file) are updated according to enterprise procedures• Registration change on title is confirmed• Return client's and third party's documents• Receive and disburse funds within appropriate authority• Bill client where appropriate

Range of Variables

Transactions to be finalised include, but are not limited to, the application of laws concerning the following:

- associations
- banking
- bankruptcy
- bills of sale
- building regulations and house contracts
- commercial tenancies
- contract
- dealing with interests in land
- deceased estates
- easements and restrictive covenants
- fences
- food and health
- foreign investment
- guarantee provisions
- guardianship
- heritage
- land acquisition
- land division
- landlords and tenants
- licensing of conveyancers
- limitation of actions
- local government
- local, state and federal government taxes
- minors
- mortgage financing
- old system land
- planning
- powers of attorney
- privacy
- property inspections and searching
- rates and taxes
- real estate taxes
- real estate agents
- registration of dealings with land
- roads
- sale of goods
- stamp duty
- strata titles and bodies corporate
- trusts
- workers liens

Third parties include, but are not limited to:

- accountants
- banks
- beneficiaries
- body corporate managers/secretaries
- engineers
- financiers
- government departments
- land agents and their staff
- law stationers
- lodging agents
- other conveyancers and their staff
- other parties to the transaction
- rating authorities
- settlement agents
- solicitors and their staff
- surveyors
- tenants
- termite inspectors
- valuers

Range of Variables
Information requirements include, but are not limited to: <ul style="list-style-type: none">• stamping and registration• searching
Funds, fees, deductions and disbursements include, but are not limited to: <ul style="list-style-type: none">• real estate agent's commission• rates and taxes• conveyancer's own fees• client's fees• F.I.D.• B.A.D.• payments to third parties by client
<p>Factors impacting on the finalisation of a transaction include the practice culture and the honesty and integrity of all parties concerned. Considerable judgement is required to evaluate these factors and make decisions for which the conveyancer is totally accountable and responsible for at law.</p>
<p>Application of this unit of competency will vary depending on the methods of work relating to finalising transactions used in the enterprise environment. The work methods will vary with the technology available.</p>

Evidence Guide

Context:

Competency shall be assessed in the normal or simulated work environment within the bounds of safety and in accordance with work procedures.

Assessment should include those aspects of the key competencies that are consistent with the work environment of this Unit.

Critical aspects:

The following critical aspects of performance should be observed:

- checks that all documentation is accurate
- completes tasks
- meets timelines of document preparation, including those being prepared by other parties
- reconciliation takes place prior to Settlement
- devises and implements contingencies for incomplete documents where necessary
- implements government procedures
- prepares contingency plans in the event of a party being unable to fulfil contractual obligations

Underpinning knowledge and skills

Knowledge

A knowledge of:

- relevant legislation and common law
- relevant regulations
- practice procedures
- process monitoring
- quality assurance
- file reconciliation procedures
- associated financial procedures

Skills

The ability to:

- communicate in a range of business environments with diverse people
- plan contingency measures
- negotiate with a range of people in diverse situations
- manage time efficiently
- solve problems
- research and analyse current and relevant issues
- manage accounting and finances
- operate appropriate technology
- advocate on a range of issues
- obtain ongoing instructions

Supporting the community to represent their own needs through social and public action.

Elements of Competency	Performance Criteria
Respond to community needs	<ul style="list-style-type: none"> • Appropriate opportunities are planned and implemented so that people in the community can promote their issues • A range of forms of consultation and research methods are identified and clarified • Strategies for meeting community needs are identified, developed and agreed with key people
Support identified community needs	<ul style="list-style-type: none"> • A range of mechanisms and actions to address community needs are assessed for relevance and appropriateness to meet community needs • Resources required are calculated and assessed for availability and appropriateness and where possible, provided • Appropriate work is undertaken to ensure that resourcing to meet community needs is provided and made available
Evaluate effectiveness of community action	<ul style="list-style-type: none"> • The effectiveness of activities is evaluated using accepted strategies and mechanisms • Progress of strategies are reviewed with key people and required changes are negotiated and implemented • Outcomes of evaluations are documented and reported to key people

Range of Variables**Actions for the support of community needs may include:**

- strategies to change, promote or protect existing social structures, services, resources
- initiatives by the community and undertaken by the community and/or agencies
- initiatives undertaken by the organisation and supported by the community and/or agencies
- routinely planned and specific/occasional actions
- general and specially targeted
- social action
- promotion

Mechanisms may include:

- structures
- processes/protocol
- consultation, participation , accountability
- review, evaluation
- existing and specially created
- community development strategies

Resources may include:

- those of the organisation
- those acquired from other agencies
- system support/administration/policy
- material/financial/facilities/equipment
- developmental/information/training
- information technology

Evidence Guide
<p>Critical aspects:</p> <ul style="list-style-type: none"> • supporting communities to identify their rights and represent their own needs through social and public action • motivating individuals and groups to work co-operatively
<p>Underpinning knowledge and skills</p> <p>Knowledge</p> <ul style="list-style-type: none"> • social structures and systems in the community • complex cultural awareness • components of strategic planning • decision-making systems and leadership • organisation's guidelines • community development principles relevant to social action and public processes • current social policy and its implementation programs <p>Skills</p> <ul style="list-style-type: none"> • evaluation methods • research methods • marketing and promotion • negotiation
<p>Resource implications: Access to a workplace or community or an appropriately simulated environment.</p>
<p>Consistency in performance: Consistency in performance should consider specific needs of the community and how community action can support these needs.</p>
<p>Context of assessment This unit can be assessed in the workplace, in the community or in relevant simulations.</p>

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	3	3	3	2	3	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

Working with individuals or groups in specific communities.

Elements of Competency	Performance Criteria
Define the issues of specific communities or groups	<ul style="list-style-type: none"> • The details of individual and group issues of the specific community are identified through appropriate research and consultation • The values and structures of the community as they impact on individuals and groups are identified • Preferred means of dealing with individuals and groups from specific communities are identified by appropriate research and consultation
Undertake relevant work in the context of specific communities or groups	<ul style="list-style-type: none"> • The values, issues and structures within specific communities are used to define the ways of working • Relevant community structures are identified and utilised to maximise outcomes for individuals and groups • Work within communities is consistent with defined job role and organisational policies and procedures • Interpersonal skills are utilised which are consistent with community practices and standards
Evaluate work undertaken within specific communities	<ul style="list-style-type: none"> • Appropriate evaluation of work is undertaken in consultation with relevant community stakeholders • Work within communities is monitored to ensure reflection of relevant values and structures • Evaluation ensures responsiveness to community needs and issues

Range of Variables
<p>Issues within specific communities may relate to:</p> <ul style="list-style-type: none"> • cultural and linguistic diversity • risk of self harm • mental health • gender • sexuality • age • general health • alcohol and other drugs abuse • disability • location eg. urban, rural and remote • income • family systems • religion
<p>Work may relate to:</p> <ul style="list-style-type: none"> • specific groups, issues or communities eg. health issues of young people from particular cultural backgrounds and/or geographic areas • research activities • policy development • advocacy • referrals • project development and implementation • project design and implementation
<p>Context of work may include:</p> <ul style="list-style-type: none"> • social, political and economic issues impacting upon specific communities and groups • models of community development • organisational policies and procedures • legislative and statutory frameworks
<p>Values and structures may include:</p> <ul style="list-style-type: none"> • cultural preference and mores of specific groups eg.: <ul style="list-style-type: none"> - religious/spiritual observances - language - family relationships - status/protocol - ceremonies/celebrations - prohibitions/taboo

Evidence Guide
<p>Critical aspects: The candidate must demonstrate the capacity to work effectively with a specific group, validated by community acceptance and the impact of work undertaken.</p>
<p>Underpinning knowledge and skills</p> <p>Knowledge</p> <ul style="list-style-type: none"> • composition of specific community and group structures, practices and values • specific communication protocols and practices • social, political, cultural, historical issues that affect or are relevant to specific communities and groups • organisational procedures for working with specific communities • relevant networks, people, stakeholders <p>Skills</p> <ul style="list-style-type: none"> • consultation • facilitation • research • high level interpersonal
<p>Resource Implications: Access to a workplace or to an environment that accurately simulates the workplace.</p>
<p>Consistency in performance: The candidate must be able to demonstrate competence in working with at least one group or community over a number of assessment situations and through a number of assessment tools including observation, reports from supervisors or other key people and confirmation from key community leaders.</p>
<p>Context of assessment This unit may be assessed on the job using appropriate relevant materials and examples or through simulation</p>

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	3	3	3	2	3	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

Representing the interests of the community and/or the community services industry. Representation will include the development of community representative and industry participative roles and positions in decision making forums.

Elements of Competency	Performance Criteria
Establish the representative role and process	<ul style="list-style-type: none"> • Role, processes and conditions of representation are identified in consultation with individuals and key groups • The support of key people is sought • Requirements for reporting are determined and implemented
Participate in decision making forums	<ul style="list-style-type: none"> • Relevant interests and concerns to be pursued are identified in accordance with organisational priorities • Work is undertaken to provide a framework for pursuing promotion of relevant interests • Opportunities to reflect, promote and represent relevant interests are created and responded to routinely within work role • The potential impact of the development and decisions is calculated and assessed in terms of objectives and priorities • Progress and other reports and feedback are provided according to key people according to organisation requirements

Elements of Competency	Performance Criteria
Negotiate outcomes and liaise with key people	<ul style="list-style-type: none">• Appropriate strategic alliances are identified and developed• Collaborative planning and action is promoted and supported• Potential areas of conflict are identified and strategies implemented to address them• Purpose and objectives are clearly determined and promoted• Appropriate work is undertaken with organising committees and board of management to maximise effectiveness
Evaluate effectiveness of strategies	<ul style="list-style-type: none">• Actual work outcomes are analysed and reported against agreed objectives• Adjustments to strategy are implemented according to the evaluation

Range of Variables**Representative roles may include:**

- advancing the interests of the community through decision making forums
- action taken to influence decision making processes
- developing and promoting the interests of the community services industry in a wide range of public forums where industry may include:
 - organisations
 - programs
 - services
 - agencies
 - industrial representatives
 - consumers
 - researchers
 - training/education

Conditions of representation may include:

- authorisation, accountability and protocol
- consultation and delegations
- resources
- terms of reference
- scope, scale and parameters
- role of key people
- existing community structures, systems, networks, processes
- development of an industry position
- requirements of industry mechanisms including:
 - formal and informal networks
 - advisory/steering/reference committees
 - publications
 - conferences/seminars
 - training
 - education
 - formal representative positions

Support may be sought for:

- development of consultation and accountability structures
- development of industry positions

Range of Variables
<p>Key people may include:</p> <ul style="list-style-type: none">• experts• policy/decision makers• resource managers• media• researchers• trainers• teachers• community leaders
<p>Developments may include:</p> <ul style="list-style-type: none">• social/political/economic/industrial changes• within and outside the organisation structures• government policy• ideology• education• research findings• community change
<p>Opportunities may include:</p> <ul style="list-style-type: none">• events• publicity• committee membership• public presentations• media• policy development• special meetings/delegations

Evidence Guide

Critical aspects:

- effective representation of individual and group concerns and interests within the organisation, the community and the community services industry
- participation in a range of decision making forums

Underpinning knowledge and skills
Knowledge

- social/economic/industrial policy and related theory
- industry and government processes
- community consultation and decision making processes
- power structures and relationships in the community
- community development models
- nature and structure of the community services industry
- social/economic/industrial legislation
- processes and structures relevant to organisational goals and objectives or work role
- industry culture
- models of negotiation
- research methods
- models of management/leadership
- complex cultural awareness
- depending on the work role or services provided, specific knowledge of particular groups or issues may be required, including (see additional information on page 23-24 of the Community Services and Health Training Package CHC99 – Community Work):
 - alcohol and other drugs
 - cultural and linguistic diversity
 - risk of self harm
 - women
 - men
 - Aboriginal and Torres Strait Islanders
 - mental health

Skills

- research
- negotiation
- presentation
- complex communication
- strategic planning and outcomes measurement
- consultation
- leadership/management

Evidence Guide**Resource implications:**

Access to an appropriate workplace or community or to an environment where an accurate simulation can be undertaken for assessment purposes.

Consistency in performance:

Consistency in performance should consider the range of situations under which workers will provide advocacy and representation.

Context of assessment:

This unit can be assessed in the workplace, in the community or in relevant simulation.

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	3	3	3	2	3	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

This Unit covers selecting and developing an appropriate filing system for the enterprise. It covers implementing the system, ensuring it is adequate and is being used correctly by staff, and providing the necessary training.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Determine the needs of the enterprise	<ul style="list-style-type: none"> • The requirements of the enterprise are identified • Options for development of a system are identified to meet the requirements of the enterprise • Requirements of the system are identified and agreed upon by users
Select appropriate system	<ul style="list-style-type: none"> • Suppliers of systems are sourced in line with the identified requirements • Quotations for supply and delivery of nominated system are obtained using the <i>designated quotation criteria</i> • Selection of most appropriate supplier is determined using <i>designated guidelines</i>
Implement new/improved system	<ul style="list-style-type: none"> • New/improved system is implemented and monitored to ensure operation is in line with identified requirements • Transfer of documents and records is monitored to maintain the integrity of the system • Users of new/improved system are monitored to ensure the system is being accessed in the designated manner
Identify and organise staff training in accessing and using records system	<ul style="list-style-type: none"> • Staff training needs are determined • Training is provided for staff new to records system • Retraining is organised for those employees who do not access the system in the designated manner

Range of Variables
<p>Enterprise requirements may include:</p> <ul style="list-style-type: none">• size and complexity• storage facilities• records management software• cost• staff training• OHS requirements• security and confidentiality
<p>Options for development of a system may include:</p> <ul style="list-style-type: none">• selection of system• selection of supplier• installation requirements• transfer of records from old to new system• time frame for implementation
<p>Requirements of the system may include:</p> <ul style="list-style-type: none">• document flow• encoding and indexing systems• access/security procedures• privacy• life-cycle of records• retention/deletion/shredding/archiving• stocktaking/auditing• impact of technological change• staff responsibilities• cost of maintenance
<p>System users may include:</p> <ul style="list-style-type: none">• administration personnel• management• other colleagues
<p>Sourcing suppliers of systems may include:</p> <ul style="list-style-type: none">• specifying system requirements• obtaining quotes• using usual enterprise supplier

Range of Variables
<p><i>Designated quotation criteria may include:</i></p> <ul style="list-style-type: none"> • enterprise details, eg. address • quotation number • all requirements specified • required delivery date • signed and dated by authorised person
<p><i>Designated guidelines for selection may include:</i></p> <ul style="list-style-type: none"> • <i>enterprise procedures and policies</i> • consultation with user group
<p>Implementing and monitoring new system may include:</p> <ul style="list-style-type: none"> • implementation plan • coding and indexing • transferring documents/records • running concurrent systems while change over is implemented • implementing a shut down while change over is implemented • dissemination of information to all affected personnel, internal/external • training of affected personnel
<p>Integrity of system may include:</p> <ul style="list-style-type: none"> • security needs • confidentiality • access • up to date • training
<p>Monitoring system users may include:</p> <ul style="list-style-type: none"> • observing • surveys/questionnaires • feedback
<p>Accessed in the designated manner may include:</p> <ul style="list-style-type: none"> • security procedures • OHS policies and procedures • correct use of index/codes
<p>Determining training needs may include:</p> <ul style="list-style-type: none"> • establishing user roles/responsibilities • staff surveys

Range of Variables
<p>Staff training may include:</p> <ul style="list-style-type: none">• workshop• demonstration• one-on-one• notes/manual• user guides

Evidence Guide

Critical aspects:

- the requirements of the enterprise record system are identified and understood
- options for development of a new system are identified and reflect the requirements of the enterprise
- requirements of the record management system are identified and discussed with other users
- new records management system is agreed upon by all users and is in accordance with *enterprise policies and procedures*
- the new system is sourced in accordance with enterprise guidelines
- designated quotation criteria is used to supply quotations for supply and delivery of new system
- most appropriate supplier is selected according to enterprise guidelines
- new/improved system is implemented with minimal disruption to personnel
- new/improved system is monitored to ensure operation is in line with enterprise requirements
- transfer of documents is monitored
- integrity of system is maintained at all times
- users of system are briefed about establishment of new/improved system
- users of new/improved system are monitored to ensure system is being accessed in the designated manner
- staff training needs are identified and staff training is provided where necessary
- staff training is appropriate to new records system
- staff who do not access the system in the appropriate manner are identified and retraining is organised

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- filing system
- relevant workplace reference materials including enterprise procedural manual and company policy

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different office requirements, and over a period of time to ensure that situational variables are consistently achieved.

Evidence Guide

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- flexible delivery methods used by training providers to cater for distance education students
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times).

Evidence gathering methods may include:

- demonstration
- questioning
- workplace performance
- role-play
- projects/assignments
- written tests (verbal usage and verbal comprehension)
- portfolio of work documents
- third party reports

Underpinning knowledge and skills

Knowledge

- *enterprise policies and procedures* across the range of tasks required
- requirements of the enterprise records management system
- staff training
- effective records management systems
- change management processes

Skills

- literacy: follows and interprets *enterprise policies and procedures*; reads and critically evaluates records; has developed written skills across a number of genres; writes organisational procedures for maintaining records; writes training procedures for staff in utilising records system
- displays depth of understanding of complex oral and written texts which may include multiple meanings
- research: selects categories by which to organise information; processes information in a systematic way
- problem solving: uses processes flexibly and interchangeably; selects most appropriate and efficient system and method of implementation from a possible range
- numeracy skills: interprets, selects and investigates appropriate mathematical information and relationships highly embedded in an activity; selects the appropriate quote
- technology: uses appropriate technological materials in order to establish and maintain filing system
- communication; briefs and informs staff of procedures; responds constructively to a team; encourages and incorporates feedback

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
2	2	2	2	2	2	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

This Unit covers ordering new publications as required, maintaining the existing library/resource collection, circulating publications as required, keeping a record of circulation and then storing publications so that they are accessible.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Update incoming publications	<ul style="list-style-type: none"> • New issues of currently held publications are added to library/resource collection • Out-of-date material is removed and stored to ensure allocated space is used efficiently • Superseded publications are replaced with current editions to ensure the latest information is available • New publications with relevance to the enterprise are sourced and appraised for inclusion in the library/resource collection • New publications are ordered as required within given budget
Circulate publications	<ul style="list-style-type: none"> • Publications for circulation are recorded in the register to maintain accurate records for stocktaking purposes • Publications are circulated to <i>nominated persons/departments</i> within <i>designated timelines</i>
Store publications	<ul style="list-style-type: none"> • Publications are indexed and filed using <i>designated system</i> • Publications are coded and stored to provide access in accordance with <i>designated classification system</i>

Range of Variables
<p>Currently held publications may include:</p> <ul style="list-style-type: none"> • magazines • newsletters • brochures • books • booklets • periodicals • journals • research reports
<p>Library/resource collection may include:</p> <ul style="list-style-type: none"> • enterprise-wide library • departmental resource collection • subject specific (eg. tax related, legislative, project-based) • formal loaning system • confidential/reserve collection • photographic collection • old/rare/original records
<p>Removal of out-of-date material and superseded editions may include:</p> <ul style="list-style-type: none"> • periodic culling of publications (eg. monthly, yearly) • on a case by case basis (eg. removing older material as newer material arrives) • replacing previous editions with newer ones • replacing parts of publications with updated information (eg. taxation rulings) • updating library catalogue/electronic recording system
<p>Storage of out-of-date material may include:</p> <ul style="list-style-type: none"> • moving items to secondary storage • relocating publications in smaller/more specialised library/resource collection • archiving publications that may be required at a later date • destroying publications no longer needed • recycling
<p>Sourcing new publications may include:</p> <ul style="list-style-type: none"> • databases • Internet • daily newspapers • journal articles • research papers • academic/general/specialist bookshops • professional associations • conference papers

Range of Variables
<p>Appraising publications for relevance may include:</p> <ul style="list-style-type: none"> • synopsis • written reviews • internal/external expert advice • communication with publisher/bookshop • other publications by same author • positive references to publication in other relevant publications
<p>Ordering new publications may include:</p> <ul style="list-style-type: none"> • purchase order/cash payment/credit card payment • ordering from publisher • Internet order • buying a subscription • joining a mailing list • inter-library loan • multiple copies
<p>Keeping within budget may include:</p> <ul style="list-style-type: none"> • prioritising purchases • limiting length of subscription • ordering in economic quantities • sharing costs with other relevant cost centres • delivery options
<p>Publications for circulation may include:</p> <ul style="list-style-type: none"> • regular journals of general relevance • newspaper articles • enterprise specific information • industry statistics • competitor publications
<p>Circulation register may include:</p> <ul style="list-style-type: none"> • paper-based/electronic recording system • name of publication • type of publication • date received • date circulated • return due date • department/individuals publication is to be circulated amongst • individual responsible for return of item

Range of Variables
<p>Maintaining accuracy of records may include:</p> <ul style="list-style-type: none"> • up-to-date record of current location of all library items • cross-checking records/register with physical location of items • conducting periodic stock takes • periodically re-calling all loaned items
<p><i>Nominated persons/departments may include:</i></p> <ul style="list-style-type: none"> • all individuals within a department • management/executive team • all employees • stipulated individuals across the enterprise
<p>Indexing publications may include:</p> <ul style="list-style-type: none"> • title • author • date received • date published • ISBN • publisher • publication type/size/binding • publication status (eg. confidential, rare, original)
<p><i>Designated system for filing/coding may include:</i></p> <ul style="list-style-type: none"> • Dewey decimal system • chronological • alphabetical • subject • colour coding • combination of above
<p>Storage of current publications may include:</p> <ul style="list-style-type: none"> • bookshelves • boxes • protective covers • vertical/horizontal shelving • microfilm/microfiche • secure location • fire/weather/humidity proof location
<p><i>Designated classification system for access may include:</i></p> <ul style="list-style-type: none"> • general access • restricted access • not available for loan

Evidence Guide

Critical aspects:

- new issues of currently held publications are identified and are added to the library/resource collection according to *enterprise policies and procedure*
- out-of-date material is identified and removed according to *enterprise policies and procedure*
- removed material is stored securely according to *enterprise policies and procedure*
- allocated space is used efficiently
- superseded material is replaced with current editions
- available material is current/relevant
- new material is identified and appraised for inclusion in the library/resource collection
- budget constraints are considered when appraising new material
- new publications are ordered according to *enterprise policies and procedure*
- new publications are relevant to enterprise requirements
- publications for circulation are identified and recorded according to *enterprise policies and procedures*
- circulation slip is attached to publication
- appropriate publications are circulated to *nominated persons/departments* within *designated timelines*
- after circulation is complete, publication is returned to correct location/sequence
- when publication is not returned within *designated timelines* follow-up procedure is undertaken according to *enterprise policies and procedure*
- missing publications are followed up according to *enterprise policies and procedure*
- knowledge of designated classification system is demonstrated
- publications are indexed and filed using *designated system*
- publications are coded and stored according to *designated classification system*
- accurate records of location of publications are kept at all time
- all publications are accessible and accounted for
- the library/resource system operates efficiently

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- publications
- library/resource collection
- classification system

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different office requirements, and over a period of time to ensure that situational variables are consistently achieved.

Evidence Guide

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- flexible delivery methods used by training providers to cater for distance education students
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times)

Evidence gathering methods may include:

- demonstration
- questioning
- workplace performance
- role-play
- projects/assignments
- written tests (verbal usage and verbal comprehension)
- portfolio of work documents
- third party reports

Evidence Guide**Underpinning knowledge and skills****Knowledge**

- *enterprise policies and procedures* across the full range of tasks required
- classification and indexing systems
- enterprise requirements for publications
- publication circulation process
- records management
- sources of relevant publications
- preservation of publications
- archiving processes
- storage media
- stock take techniques

Skills

- literacy: follows and interprets enterprise's policies; reads and critically evaluates records; has developed written skills across a number of styles; writes enterprise procedures for maintaining records and publications; writes training procedures for staff in utilising records and publications system; appraises and indexes publications; records information from a variety of sources
- research: selects categories by which to organise information; processes information in a systematic way
- numeracy: interprets, selects and investigates appropriate mathematical information and relationships highly embedded in an activity; indexes and codes publications
- planning and organisational skills
- communication: briefs and informs staff of procedures; responds constructively to a team; discusses implications of new work procedures where appropriate; encourages feedback on systems and publications

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
2	3	2	2	2	2	1

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

This Unit covers determining the requirements of effective office administration systems and procedures for the enterprise, implementing, monitoring and reviewing the system and providing training where necessary.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Plan office administration system	<ul style="list-style-type: none"> • Identify requirements of the office administration system through consultation with system users • Suppliers of system requirements are sourced in line with <i>enterprise procedures</i> • Quotations for supply and delivery of nominated <i>equipment, stationery</i>, software for planned administration system are obtained • Selection of most appropriate supplier is determined using <i>designated guidelines</i>
Implement office administration system	<ul style="list-style-type: none"> • System is implemented • System can produce accurate and secure data as required • Procedures for using the new system are defined and <i>circulated</i> to staff • Training for staff on use of new system is provided

Element of Competency	Performance Criteria
Monitor office administration system	<ul style="list-style-type: none">• System is monitored for correct usage• Contingencies are dealt with to ensure minimal effect on users• System is modified to meet changing needs in a timely manner• Modifications are clearly defined and users are notified• Staff training needs are monitored and new staff trained on administration system

Range of Variables
<p><i>Enterprise policies and procedures may relate to:</i></p> <ul style="list-style-type: none">• appropriate administration systems and procedures• training of staff• monitoring and reviewing systems• administration expenditure
<p>Type of office administration system may include:</p> <ul style="list-style-type: none">• <i>paper-based system</i>• <i>electronic system</i>
<p>Requirements of the office administration system may relate to:</p> <ul style="list-style-type: none">• type of system• size of system• work practices• enterprise/staff requirements• number and type of users• purpose and nature of the enterprise• purpose and nature of system• skills of existing staff• staff training needs
<p>System users may include:</p> <ul style="list-style-type: none">• enterprise personnel• casual personnel• external clients
<p>Suppliers of system requirements may include:</p> <ul style="list-style-type: none">• computer/software suppliers• equipment suppliers• internal staff/clients• information technology technicians• information technology trainers• efficiency consultants• office equipment suppliers

Range of Variables
<p><i>Equipment, stationery and software may include:</i></p> <ul style="list-style-type: none"> • photocopiers • facsimile machines • telephones • video conferencing equipment • other equipment (eg. filing, storage) • letterhead, envelopes • personal computers • laptop computers • modems • training software • anti-viral software • specialised business software • Internet software
<p><i>Designated guidelines for selecting supplier may relate to:</i></p> <ul style="list-style-type: none"> • budget limitations • preferred enterprise suppliers • training requirements • size of system requirements • purpose of administration system
<p><i>Implementing system may include:</i></p> <ul style="list-style-type: none"> • testing • trialing • informing relevant persons • ensuring system functions correctly
<p><i>Accurate and secure data may relate to:</i></p> <ul style="list-style-type: none"> • staff training • implementing safeguards against computer viruses • issuing passwords • establishing confidentiality agreements
<p><i>Circulation of procedures may include:</i></p> <ul style="list-style-type: none"> • enterprise newsletter • meetings • training days • professional development time • office memorandum • facsimile messages • email messages • photocopied instructions

Range of Variables
<p>Training for staff may include:</p> <ul style="list-style-type: none"> • professional development • on the job trainers • video • training handbooks • coach, mentor and/or buddy systems • skills assessment
<p>Monitoring of system may include:</p> <ul style="list-style-type: none"> • feedback from internal/external clients • observation by trained technician(s) • extra administrative support and back-up • utilising monitoring tools and processes
<p>Contingencies may include:</p> <ul style="list-style-type: none"> • temporary reduction of work output • boosting staff confidence • providing additional training • modifying system
<p>Modification of system to meet changing needs may include:</p> <ul style="list-style-type: none"> • growth or decline in the size of system • change in the nature and purpose of the system/enterprise • technological advances in administration systems • change in user requirements
<p>A timely manner may be:</p> <ul style="list-style-type: none"> • specific time period formalised in enterprise plan or agreement • timeframe deemed appropriate by users • timeframe deemed appropriate by management • timeframe deemed appropriate by the office administrator • timeframe formally agreed upon between the enterprise and the relevant trade union

Range of Variables**Modifications may relate to:**

- specialised software
- additional equipment, training
- redefinition of administrative roles and duties
- negotiation of timeframes for system implementation

Monitoring staff training needs may include:

- ongoing assessment of staff skills
- ongoing feedback opportunities
- providing professional development opportunities

Evidence Guide

Critical aspects:

- *enterprise policies and procedures* in regard to administration systems and procedures, training of staff, monitoring and review of systems and administration expenditure are understood and followed
- administrative system requirements of the enterprise are clarified and understood
- administration system users are consulted in regard to their system needs
- quotations for system requirements are obtained if required
- suppliers of system requirements are researched and considered in terms of enterprise guidelines
- arrangements are made for the effective implementation of the system within an appropriate timeframe
- system is able to consistently produce accurate and secure data
- procedures for using the system are researched and clearly recorded in detail
- system procedures are distributed to all relevant staff in advance of system implementation
- staff training gaps are identified as soon as possible
- training requirements of staff are accurately identified and promptly met
- tools and resources for monitoring correct use of the system are established
- contingency plans are prepared and implemented when necessary to minimise the effect on users
- glitches in the system are fixed with minimal disruption
- modifications to the system are anticipated as changes occurs
- modifications to the system are implemented within an appropriate timeframe
- staff training needs are reviewed on an ongoing basis
- training programs are prepared and delivered to new staff

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- enterprise policy and procedure manuals
- reference materials
- appropriate equipment
- contact persons (eg. trainers, technicians, suppliers)
- budget

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different office requirements, and over a period of time to ensure that situational variables are consistently achieved.

Evidence Guide

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- flexible delivery methods used by training providers to cater for distance education students
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times).

Evidence gathering methods may include:

- demonstration
- questioning
- workplace performance
- role-play
- projects/assignments
- written tests (verbal usage and verbal comprehension)
- portfolio of work documents
- third party reports

Evidence Guide**Underpinning knowledge and skills****Knowledge**

- *enterprise policies and procedures* in regard to administration systems and procedures, training of staff, monitoring and review of systems and administration expenditure
- financial arrangements
- administration systems
- planning tools and resources
- monitoring/reviewing tools and resources
- enterprise goals

Skills

- literacy: follows and interprets *enterprise's policies and procedures*; writes detailed procedural text, including alternative courses of action, after defining needs of audience and purposes of information; follows complex flow chart in order to identify and distil relevant information
- research and report writing: assembles evidence and evaluates for accuracy and relevance; summarises data in a logically coherent structures; uses a variety of strategies for planning, reviewing and proofreading own writing;
- problem-solving: chooses appropriate solutions from a range of possible solutions; uses processes flexibly and interchangeably; anticipates problems and modifies systems accordingly
- communication: consults and negotiates with group; recommends alternative ways of completing tasks; discusses changes in routines and procedures; monitors and defines group's objectives
- time-management: uses a range of planning tools to implement system smoothly and with a minimum of disruption; is able to anticipate modifications and plan system overhauls; allows sufficient time for training

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
2	3	3	2	2	3	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

BSAORG504B Review office administration systems and procedures to meet changing demands

This Unit covers determining the limits of the office administrative system and identifying strategies for ensuring the system can meet the enterprise's needs, including training and new procedures.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Determine capacity of administrative structure to meet enterprise goals	<ul style="list-style-type: none">• Obstacles to achieving <i>enterprise goals</i> are identified• Suggestions for improvements to structure are sought from staff at appropriate levels of the enterprise
Enable administrative change	<ul style="list-style-type: none">• Strategies are identified and developed in consultation with staff• Staff are encouraged to participate at all stages in the process of change• Appropriate training and support is provided to staff affected by change
Implement change	<ul style="list-style-type: none">• New office administrative procedures/processes are implemented• New procedures/processes are circulated• Appropriate training and support is provided to staff affected by change

Range of Variables
<p><i>Enterprise procedures and policies may include:</i></p> <ul style="list-style-type: none">• change management• consultation process• training and support• feedback mechanisms
<p><i>Enterprise goals may relate to:</i></p> <ul style="list-style-type: none">• size of enterprise• the purpose and nature of enterprise• environment and culture of staff and enterprise
<p><i>Obstacles may include:</i></p> <ul style="list-style-type: none">• training gaps• non-ownership of goals• entrenched belief systems within enterprise culture• resource constraints• internal/external constraints
<p><i>Suggestions for improvements to structure may include:</i></p> <ul style="list-style-type: none">• team meetings• questionnaires and surveys• ongoing consultation with a range of personnel• informal group and individual discussion
<p><i>Strategies may relate to:</i></p> <ul style="list-style-type: none">• team goal setting• training programs• external consultants• changing team/enterprise culture
<p><i>Stages in the process of change may include:</i></p> <ul style="list-style-type: none">• briefing• trailing• testing• implementation• evaluation• denial• resistance• exploration• commitment

Range of Variables**Appropriate training and support may include:**

- professional development
- appropriate time allowed for training
- team and management support
- discussion of change and its possible effects
- external consultants and trainers
- understanding change management and anticipating possible reactions to change

New office administrative procedures/processes may involve:

- staff roles being re-defined
- office tasks being re-distributed
- new/changed office equipment and/or systems

Evidence Guide

Critical aspects:

- *enterprise policies and procedures* in regard to change management, consultation processes, training and support are understood and followed
- *enterprise goals* are understood
- obstacles to achieving *enterprise goals* are identified
- staff at appropriate levels of the enterprise are consulted in a range of ways over possible improvements to the administration system
- analytical tools and resources to evaluate administration systems are understood and utilised
- stages of the change process are understood
- the need for change is correctly identified
- information to staff is researched and distributed within sufficient timelines
- information from staff is solicited on an ongoing basis
- staff are involved in the change process in a variety of ways
- information from staff is analysed and acted upon when necessary
- staff skills gaps in operating systems are identified and addressed within appropriate timelines
- change strategies are relevant and appropriate
- change is implemented in a positive manner
- information regarding new procedures and/or processes is written in detail and circulated within appropriate timelines
- ongoing support and consultation is provided to staff

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- *enterprise policy and procedure* manuals
- reference materials
- appropriate equipment
- contact persons (eg. trainers, technicians, suppliers)

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different office requirements, and over a period of time to ensure that situational variables are consistently achieved.

Evidence Guide

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- flexible delivery methods used by training providers to cater for distance education students
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times).

Evidence gathering methods may include:

- demonstration
- questioning
- workplace performance
- role-play
- projects/assignments
- written tests (verbal usage and verbal comprehension)
- portfolio of work documents
- third party reports

Underpinning knowledge and skills

Knowledge

- *enterprise policies and procedures* in regard to administration systems and procedures, training of staff, implementing change
- administration systems
- planning tools and resources
- monitoring/reviewing tools and resources
- enterprise goals

Skills

- literacy: detailed understanding of firm's policies and directions; writes a detailed procedural text after clarifying the firm's objectives and the needs of staff; writes project/action plan; follows complex flowchart in order to identify and distil relevant information
- research and analytical: evaluates situations and processes, assembles evidence, examines assumptions, makes judgements, selects and organises information effectively for specific purposes by defining information requirements; selects and modifies processes appropriately
- problem-solving: uses processes flexibly and interchangeably; experiments with a range of systems and chooses most appropriate
- communication: consults and negotiates with group; recommends alternative ways of performing tasks; listens and provides/encourages feedback; discusses changes in routines and procedures
- numeracy: checks calculations; developed recording and estimation processes

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
2	3	3	2	*	3	*

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

BSATEM501B Manage the team to ensure team achievements reflect identified enterprise goals

This Unit covers managing a team to ensure the team’s goals are relevant to the enterprise’s goals, including planning team goals and strategies, negotiating benchmarks and timelines and monitoring and evaluating the team’s performance.

This unit may be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Clarify the link between goals of the team and goals of the enterprise	<ul style="list-style-type: none"> • <i>Enterprise goals</i> are explained to team • The relationship between team and <i>enterprise goals</i> is explained to team • Strategies to achieve team goals are discussed with team
Plan and allocate work for the team	<ul style="list-style-type: none"> • Resources required to complete tasks are identified and allocated • Individual tasks are negotiated and allocated • Benchmarks and timelines for achieving individual and team goals are agreed
Monitor team performance	<ul style="list-style-type: none"> • Difficulties encountered by team members in the course of carrying out their tasks are identified, discussed and resolved • Performance of team and individuals is monitored against agreed benchmarks/timelines and team goals • Feedback is provided • Training needs of team are monitored
Evaluate achievements of the team	<ul style="list-style-type: none"> • Team achievements are regularly assessed to ensure achievement of <i>enterprise goals</i> • Team members are encouraged to conduct self-assessment against agreed benchmarks • Team members are encouraged to recognise and further develop their skills • Team members are encouraged to share ideas about developing alternative workplace practices

Range of Variables
<p>Enterprise goals may include:</p> <ul style="list-style-type: none">• profitability• productivity• quality customer service• cost reduction• market leadership• market image/presence• enterprise culture
<p>Relationship between <i>enterprise goals</i> and team goals may include:</p> <ul style="list-style-type: none">• direct• indirect• supporting• establishing• implementing
<p>Team size and type, e.g.</p> <ul style="list-style-type: none">• current work group• special purpose• cross-functional
<p>Strategies to achieve team goals may include:</p> <ul style="list-style-type: none">• continuation of successful strategies• development of new strategies• investigation of potential strategies• competitor analysis• replacement of unsuccessful strategies• new processes and procedures• accessing new/improved expertise• outsourcing some functions• evaluation of existing strategies
<p>Discussing strategies with team members may include:</p> <ul style="list-style-type: none">• deciding on the best approach to ensure the <i>designated timelines</i> are met• deciding team operational protocols• training• brainstorming• identifying potential problems and solutions

Range of Variables
<p>Resources required to complete tasks may include:</p> <ul style="list-style-type: none">• physical, technological• human• monetary• reallocating existing resources
<p>Team staffing arrangements:</p> <ul style="list-style-type: none">• part-time• casual• full-time• combinations of the above
<p>Allocation and negotiation of individual tasks may include:</p> <ul style="list-style-type: none">• analysis of team members' strengths and weaknesses• definition of the tasks required to achieve the team's goals• team meeting• preparation of a workplan with tasks and timelines• consideration of team members' other responsibilities• fair distribution of tasks
<p>Benchmarks and timelines for achieving individual and team goals may include:</p> <ul style="list-style-type: none">• overall goal timelines• staged timelines• interdependence of individual and team tasks• sequencing of tasks to achieve overall goal• quality benchmarks• feedback from internal/external client• dependence on external suppliers• training requirements• standards of performance
<p>Difficulties encountered by team members may include:</p> <ul style="list-style-type: none">• lack of understanding of goals/tasks• lack of commitment to goals/tasks• skill gaps• reliance upon other personnel

Range of Variables**Resolution of team difficulties may include:**

- acknowledgment of difficulties
- acknowledgment of successes
- lateral thinking to resolve problems
- open communication
- constructive criticism
- identifying source of problem
- reallocating responsibilities
- changing priority of some tasks
- training
- promotion/demotion

Monitoring team performance against agreed benchmarks may include:

- regular progress meetings
- team acknowledgment of completion of tasks
- reminding team of timelines
- setting daily/weekly goals/timelines
- reallocating responsibilities to take advantage of available resources
- renegotiation of tasks/timelines

Providing feedback may include:

- constructive criticism
- encouragement
- hints, advice
- assistance
- training

Monitoring training needs may include:

- observation
- supervision
- written/oral questionnaire
- recommendation from suitably qualified personnel
- request from team member
- performance appraisal

Regular assessment of team achievements may include:

- team meetings
- staff meetings
- reporting to management

Range of Variables**Encouraging team members to conduct self-assessment and recognise and develop their skills may include:**

- development of written checklists
- clear enunciation of performance standards
- incentive/reward scheme
- accountability and responsibility for individual tasks
- 360 degree feedback/performance appraisal process
- delegating responsibility for identifying skill gaps/training needs to team members

Development and sharing of ideas about alternative work practices may include:

- brainstorming
- group decision making

Evidence Guide

Critical aspects:

- *enterprise goals* and *team goals* are clearly explained to the team and any queries answered
- the relationship between the enterprise and team goals is understood and explained to team members
- the team is involved in determining strategies for achieving team goals
- identified strategies reflect team and enterprise goals and suit enterprise culture
- identified strategies can be resourced
- appropriate resources are identified and secured for the team
- the team is involved in negotiating and allocating tasks to team members
- allocation of tasks reflects both team goals and the strengths of individual team members
- tasks are fairly allocated
- benchmarks for ensuring achievement of team goals are determined in conjunction with the team
- team members understand individual responsibilities, tasks and performance standards
- difficulties encountered by team members are identified and anticipated before they impact negatively on the team achieving its goals
- appropriate solutions are identified to resolve difficulties
- performance of the team is open and conducted regularly to ensure team goals are met
- team members are supported and coached and constructive feedback provided
- particular needs of part-time/casual staff are identified and supported
- training is conducted/organised for team as required
- the team performs effectively and achieves goals within timelines
- morale is maintained
- team is participative

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- enterprise manuals
- texts/reference materials in relation to effective team work
- human resources policies

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different office requirements, and over a period of time to ensure that situational variables are consistently achieved.

Evidence Guide

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- flexible delivery methods used by training providers to cater for distance education students
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times)

Evidence gathering methods may include:

- demonstration
- questioning
- workplace performance
- role-play
- projects/assignments
- written tests (verbal usage and verbal comprehension)
- portfolio of work documents
- third party reports

Evidence Guide**Underpinning knowledge and skills****knowledge**

- *enterprise policies and procedures* across the range of tasks required
- team building
- training
- skills analysis
- motivation techniques
- leadership styles

skills

- literacy: follows *enterprise policies and procedures*; demonstrates well developed writing skills to express complex relationships between ideas and purposes; writes agenda items and papers for meetings; writes clear and detailed instructions, organised sequentially for members of a group in order to complete an activity; presents an action plan using appropriate language, style and format
- research and analysis: evaluates systems or processes, assembles evidence and makes judgements
- letter and report-writing: uses relevant data to draft a report; considers aspects of context, purpose and audience when generating texts; uses a variety of strategies for planning, reviewing and proofreading own writing
- communication: communicates and defines purpose and objectives of team; listens to and incorporates/encourages feedback; manages and works with a group to construct an action plan to develop an effective work climate; takes part in sustained and complex interpersonal exchanges, interacts well with others, exploring issues and problem-solving
- team work: consults and negotiates with team members
- problem solving: uses processes flexibly and interchangeably to generate solutions
- time management and numeracy: developed recording and estimation processes; estimates time and plans accurately

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
2	2	3	3	1	2	1

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

BSATEM502B Participate in staff selection to ensure team goals are achieved

This Unit covers arranging the selection and employment of an employee, including preparation and advertisements.

This unit may be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Identify position requirements	<ul style="list-style-type: none">• Role of position within team is identified• Selection criteria is discussed with <i>a nominated person</i>• Resources for position identified with <i>a nominated person</i>• Position description is drafted to reflect identified needs of position
Draft job vacancy advertisement	<ul style="list-style-type: none">• Advertisement is drafted for position• Advertisement is finalised in discussion with <i>a nominated person</i>• Position is advertised in <i>nominated publications</i>
Select staff	<ul style="list-style-type: none">• Applications are received and recorded• A shortlist of suitable applicants for interview is prepared in discussion with <i>an interview panel</i> or <i>a nominated person</i>• Interview schedules are arranged• Interviews are conducted• Candidates are notified of outcome
Employ staff	<ul style="list-style-type: none">• Induction of successful candidate is arranged• Employment <i>documents</i> are processed

Range of Variables
<p>Role within the team may include:</p> <ul style="list-style-type: none"> • permanent • full time • part time • contract • casual • project based
<p>Selection criteria may include:</p> <ul style="list-style-type: none"> • demonstrable previous experience • qualifications • industry experience
<p><i>Nominated person</i> may include:</p> <ul style="list-style-type: none"> • HR manager • person position will report to • other team members • recruitment consultant
<p>Resources for the position may include:</p> <ul style="list-style-type: none"> • physical resources, furniture, space equipment, vehicle, parking • monetary resources, budgetary constraints, salary range
<p>Position description may include:</p> <ul style="list-style-type: none"> • description of enterprise's main activities • description of role • reporting relationship • key tasks/challenges/performance indicators • physical location of position • description of position in relation to the enterprise's organisational structure • unusual requirements of the position • selection criteria
<p>Advertisement for vacant position may include:</p> <ul style="list-style-type: none"> • accurate job title • identification of industry sector/employer type • summary of main selection criteria • closing date for applications • details for submitting applications (eg. to enterprise, recruitment consultant) • contact for additional information • website URL for further enterprise information • advertisement must not be discriminatory and must comply with EEO legislation unless an exemption is gained from relevant authority

Range of Variables
<p>Finalisation of advertisement may include:</p> <ul style="list-style-type: none"> • approval by <i>nominated person</i> • acceptance by selected publication
<p><i>Nominated publications may include:</i></p> <ul style="list-style-type: none"> • newspapers • trade journals • newsletters • local papers • recruitment consultant's publications • noticeboards • internal communication channels
<p>Receipt and recording of applications may include:</p> <ul style="list-style-type: none"> • paper-based/electronic register/database • creation of a paper file for original applications received • acknowledgment of receipt of applications if process is likely to be drawn out
<p>Shortlisting applicants may include:</p> <ul style="list-style-type: none"> • shortlist from recruitment consultant • establishing criteria against which to shortlist applicants • consulting interview panel • analysis of applications to determine suitability against shortlist criteria • culling of applications that clearly do not meet shortlist • informing candidates unsuccessful in making shortlist of the outcome of their application • informing recruitment consultant of suitability or otherwise of shortlisted candidates
<p>Arranging interview schedule may include:</p> <ul style="list-style-type: none"> • liaison with interview panel • liaison with candidates • liaison with recruitment consultant • development of interview diary • booking of appropriate interview facilities (eg. room, refreshments, tests) • informing candidates of any interview requirements (eg. samples of work, testing) • developing interview questions • ensuring sufficient time between interviews (eg. avoiding candidates meeting each other)
<p>Conducting interviews may include:</p> <ul style="list-style-type: none"> • greeting candidates • participating in interviews

Range of Variables
<p>Notifying candidates of outcome may include:</p> <ul style="list-style-type: none">• rejection letter/phone call• acceptance letter/phone call• development of contract and offer of employment letter• date at which offer expires
<p>Induction of successful candidate may include:</p> <ul style="list-style-type: none">• welcome to enterprise• induction kit• induction training
<p>Employment <i>documents</i> may include:</p> <ul style="list-style-type: none">• employment declaration form• confidentiality agreement• employment contract• superannuation fund• personal detail• emergency contacts• existing medical conditions

Evidence Guide

Critical aspects:

- position relevant to team is identified
- the staff position and role are understood by the team
- *enterprise goals* are maintained
- selection criteria accurately reflects the requirements of the position and the enterprise
- resources for the position are accurately identified and are secured
- appropriate recruitment consultant is selected and briefed as required
- position description accurately describes the work environment, the enterprise and the role
- language used in the position description is inclusive and unambiguous
- advertisement clearly describes the key elements of the role, selection criteria and performance requirements
- advertisement is prepared on time, within publication specifications and according to *enterprise procedures*
- advertisement appears in *nominated publications* as required
- receipt of applications ensures privacy of candidates is maintained
- all applications are recorded and can be accounted for
- shortlist criteria is established in consultation with appropriate personnel/recruitment consultant
- candidates unsuccessful in making shortlist are notified
- interview schedule is arranged to the mutual convenience of candidates and interviewing panel
- interview questions that reflect the role and elicit relevant information from the candidate are developed
- interviews are conducted smoothly
- the interview is conducted according to *enterprise procedures*
- correct procedures for selecting staff are followed
- unsuccessful candidates are notified promptly
- staff appropriate to the position are employed
- the successful candidate is inducted and all relevant employment documents are processed
- relevant legislation is complied with
- security and confidentiality of candidates' details are maintained

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- enterprise manuals
- pro forma position descriptions
- human resources policy
- computer hardware and software
- pool of candidates
- interview panel
- interview facilities
- relevant legislation

Evidence Guide**Consistency in performance:**

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different office requirements, and over a period of time to ensure that situational variables are consistently achieved.

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- flexible delivery methods used by training providers to cater for distance education students
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times)

Evidence gathering methods may include:

- demonstration
- questioning
- workplace performance
- role-play
- projects/assignments
- written tests (verbal usage and verbal comprehension)
- portfolio of work documents
- third party reports

Evidence Guide**Underpinning knowledge and skills****Knowledge**

- *enterprise policies and procedures* across the full range of tasks required
- EEO legislation
- non-discriminatory practices and language
- relevant recruitment consultants as required
- standard position description information
- effective interview structure/questioning techniques

Skills

- literacy: follows *enterprise procedures* and directions; writes organisational plan and written report on enterprise's needs and goals; manages/works with a group to construct an action plan to identify personal and skills gaps
- research skills: assembles relevant information, evaluates and summarises data in a coherent format; identifies skill gaps and key selection criteria
- communication: participates in and conducts lengthy interviews; maintains complex oral interactions by initiating and responding to topic shifts and points of clarification; uses strategies to confirm, clarify or repair understanding
- interpersonal skills
- problem solving; uses processes flexibly and interchangeably to generate solutions
- proofreading and editing: uses a variety of strategies to for planning, reviewing and proofreading own writing

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
2	2	2	2	1	2	1

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

This Unit of Competency is adapted from AAACE FIN503. This Unit covers procedures for allocating funds and keeping the appropriate records of fund expenditure.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Disburse funds	<ul style="list-style-type: none"> • Funds for programs and services are identified • Funds are allocated and available within the required timeframe • Unallocated or unused funds are allocated according to management direction to meet changing requirements
Administer financial control systems	<ul style="list-style-type: none"> • Funds expenditure is detailed in financial control systems • Commonly accepted measures for controlling expenditure are included in system • Appropriate program and services expenditure assessment is able to be made on systems • Statutory regulatory, audit and policy compliance is understood and maintained by staff

Range of Variables
<p>Funds for programs and services may include:</p> <ul style="list-style-type: none"> • general budget allocation • additional funds for particular projects • self-generated funds • fundraising requirements • project grants • funds received for winning tenders
<p>Ensuring availability and allocation of funds may include:</p> <ul style="list-style-type: none"> • completing funds requisition • gaining approval from upper management • ensuring contracts are signed in a timely manner to guarantee transfer of funds from granting body • preparing proposal for approval by Board
<p>Allocation of unallocated or unused funds may include</p> <ul style="list-style-type: none"> • diversion to a similar project • winding up project and returning funds to granting body
<p>Changing requirements may include:</p> <ul style="list-style-type: none"> • change of priorities • new research/findings becoming available • changes in external market • availability of new technology/equipment/materials
<p>Detailing of funds expenditure may include:</p> <ul style="list-style-type: none"> • daily/weekly expenses • records of purchases/disbursement • proof of authorisation to purchase • salary details • miscellaneous costs
<p>Financial control systems may include:</p> <ul style="list-style-type: none"> • cheque requisition forms • specific project account • purchase orders • project funds expenditure record • record of expenditure against total budget • project funds reconciliation system

Range of Variables
<p>Commonly accepted measures for controlling expenditure may include:</p> <ul style="list-style-type: none"> • obtaining multiple quotes for services • limiting unauthorised levels of expenditure • identifying alternative resources • redistributing resources • utilising existing resources • careful monitoring of budget • variance analysis
<p>Recording mechanism/systems Recording mechanism/systems paper-based electronic enterprise accounting system</p>
<p>Expenditure assessment may include:</p> <ul style="list-style-type: none"> • maintaining a running tally of expenditure • regularly updating records • establishing electronic reporting facility within recording system • ensuring records of expenditure are able to be audited
<p>Statutory regulatory, audit and policy compliance requirements may include:</p> <ul style="list-style-type: none"> • Australian Auditing and Accounting Standards • ATO requirements • contract requirements • <i>enterprise policies and procedures</i>

Evidence Guide

Critical aspects:

- an understanding of financial systems is demonstrated
- funds are secured and allocated to budgets and programs
- the funds for disbursement and control are clearly defined
- disbursement of funds is clearly and accurately recorded
- disbursement of funds meets *enterprise policies and procedures* and any external funding/statutory body requirements
- no funds are misappropriated
- appropriate measures to control the disbursement of funds are implemented and monitored
- staff are clearly informed of allowable disbursements and required reporting and recording procedures
- any irregularities are promptly investigated and resolved or referred to an appropriate authority for resolution
- the status of the total funds against disbursements can be determined throughout the project
- an understanding and the correct application of the relevant legislation and policy with regard to the disbursement of funds is demonstrated
- unallocated funds are appropriately distributed
- auditing requirements are met
- relevant legislative and statutory requirements are understood and adhered to

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- enterprise manuals, texts/references
- budgets for programs/services
- enterprise accounting system
- paper-based/electronic system for recording disbursements
- Australian Accounting and Auditing Standards
- relevant ATO legislation

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different office requirements, and over a period of time to ensure that situational variables are consistently achieved.

Evidence Guide

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- flexible delivery methods used by training providers to cater for distance education students
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times).

Evidence gathering methods may include:

- demonstration
- questioning
- workplace performance
- role-play
- projects/assignments
- written tests (verbal usage and verbal comprehension)
- portfolio of work documents
- third party reports

Underpinning knowledge and skills

Knowledge

- *enterprise policies and procedures* across the full range of tasks required
- ATO legislative requirements
- relevant government and statutory bodies
- enterprise's accounting system
- acceptable measures for controlling expenditure
- Australian Accounting and Auditing Standards
- budgetary processes
- *enterprise's policies and procedures* for the disbursement of funds

Skills

- literacy: follows complex financial procedures; writes detailed instructions organised sequentially
- numeracy: uses financial formulae; demonstrates knowledge of mathematical concepts; represents a range of data appropriately including tables, graphs; interprets and uses graphical representation as the basis for inference and prediction; calculates and contrasts monthly income from average sales
- communication: presents oral/written financial report; answers questions and provides information; discusses and explains implications of financial procedures and forecasts
- problem solving: selects and applies a wide range of mathematical strategies flexibly to generate solutions; decides on degree of accuracy appropriate to the activity; uses developed estimating skills to check calculations and outcomes

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
2	2	2	2	2	2	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

This Unit covers managing the document design and production process, including staffing and allocation of tasks.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Identify enterprise requirements for document design/production	<ul style="list-style-type: none"> • Enterprise requirements for information entry, storage, output, and quality of document design/production are identified • Enterprise costs for document design/production are accurately estimated • Hardware and software appropriate for information and presentation requirements are identified and recommended
Manage allocation of document design/production tasks	<ul style="list-style-type: none"> • Document design/production tasks are allocated to the team • Standards for document design/production are set and maintained • Document design/production training needs of the team are identified • Feedback is provided to team members about standards of document design/production

Range of Variables
<p>Identifying enterprise requirements may include:</p> <ul style="list-style-type: none">• entry: accuracy, speed• output: report form, letter, fax, memo, email, client requirements• storage: security, confidentiality, hard disk, floppy disk, CD ROM, tape, hard copy, multiple copies• quality: clarity, meets requirements, draft/final form, relevance, up to date information, document presentation, media
<p>Enterprise costs may include:</p> <ul style="list-style-type: none">• materials• labour• equipment• overheads
<p>Appropriate hardware and software may include:</p> <ul style="list-style-type: none">• computer• printer• scanner• photocopier• guillotine• binder• projector• word processing• spreadsheet• database• page layout• art/graphics• storage media
<p>Document design/production tasks may include:</p> <ul style="list-style-type: none">• drafting• locating/gathering appropriate information/precedents• writing• drawing• production of graphics• liaison with external personnel• editing• formatting• checking final print copy• printing• binding• copying• creation of templates, style/procedures manual

Range of Variables**Standards for document design/production may include:**

- enterprise templates/house style, margins, fonts, usage of colour
- language/style of document
- *enterprise policies and procedures*
- client requirements
- quality standards, print quality, use of page layout software, colour photocopy
- binding media
- final document presentation, production of multiple/subsequent copies
- electronic/paper-based

Training needs may include:

- software
- technical equipment
- industry information/background
- training room
- coordinator/expert
- time
- assessors
- individual requirements

Feedback may include:

- questionnaire/survey
- client comment
- supervisor comment
- edits/insertions/corrections
- suggestions
- constructive criticism
- acknowledgment of successful completion of tasks
- encouragement

Evidence Guide

Critical aspects:

- enterprise requirements are clarified and understood
- requirements are clearly conveyed to team and any questions answered
- document design/production costs are understood and correctly estimated
- hardware, software and other resources appropriate to the task are identified correctly and are secured to complete document design and production within the enterprise
- where resources/skills are not available internally, appropriate expertise/equipment is sourced external to the enterprise within budgetary constraints
- external contractors are monitored for quality of document design and production as appropriate
- team performance standards are clearly articulated to the team
- document design/production tasks are allocated appropriately
- if training is required, appropriate and timely training is conducted/organised
- team is monitored to ensure productions standards are maintained
- regular feedback about performance is provided to team
- completed documents meet enterprise requirements and conform with enterprise standards
- documents are completed in a timely manner

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- computer hardware and other document production equipment
- a range of software applications appropriate to the task
- media for production of documents
- calculator

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different office requirements, and over a period of time to ensure that situational variables are consistently achieved.

Evidence Guide

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- flexible delivery methods used by training providers to cater for distance education students
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times).

Evidence gathering methods may include:

- demonstration
- questioning
- workplace performance
- role-play
- projects/assignments
- written tests (verbal usage and verbal comprehension)
- portfolio of work documents
- third party reports

Underpinning knowledge and skills

knowledge

- *enterprise policies and procedures* across the full range of tasks required
- appropriate computer hardware and software
- document production processes
- enterprise cost constraints
- appropriate external expertise if required
- team building
- various storage media

skills

- literacy: reads and interprets *enterprise policies and procedures*; reviews and selects appropriate technological design; defines the purposes and objectives for the use of a particular technology; considers aspects of context, purpose and audience when designing and formatting texts; writes report including a detailed analysis of technology as applied in the workplace
- research and analysis: evaluates content, structure and purpose of technical texts; adapts task instructions to suit changes in technology
- technological: manages appropriate design requirements and layouts
- communication: presents complex instructions orally; communicates ideas, arguments and conclusions logically; explains technological concepts and designs to others
- numeracy: understands computer configurations
- keyboarding
- interpersonal and team work: consults and negotiates with team members; liaises with internal and external personnel

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
2	2	2	2	1	2	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

BSATEC502B Manage the establishment and maintenance of a workgroup network

This Unit covers establishing a computer network using the appropriate software, managing the network, responding to problems, assisting network users and providing training.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Manage the establishment of a workgroup network	<ul style="list-style-type: none"> • Network requirements are determined with the <i>nominated person/section/consultant</i> • Any necessary equipment is obtained and installed in accordance with the manufacturer's instructions • The network is established in a way which maximises efficiency and access for users • Software is installed as required and in line with the manufacturer's instructions
Manage the maintenance of a workgroup network	<ul style="list-style-type: none"> • Records are established and maintained to ensure control and security of hardware and software stock • Network problems are responded to and minor faults are rectified promptly • Major problems are reported and appropriate computer experts called promptly • Software is filed and stored in accordance with <i>enterprise procedures</i>
Assist and train network users	<ul style="list-style-type: none"> • Training is provided for existing/new staff in using the network • Network users are assisted to maximise potential of the network • User skills are examined and feedback is provided

Range of Variables**Network requirements may include:**

- hardware, mainframes, servers
- software, operating system, application packages, programming
- virus scanners, security requirements
- memory size
- scalability
- necessary skills and knowledge
- internal/external maintenance
- set-up needs

Nominated person/section/consultant may include:

- IT manager
- IT department
- supervisor
- external consultant
- service provider
- management
- system users

Necessary equipment may include:

- computers, hardware, peripherals
- server, software
- modem

Maximising efficiency and access for users may include:

- easy to use
- multiple users
- gateways
- firewalls
- eliminates/minimises duplicate electronic storage of information
- reduces processing time
- maximises access to information
- improves reporting processes
- ensures accuracy and security of data
- security needs
- logical set-up
- clear instructions/guidelines, user guides
- timely training
- appropriate network size

Range of Variables**Required software may include:**

- anti-virus
- Internet
- printer
- word processing
- spreadsheet
- database
- page layout
- accounting
- enterprise specific software

Installing software may include:

- following manufacturer's guidelines
- programming
- utilising internal/external expertise

Manufacturer's instructions may include:

- handbook
- user guide
- consultant
- copyright

Stock records may include:

- inventory lists
- asset register
- log books
- requisition forms
- file register
- index cards
- details of software licenses, locations of software within enterprise

Control and security may include:

- limited number of users, limited time period for usage
- restricted/authorised access
- monitoring stock level
- storage conditions and requirements
- use of passwords

Range of Variables
<p>Network problems may include:</p> <ul style="list-style-type: none">• server crashing• memory full• virus• damaged cabling• human error
<p>Rectifying minor faults may include:</p> <ul style="list-style-type: none">• resetting server• anti-virus software• clearing memory space• reloading software• repairing/replacing parts
<p>Reporting major problems may include:</p> <ul style="list-style-type: none">• notifying supervisor/IT department• notifying supplier• notifying manufacturer
<p>Appropriate computer experts may include:</p> <ul style="list-style-type: none">• IT supervisor/manager• supplier and manufacturer• computer service centre• on-line help• external consultant
<p>Filing and storing software may include:</p> <ul style="list-style-type: none">• file register, electronic/paper-based• creating back-up copy• enterprise storeroom• enterprise records room• external storage• fire/heat/humidity proof storage• archiving
<p>Enterprise procedures may include:</p> <ul style="list-style-type: none">• enterprise policies• user guides• training notes• security policy• OHS policy

Range of Variables
<p>Training may include:</p> <ul style="list-style-type: none">• workshops• information sessions• expert demonstration• one-on-one
<p>Network users may include:</p> <ul style="list-style-type: none">• enterprise personnel• external clients
<p>Maximum potential of network may include:</p> <ul style="list-style-type: none">• efficiency• effectiveness• usefulness• multiple users• access to information• reporting facilities
<p>Examining user skills may include:</p> <ul style="list-style-type: none">• testing/assessment• observing• survey
<p>Feedback may include:</p> <ul style="list-style-type: none">• comments• suggestions• recommendations• performance appraisal

Evidence Guide

Critical aspects:

- enterprise network requirements are investigated and correctly identified
- consultation is undertaken with *nominated person/section/consultant*
- budgetary constraints are complied with
- identified network solution reflects enterprise's current and anticipated future needs
- support for network is obtained from *nominated person/section/consultant*
- network is compatible with current enterprise software, hardware and work practices
- appropriate equipment and software is obtained and correctly installed
- software licenses are complied with
- any uncertainties are resolved with external assistance as required
- efficiency gains identified throughout investigation and consultation phase are realised
- user access to information is maintained throughout installation
- installation of the network improves user access to information
- appropriate records are completed
- security measure appropriate to the enterprise's hardware and software needs are established and implemented
- problems, faults and repairs are promptly attended to, resolved or referred to an appropriate expert
- software filing and storage complies with manufacturer's guidelines and *enterprise policies and procedures*
- staff training needs are accurately identified and appropriate and timely training is conducted and/or organised
- the features of the network are clearly explained and demonstrated to staff and staff are assisted in efficiently utilising the network
- processes and procedures for utilising the network are developed and made available to staff
- staff are monitored in their usage of the network and feedback is provided as appropriate

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- enterprise manuals and policy documents
- hardware
- software
- computer journals, texts, reference materials
- manufacturer's guidelines

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different office requirements, and over a period of time to ensure that situational variables are consistently achieved.

Evidence Guide**Context of assessment:**

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- flexible delivery methods used by training providers to cater for distance education students
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times).

Evidence gathering methods may include:

- demonstration
- questioning
- workplace performance
- role-play
- projects/assignments
- written tests (verbal usage and verbal comprehension)
- portfolio of work documents
- third party reports

Evidence Guide**Underpinning knowledge and skills****knowledge**

- *enterprise policies and procedures* across the full range of tasks required
- various hardware and software options
- features of computer networking
- software licensing rights and responsibilities
- copyright
- appropriate hardware and software vendors
- training
- skills analysis

skills

- literacy: reads and interprets complex technological procedures; clarifies information in regard to the purchase of software and hardware of the workgroup network
- communication: follows complex instructions presented orally when using new technology; communicates ideas, arguments and conclusions logically; responds to a complex enquiry or complaint; gives complex instructions, including pitfalls to be avoided when training others to use machinery
- referral: identifies to whom to refer difficulties in either the hardware or software workgroup network
- research: seeks information on the most appropriate software to suit the enterprise's needs
- problems solving: identifies the best course of action if a difficulty arises in the operation of the workgroup network
- numeracy: understands computer configurations
- technology: monitors and maintains a workgroup network
- team work and organisational skills

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
2	2	3	3	1	2	3

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

BSAENT502B Apply and monitor enterprise OHS to ensure that all members of the workgroup are fully informed

This Unit of Competency is equivalent to Worksafe Australia OHS Generic Competency B. This Unit covers responsibility for ensuring the workgroup is aware of and understands the enterprise's OHS policies, hazards and control procedures. It also covers managing, implementing and monitoring procedures and maintaining records for OHS and providing training.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Provide information to the workgroup about the enterprise's OHS policies, procedures and programs	Information is regularly provided and clearly explained to the workgroup on the following areas: <i>relevant OHS legislation</i> and codes of practice the <i>enterprise's OHS policies, procedures and programs</i> identified hazards risk identification and control <i>procedures</i>
Implement and monitor participative arrangement for the management of OHS on accordance with <i>enterprise procedures and policies</i>	Consultation over OHS issues is implemented and monitored to ensure that all staff have the opportunity to contribute Issues raised through consultation are dealt with and resolved <i>promptly</i> or referred to the <i>appropriate personnel</i> for resolution Resolutions are made known to staff <i>promptly</i>
Implement and monitor the enterprise's procedures for identifying and assessing hazards	Existing and potential hazards in the work area are identified and reported so that risk assessment and control procedures can be applied

Element of Competency	Performance Criteria
Implement and monitor the enterprise's procedures for controlling risks	<p>Existing risk control measure are monitored and results reported <i>regularly</i></p> <p>Inadequacies in existing risk control measure are identified and reported to <i>designated personnel</i></p> <p>Inadequacies in resource allocation for implementation of risk control measures are identified and reported to <i>designated personnel</i></p> <p>Work <i>procedures</i> to control risks are implemented and staff adherence to them is monitored</p>
Implement the enterprise's procedures for dealing with hazardous events	<ul style="list-style-type: none"> • Workplace <i>procedures</i> for dealing with hazardous events are implemented whenever necessary to ensure that prompt control action is taken • Hazardous events are investigated to identify their cause in accordance with <i>investigation procedures</i> • Control measures to prevent recurrence and minimise risks of hazardous events are implemented or referred to <i>designated personnel</i> for implementation
Implement and monitor the enterprise's procedure for providing OHS training	<ul style="list-style-type: none"> • OHS training needs of staff are identified accurately • Training is organised for staff where necessary
Monitor the enterprise's procedure for maintaining OHS records	<ul style="list-style-type: none"> • OHS records are accurately and legibly completed • Aggregate information from OHS records is used to identify hazards and monitor risk control <i>procedures</i>

Range of Variables
<p>Regular provision of OHS information and its clear explanation may include:</p> <ul style="list-style-type: none"> • regular written/oral updates • reporting to appropriate meetings • updating of OHS signs in workplace • general announcements • demonstration of new/refreshment of existing OHS processes and procedures • conducting workshops • providing individual/specialised training/information sessions • delegating/deputising OHS responsibilities to ensure general adherence • production of plain English interpretation of OHS legislation and codes • review and maintenance of enterprise's OHS <i>policies and procedures</i> • up-to-date and accessible list of enterprise OHS risks/hazards and control mechanisms • formal reporting of identified OHS risks/hazards across enterprise • emphasis of general responsibilities for minimising and controlling OHS risks/hazards
<p>OHS consultation mechanisms may include:</p> <ul style="list-style-type: none"> • regular meeting of OHS consultative committee • delegation of responsibility to employees in each department • regular survey of OHS risks/hazards • well publicised formal OHS reporting procedures • rotation of responsibilities to ensure general understanding of importance of OHS issues
<p>Dealing with and resolving OHS issues <i>promptly</i> may include:</p> <ul style="list-style-type: none"> • immediate isolation of affected area • referral to internal/external expert • replacement of affected equipment • upgrade of relevant operational/process procedures in relation to OHS • training/retraining • shutdown of affected equipment • organising medical attention • authorising repair/replacement of parts • purchasing harm minimisation technology/equipment • recording and reporting incident to management and appropriate authority
<p><i>Appropriate/designated personnel</i> may include:</p> <ul style="list-style-type: none"> • internal OHS personnel • manager/supervisor • external authority

Range of Variables
<p>Informing staff of resolutions <i>promptly</i> may include:</p> <ul style="list-style-type: none"> • general public address announcement • email message • staff/team meeting • memo • organising for expert to address affected staff
<p>Identifying and reporting existing and potential hazards may include:</p> <ul style="list-style-type: none"> • regular inspections • questioning staff to elicit information in relation to OHS • observation • publicising role of OHS/safety personnel and enterprise's OHS <i>policies and procedures</i> • prompt reporting • general access to reporting mechanisms • regular review of reports • publicised action plan for identifying and reporting OHS hazards
<p>Application of risk assessment and control procedures may include:</p> <ul style="list-style-type: none"> • continuous access to reporting mechanisms/OHS personnel • general responsibility for reporting OHS incidents • on-call expertise • standardised risk isolation and control procedures • readily accessible warning signs to identify areas of risk
<p>Monitoring of existing risk control mechanisms may include:</p> <ul style="list-style-type: none"> • evaluation of effectiveness • regular testing • upgrading/updating mechanisms to meet current enterprise requirements • eliciting feedback from internal/external stakeholders • utilising external authority expertise
<p>Regular reporting of results may include:</p> <ul style="list-style-type: none"> • standard reports (weekly, monthly) • special reports in response to periodic occurrences • reports required by external authority • internal control reports • written/oral reporting to general staff/management

Range of Variables
<p>Identification of inadequacies in existing risk control measures may include:</p> <ul style="list-style-type: none"> • changes in processes • introduction of new equipment • relocation of equipment • changes in legislative requirements/codes • new risk control developments/technology/strategies • emergence of new priorities • unforeseen emergency
<p>Inadequacies in resource allocation may include:</p> <ul style="list-style-type: none"> • insufficient equipment • increased need for OHS personnel • budgetary constraints • departure of suitably qualified personnel • unforeseen upgrade requirements • emergency resources
<p>Work procedures to control risks may include:</p> <ul style="list-style-type: none"> • appropriate safety signs clearly visible • safe operation guidelines for equipment/carrying out processes • regular demonstrations of safe work practices • regular testing of procedures (eg. fire drills, spill containment) • adherence to relevant legislation and codes • penalties for non-adherence and dangerous work practices • fostering a safe work culture • encouraging reporting of potential risks
<p>Workplace procedures and prompt control action for dealing with hazardous events may include:</p> <ul style="list-style-type: none"> • equipment shutdown • isolation of affected area • evacuation • immediate reporting to <i>appropriate authority</i>
<p>Investigation of hazardous events in accordance with <i>investigation procedures</i> may include:</p> <ul style="list-style-type: none"> • investigation by internal/external expert • compliance with legislative/code requirements • enforcing shutdown until event investigated • isolating affected area until event investigated

Range of Variables
<p>Control measures to prevent recurrence and minimise risks may include:</p> <ul style="list-style-type: none"> • recommendation for improvement/upgrade of risk control mechanisms • review of risk control policy • introduction of new equipment/technology to prevent/contain risks • changing work practices to eliminate risk
<p>Identification of staff OHS training needs may include:</p> <ul style="list-style-type: none"> • written/oral survey/questionnaire of training needs • observation of training needs • regular refresher sessions • individual/particular group training need • maintenance of training attendance register • referral from appropriately qualified personnel • recommendation from <i>appropriate authority</i>
<p>Organisation of training may include:</p> <ul style="list-style-type: none"> • appropriate location, equipment • development of training materials • organising appropriate time for training • staggering training to minimise disruption • sequencing training to ensure OHS principles are understood and can be correctly applied • addressing specific training need • inviting internal/external expert
<p>Completion and maintenance of OHS records may include:</p> <ul style="list-style-type: none"> • regular review of records • immediate recording of events • pro forma reports • general access to reporting procedures and sample reports • maintenance of confidentiality as appropriate • maintenance of security of records as appropriate • compliance with regular reporting requirements • seeking advice from internal/external expert
<p>Utilisation of aggregate information to identify and monitor risks may include:</p> <ul style="list-style-type: none"> • database of incidents with reporting facility • regular review of incidents • implementation of investigation recommendations/outcomes • analysis to identify trends • matching incidents to changes in work/reporting processes and procedures

Evidence Guide

Critical aspects:

OHS legislation and codes of practice are understood and explained to others
 enterprise's OHS policies, procedures and programs are understood and explained to appropriate staff/personnel
 hazards are identified and information about these is communicated to appropriate staff/personnel
 risk identification and control procedures are identified and communicated to appropriate staff/personnel
 staff members are consulted with over OHS issues and all members are given the opportunity to contribute
 issues raised by staff during consultation process are addressed appropriately
 when issues are outside own responsibility, issue is referred to the *appropriate authority* promptly
 staff are notified of resolutions promptly
 existing and potential hazards are identified and reported
 enterprise procedure for controlling OHS hazards is implemented
 working knowledge of all applicable OHS legislation and codes of practice
 understanding of the hierarchy of control (the preferred order of risk control measures, i.e. from most to least preferred, elimination, engineering controls, administrative controls and lastly, personal protective equipment)
 understanding of the significance of Equal Employment Opportunity (EEO) principles
 understanding of the significance of other management systems and procedures for OHS
 knowledge of literacy levels and communication skills of staff and consequent suitable communication techniques

Resource implications:

The assessor must have access to appropriate documentation and resources normally found in the work environment and required to allow the job or task to be properly performed. These may include:

- workplace reference materials such as procedural manuals and company policy
- OHS legislation and codes of practice
- OHS signs
- OHS journals/publications
- access to appropriate OHS authorities
- case studies of relevant OHS issues

Consistency in performance:

This unit of competency will require evidence to be collected across a range of events, eg. dealing with different office requirements, and over a period of time to ensure that situational variables are consistently achieved.

Evidence Guide

Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- participation in a New Apprenticeship (traineeship) arrangement
- use of a Practice Firm or simulated work environment
- flexible delivery methods used by training providers to cater for distance education students
- Recognition of Prior Learning, Recognition of Current Competencies (in skill areas where there has been no significant change to work practice in recent times)

Evidence gathering methods may include:

- demonstration
- questioning
- workplace performance
- role-play
- projects/assignments
- written tests (verbal usage and verbal comprehension)
- portfolio of work documents
- third party reports

Evidence Guide**Underpinning knowledge and skills****Knowledge**

- OHS legislation and codes of practice
- EEO principles
- OHS hazards and risks
- *enterprise policies and procedures* across the range of tasks
- appropriate risk and hazard control and minimisation mechanisms
- appropriate OHS reporting mechanisms
- relevant OHS authorities
- OHS issues relevant to the industry
- confidentiality and security issues in relation to recording and reporting OHS issues

Skills

- literacy: follows enterprise OHS *policies and procedures*; writes clear and detailed instructions regarding best practice for members of a group; presents action plan using appropriate language, style and format
- research and analytical skills; evaluates situations or processes; makes judgements; selects and modifies processes accordingly
- problem solving skills; identifies problems and differences from best practice methods and selects appropriate and efficient methods of solution; uses processes flexibly and interchangeably; compares results to anticipated outcomes to confirm results
- communication skills: communicates a range of ideas; consults and negotiates with team members; recommends alternative ways of performing tasks; listens and provides/encourages feedback; discusses changes in routines and procedures
- teamwork: defines and monitors application of OHS procedures; consults with team members
- time management and numeracy: checks calculations; developed recording and estimation processes

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	2	3	2	1	2	1

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

This unit applies to persons required to research and document competency requirements. It covers that including identification and review of relevant sources of information, and development of an implementation plan.

Element of Competency	Performance Criteria
Identify client competency needs	<ul style="list-style-type: none"> • The client and stakeholders are consulted to identify and document client competency needs • Competency needs are defined using information collected from stakeholders • The needs are grouped according to type, priority and possible solutions
Undertake needs analysis	<ul style="list-style-type: none"> • A plan is developed for the needs analysis outlining: <ul style="list-style-type: none"> - outcomes - resources - timelines - personnel and responsibilities - target group(s) - sources of information • Sources of information in relation to competency needs and the scope of the competencies are identified • Data gathering methods are adapted/ developed for efficient, reliable and valid information collection • Any requirements of qualifications or assessment or training recognition bodies are identified • Information is collected, organised and analysed to identify competency components • Groupings of competencies are established to suit the requirements for competency development of the target group(s)

Element of Competency	Performance Criteria
Confirm findings of research	<ul style="list-style-type: none"> • Consultations with stakeholders are conducted to verify research accuracy, useability within the intended context(s) and validity for the target group(s) • 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 • Identified priorities and competencies are documented and validated by stakeholders
Document competency requirements	<ul style="list-style-type: none"> • Competency requirements are documented in a manner appropriate to client needs • Combinations of competencies are identified to match the required: <ul style="list-style-type: none"> - business goals of the client organisation - job roles - skills related career paths - classifications - position descriptions - training programs - appraisal requirements - licensing or accreditation conditions • Implementation plan is developed including: <ul style="list-style-type: none"> - marketing and promotion - resource allocation - timelines
Validate competencies and implementation plan	<ul style="list-style-type: none"> • Stakeholders are involved in the validation of documented competencies and implementation plan and established processes are used to approve documentation • Adjustments to documentation are made as required • Documentation is approved through established processes • Any changes in related procedures, policies and processes are endorsed by stakeholders for implementation

Range of Variables
<p>Clients needs may include:</p> <ul style="list-style-type: none"> • increased productivity • increased enterprise profitability • attainment of specified industry or enterprise competencies • achievement of community priorities • achievement of government priorities • regulation or licensing requirements
<p>Stakeholders may include:</p> <ul style="list-style-type: none"> • 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
<p>Competency needs may include:</p> <ul style="list-style-type: none"> • 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 (eg. classification structure)
<p>Sources of information may include:</p> <ul style="list-style-type: none"> • 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

Range of Variables**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

Evidence Guide**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						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	3	3	3	3	3	3

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

This unit covers the requirements for a person to design and establish a training system.

Element of Competency	Performance Criteria
Determine boundaries of the training	<ul style="list-style-type: none"> • Services are determined and established through consultation with the client and stakeholders and a training policy documented • Stakeholder relationships are maintained through a range of communication mechanisms and the establishment of a service support structure • The financial, physical and human resources available to support the system are identified within agreed quality assurance procedures
Determine training system features	<ul style="list-style-type: none"> • The key operational features and constraints of the training system are determined in consultation with stakeholders • The key operational features of the system are verified with appropriate personnel and clients and the agreed features of the system are documented
Match needs with resources	<ul style="list-style-type: none"> • The expertise and roles of internal and external individuals and organisations/partners are identified • A budget, detailing development costs, implementation and maintenance costs of the proposed system, is developed, including partner organisations, if applicable

Element of Competency	Performance Criteria
Design and develop a training records system	<ul style="list-style-type: none"> • The record keeping system is designed to allow easy tracking of training participants progress as well as other agreed features • The record keeping system allows for the storage of detailed information and is designed to be secure, confidential, easy to administer and update • 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 • The record keeping system is designed and verified to allow for fair and consistent responses to grievances • The record keeping system is designed to ensure that relevant legislative and regulatory requirements are met
Establish procedures for the review of training	<ul style="list-style-type: none"> • Review procedures are developed and documented in consultation with stakeholders
Select and provide for training of system users	<ul style="list-style-type: none"> • The required mix of personnel and competencies to implement the training system are identified • Appropriate training strategies are identified modified or developed for trainers and other personnel involved in the training system to acquire competencies • 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

Element of Competency	Performance Criteria
Establish quality assurance procedures	<ul style="list-style-type: none">• A quality assurance team or committee is established in consultation with appropriate personnel• Quality assurance procedures, including verification processes are developed in consultation with appropriate personnel• The verification processes involves a representative sample of training activities and makes effective use of resources• The quality assurance procedures are trialed for fairness, efficiency and effectiveness• The quality assurance procedures are documented and distributed to trainers and other appropriate personnel• Procedures are established to determine the level of compliance with the training system

Range of Variables
<p>Clients' needs may include:</p> <ul style="list-style-type: none"> • increased productivity • increased enterprise profitability • attainment of specified industry or enterprise competencies • achievement of community priorities • achievement of government priorities • licensing or accreditation requirements
<p>Stakeholders may include:</p> <ul style="list-style-type: none"> • 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
<p>Partners may include:</p> <ul style="list-style-type: none"> • 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

Range of Variables
<p>Key operational features may include:</p> <ul style="list-style-type: none"> • 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
<p>Operational constraints may include:</p> <ul style="list-style-type: none"> • time available • relative cost implications • budgetary constraints • geographical and resource constraints • availability of stakeholders and other personnel
<p>Purpose of training may include:</p> <ul style="list-style-type: none"> • 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

Range of Variables
<p>Characteristics of participants may include:</p> <ul style="list-style-type: none"> • 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
<p>Record system may be:</p> <ul style="list-style-type: none"> • 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 <p><i>NB-statutory and government regulations for maintaining records may vary.</i></p>
<p>Quality assurance procedures may include:</p> <ul style="list-style-type: none"> • 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

Range of Variables**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.

Evidence Guide
<p>Required knowledge and skills:</p> <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> - 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
<p>Resource implications: Access to clients, sources of information and resources for the development of a training system.</p>
<p>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.</p>
<p>Context for assessment: Assessment may occur on the job or simulated workplace.</p>

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	3	3	3	3	3	3

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

This unit covers the requirements for a person to design and establish an assessment system.

Element of Competency	Performance Criteria
Determine client needs	<ul style="list-style-type: none"> • The needs of the client are identified • Client services are determined and established to stakeholders' satisfaction • Stakeholder relationships are maintained through a range of communication mechanisms • A service support structure is established and made known to clients
Determine assessment boundaries	<ul style="list-style-type: none"> • The purpose(s) of the assessment system is established through consultation with the client and other stakeholders • A policy document is developed in consultation with stakeholders and clients • The financial, physical and human resources available to support the system are determined within agreed quality assurance procedures are identified • The system is verified to take into account the realities and constraints of particular contexts
Establish assessment system features	<ul style="list-style-type: none"> • The key operational features of the system are determined in consultation with stakeholders • The key operational features of the system are verified for fairness, equity and access with appropriate personnel and agreed features documented

Element of Competency	Performance Criteria
Match needs with resources	<ul style="list-style-type: none"> • Applicable competency standards or other performance standards are identified • The expertise and roles of internal and external individuals and organisations/partners are identified • 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
Design and develop record system	<ul style="list-style-type: none"> • A record keeping system is designed which is secure, confidential and easy to administer, yet allows the storage of complex or detailed information • 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 • The record keeping system is verified to allow for appropriate certification requirements, where relevant • Adherence to legislative requirements and procedures are established which enable the record keeping system to be updated with ease when required • The record keeping system is verified for consistency with accepted enterprise / industry procedures for record keeping
Establish procedures for the review of assessment	<ul style="list-style-type: none"> • Review procedures are designed consultation with stakeholders and verified to allow for fair and consistent responses to grievances • Review procedures are designed to ensure that relevant legislative and regulatory requirements are met

Element of Competency	Performance Criteria
Select and provide for training and support of assessors	<ul style="list-style-type: none"> • Selection criteria for assessors is established in consultation with appropriate personnel • Appropriate training strategies or programs for assessors to acquire or update competencies are identified, modified or developed • Training programs selected or developed for assessors are verified to meet the Assessment and Workplace Training Competency Standards and other required competencies
Establish quality assurance procedures	<ul style="list-style-type: none"> • A quality assurance team or committee is established in consultation with system stakeholders • Quality assurance procedures, including verification processes are developed in consultation with system stakeholders • The verification processes involve a representative sample of assessment activities and make effective use of resources • The quality assurance procedures are trialed for fairness, efficiency and effectiveness • The quality assurance procedures are documented and distributed to assessors/trainers and other appropriate personnel • Procedures are established to determine the level of compliance with the assessment system

Range of Variables
<p>Clients needs may include:</p> <ul style="list-style-type: none"> • increased productivity • increased enterprise profitability • attainment of specified industry or enterprise competencies • achievement of community priorities • achievement of government priorities
<p>Stakeholders may include:</p> <ul style="list-style-type: none"> • 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
<p>Key operational features may include:</p> <ul style="list-style-type: none"> • 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

Range of Variables
<p>Purpose of assessment may include:</p> <ul style="list-style-type: none"> • 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
<p>Operational constraints may include:</p> <ul style="list-style-type: none"> • time available • relative cost • availability of stakeholders and other personnel • budgetary constraints • geographical and resource constraints.
<p>Quality assurance procedures may include may include:</p> <ul style="list-style-type: none"> • 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.
<p>Sources of information may include:</p> <ul style="list-style-type: none"> • 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

Range of Variables
<p>Policy may include:</p> <ul style="list-style-type: none">• 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
<p>Characteristics of persons being assessed may include:</p> <ul style="list-style-type: none">• 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
<p>Record system may include:</p> <ul style="list-style-type: none">• paper-based system, such as forms on checklists• computer-based system using magnetic or optical storage• combination of both paper and computer-based system <p><i>NB- statutory and government regulations for maintaining records may vary</i></p>

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

Evidence Guide**Resource implications:**

Access to relevant clients, stakeholders and sources of information required 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						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	3	3	3	3	3	3

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

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.

Element of Competency	Performance Criteria
Communicate the system	<ul style="list-style-type: none"> • System features and procedures are documented and circulated to appropriate personnel • Procedures are established for keeping appropriate personnel regularly informed about the key features of the training and assessment system • Recognised products and services are accurately presented to prospective clients • The contribution of training and assessment to organisational goals is reported
Support trainers and/or assessors	<ul style="list-style-type: none"> • Checks are made to ensure assessors and/or trainers meet the relevant competency standards and system requirements • The training needs of trainers and/or assessors arising from their roles are identified • Procedures are developed for trainers and/or assessors to update competency, and to review and reflect on their work • Trainers and/or assessors are provided with accurate advice and ongoing support in their roles • Procedures to facilitate networking amongst trainers and assessors are established
Manage the record keeping system	<ul style="list-style-type: none"> • Records are maintained for currency and adherence to government regulatory and organisational requirements • The record keeping system is maintained to ensure confidentiality and security of information • The record keeping system is reviewed and updated to meet changing technology and system requirements

Element of Competency	Performance Criteria
Maintain quality assurance procedures	<ul style="list-style-type: none"> • The quality assurance procedures are monitored against requirements, non conformities are noted and appropriate action is taken • Internal audits of the training and assessment system are undertaken, non-conformities are noted and corrective action implemented • Information from the quality assurance process is used to: <ul style="list-style-type: none"> - 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 • Validity, reliability, fairness and accuracy of the implementation of the training and assessment system is checked and reports developed
Maintain records for audits	<ul style="list-style-type: none"> • Verification records are accurate and the frequency and purpose of audits are identified • Accurate reports on audits and advisory activities are made available • Reports describe accurately whether the organisation meets the required criteria • 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 • Clear recommendations for improvements to training and assessment practices, training and assessment system and infrastructure requirements are developed • Identified good practice is reported clearly and accurately

Range of Variables
<p>Appropriate personnel may include:</p> <ul style="list-style-type: none"> • 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
<p>Purposes of assessment may include:</p> <ul style="list-style-type: none"> • diagnosing performance • classifying an employee • confirming an employee's 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
<p>Purpose of training may include:</p> <ul style="list-style-type: none"> • 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
<p>System may be developed by:</p> <ul style="list-style-type: none"> • the industry • the enterprise • the training organisation • a combination of the above

Range of Variables
<p>Policies may include:</p> <ul style="list-style-type: none"> • 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
<p>Operational constraints may include:</p> <ul style="list-style-type: none"> • time available for the development of competencies • relative cost of information gathering strategies • availability of stakeholders for review and feedback
<p>Quality assurance procedures may include:</p> <ul style="list-style-type: none"> • 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 <p><i>The auditing body may be State/Territory Training/Recognition Authority.</i></p>

Range of Variables**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.

Evidence Guide
<p>Required knowledge and skills:</p> <ul style="list-style-type: none"> • 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
<p>Resource implications: Access to a training and assessment system and relevant information and resources on management and review procedures.</p>
<p>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.</p>
<p>Context for assessment: Assessment may occur on the job or in a simulated workplace.</p>

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	3	3	3	3	3	3

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

This unit covers the requirements for a person to evaluate an external or internal training and assessment system.

Element of Competency	Performance Criteria
Plan a system evaluation	<ul style="list-style-type: none"> • The purpose and role of the evaluation is identified and confirmed with client and stakeholders • The system is defined in terms of location, purpose, and personnel • The needs of the stakeholders of the system are identified and prioritised • The necessary resources for the evaluation are identified, obtained or developed • The evaluation plan is agreed to by stakeholders including: <ul style="list-style-type: none"> - 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 • The evidence required for making decisions of system improvement is established • Evidence gathering instruments, procedures are sources of information are identified, developed and validated for reliability and validity • Cost effective methods utilising an appropriate evaluation model are linked to the purpose of the evaluation
Conduct the evaluation	<ul style="list-style-type: none"> • Evidence is collected in accordance with agreed evaluation procedures • The evidence is interpreted at the individual and aggregate levels and strengths and weaknesses of the system are identified

Element of Competency	Performance Criteria
Report on evaluation findings	<ul style="list-style-type: none">• The differing communication needs of the stakeholders are identified• A range of report formats on the evaluation are prepared to meet the differing needs of stakeholders
Develop intervention strategies	<ul style="list-style-type: none">• Key components of the changes required are identified, constraints determined and resources required for implementation determined• A review process for monitoring and evaluating both the change and its effect is determined

Range of Variables
Clients needs may include: <ul style="list-style-type: none">• 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: <ul style="list-style-type: none">• diagnosing performance• classifying an employee• confirming an employee's 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: <ul style="list-style-type: none">• 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: <ul style="list-style-type: none">• the industry• the enterprise• the training organisation• a combination of the above

Range of Variables
<p>Policies may include:</p> <ul style="list-style-type: none"> • 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
<p>Stakeholders may include:</p> <ul style="list-style-type: none"> • 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
<p>Operational constraints may include:</p> <ul style="list-style-type: none"> • time, resources and locations available • cost of evidence gathering strategies • availability of stakeholders for review and feedback • government, organisational, industry requirements and procedures

Range of Variables**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 (eg. satisfaction with the program)
 - cognitive (eg. knowledge or skill gain)
 - performance or behaviour (eg. 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

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Range of Variables

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- 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
<p>Critical aspects of evidence</p> <p>Assessment requires evidence of the following products to be collected:</p> <ul style="list-style-type: none"> • 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 <p>Assessment requires evidence of the following processes to be provided:</p> <ul style="list-style-type: none"> • how client, 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
<p>Interdependent assessment of units:</p> <p>This unit of competency may be assessed in conjunction with other units that form part of a job role.</p>
<p>Required knowledge and skills:</p> <ul style="list-style-type: none"> • 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

Evidence Guide**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						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	3	3	3	3	3	3

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

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.

Element of Competency	Performance Criteria
Establish evidence requirements	<ul style="list-style-type: none"> • The purpose of the assessment and the target group to be assessed is identified and confirmed with stakeholders • The type of evidence required to infer competency is established and the process of interpreting and recording the evidence is established and documented • Evidence requirements are specified to assure coverage of the key components of competency • Evidence requirements are specified to assure: <ul style="list-style-type: none"> - validity - currency - authenticity - sufficiency • Where additional levels of competence are used, criteria for making judgements for different levels of competency are defined • Links to existing relevant assessment system(s) are defined, including: <ul style="list-style-type: none"> - recording and reporting requirements - appropriate personnel and requirements for receiving information about the assessment - appeal process - quality assurance mechanisms • Any additional review mechanisms are identified and documented • The reporting formats for the assessment process and recording of outcomes are designed • The development, implementation and review costs of the assessment procedure are estimated

Element of Competency	Performance Criteria
Identify assessment methods	<ul style="list-style-type: none"> • The context and location of assessments are described and specified • The facilities and physical resources needed to conduct assessments are identified and documented • A range of assessment methods for gathering evidence in relation to the competencies to be assessed are evaluated for: <ul style="list-style-type: none"> - type and amount of evidence required - validity - reliability - fairness - cost effectiveness - administration ease - the characteristics of the target group • The number of assessors and any required supports to implement the assessment process is determined • The instructions for the persons being assessed are drafted • The assessment method(s) to be used are selected and allowable adjustments are proposed to cater for characteristics of persons being assessed • The required evidence of competency to be demonstrated or supplied by the persons being assessed • The instructions for interpreting the evidence and making a decision of competence are documented • Descriptions of likely performances are established and verified with appropriate personnel • Other related competencies are identified for inferring full or partial competence from the evidence gathered • The rules for verifying assessment decisions are determined • Any limits, variations or restrictions on the assessment tools are specified

Element of Competency	Performance Criteria
Identify potential available assessment tools	<ul style="list-style-type: none"> • Available assessment tools appropriate to evidence required to infer competency are identified and evaluated in relation to applicability for the: <ul style="list-style-type: none"> - characteristics of persons being assessed - assessment contexts - assessors • A panel of specialists is convened to critique tools for: <ul style="list-style-type: none"> - reliability - validity - fairness - relevance to the workplace context - content accuracy - ease of use - cost effectiveness - appropriateness of language - avoidance of bias • Adjustments to the tools and methods are made to ensure applicability to the context, competencies and characteristics of persons being assessed
Trial the assessment methods and tools	<ul style="list-style-type: none"> • The tools and assessment method are trialed with a sample from the target group • Allowable adjustments to the assessment method and tools are drafted • Assessors (if required) are trained to administer the assessment tools in a consistent manner • The assessments tools and methods are administered to the target sample • Responses from the target sample and the assessors are compiled and analysed • The appropriateness of the assessment method and the ease of use and language level of the assessment tools are determined • Improvements and changes to the assessment tools are made where necessary

Element of Competency	Performance Criteria
Document assessment procedures	<ul style="list-style-type: none">• Any influences that may affect (bias) the assessment decision are identified and documented• Any allowable adjustments to the assessment methods and tools to meet the characteristics of persons being assessed are documented• The criteria for making decisions of competent or not yet competent are reviewed, and if necessary, adjusted• The assessment procedure(s) and administration instructions are documented

Range of Variables
<p>Stakeholders may include:</p> <ul style="list-style-type: none">• 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
<p>Target group may include:</p> <ul style="list-style-type: none">• an enterprise• a department/division• a job role/occupation• an industry sector• a professional association• a trade• community sector• government organisation
<p>Purpose of assessment:</p> <ul style="list-style-type: none">• diagnosing performance;• classifying an employee• confirming an employee's 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

Range of Variables
<p>Evidence for assessment:</p> <ul style="list-style-type: none"> • type of evidence may include: <ul style="list-style-type: none"> - indirect - direct - supplementary - combination of the above • evidence might be interpreted using a range of reference frames. These include: <ul style="list-style-type: none"> - criterion referenced frames - linkages of evidence to competency standards - prediction of workplace performance
<p>Characteristics of persons being assessed:</p> <ul style="list-style-type: none"> • 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
<p>Appropriateness of evidence types may include:</p> <ul style="list-style-type: none"> • cost effectiveness • practicability • flexibility • communication skills of person(s) being assessed • assessment experience and characteristics of persons being assessed
<p>Assessment methods may include combinations of:</p> <ul style="list-style-type: none"> • 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

Range of Variables
<p>Allowable adjustment to assessment methods/tools may include:</p> <ul style="list-style-type: none"> • provision of support services (eg. Auslan interpreter, reader, interpreter, attendant carer, scribe) • use of special equipment (eg. word processor or lifting gear) • adaptive technology • shorter assessment to allow for fatigue or medication • use of large print version of any papers
<p>Specialist panel may include:</p> <ul style="list-style-type: none"> • technical specialists • language, literacy and numeracy specialists • assessment specialists • management and enterprise representatives • industry representatives • union/employee representatives • potential and past candidates
<p>Operational constraints may include:</p> <ul style="list-style-type: none"> • 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
<p>Record systems may include:</p> <ul style="list-style-type: none"> • paper based systems • computer-based systems using magnetic or optical storage • combination of both paper and computer based systems <p><i>NB: statutory and legislative requirements for maintaining records may vary in States/territories</i></p>

Range of Variables**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 BSZ507A.

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

Evidence Guide**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						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	3	3	3	3	3	3

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

This assessment unit covers the requirements for selecting, developing, validating and documenting new assessment tools to be used by assessors.

Element of Competency	Performance Criteria
Identify the context for the assessment tool	<ul style="list-style-type: none"> • The purpose of the assessment, the target group and the competency or other standard of performance to be assessed is identified • Evidence required to infer competency is identified • Assessment methods are evaluated to establish requirements of assessment tools, particularly: <ul style="list-style-type: none"> - resources and requirements for the assessment tools - assessment location and context - administration ease - the characteristics of the target group • Requirements of the assessment system in relation to the assessment tools are identified: <ul style="list-style-type: none"> - storage and security of documentation - appropriate personnel and differing needs for receiving information about the assessment tools - evaluation and review process - quality assurance mechanisms • Development, implementation and review plans costs of the assessment tools development are estimated • A plan for the development of the assessment tools is prepared

Element of Competency	Performance Criteria
Draft assessment tools in accordance with plan	<ul style="list-style-type: none"> • Assessment tools are designed to assess the relevant competencies using appropriate: <ul style="list-style-type: none"> - format - language, numeracy requirements - visual representation and where appropriate sound - question and activity types - media - sequence of activities - choice in activities • Assessment tools require the person being assessed to demonstrate the components of competency • The assessment tools are checked for the following characteristics: <ul style="list-style-type: none"> - 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 • Adjustments to the tools and procedures are made as required
Develop instructions for assessment tools	<ul style="list-style-type: none"> • The instructions for the persons to be assessed are drafted • 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 • Evidence of competency to be demonstrated is documented and incorporated in the assessment tools • Allowable adjustments identified in the assessment procedures are noted and included in the instructions • The rules for verifying assessment decisions are identified and any limits, variations or restrictions on the assessment tools are specified

Element of Competency	Performance Criteria
Pilot the assessment tools	<ul style="list-style-type: none"> • The tools are piloted with a small sample selected across the range of the target group • Feedback 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: <ul style="list-style-type: none"> - 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 • Improvements and changes to the assessment tools are made where necessary
Validate assessment tools	<ul style="list-style-type: none"> • An adequate sample of the target group to be assessed is selected • Assessors are trained (if required), to administer the assessment tools in a consistent manner • The assessment tools are administered to the target sample responses compiled and analysed assessment tools are modified according to the findings • Any influences that may affect (bias) the assessment decision are identified and documented
Finalise assessment tools	<ul style="list-style-type: none"> • Validated and appropriately amended tools are incorporated in assessment procedure(s) • Documentation in paper and/or electronic form is filed in appropriate secure, accessible locations

Range of Variables
<p>Target group may include:</p> <ul style="list-style-type: none"> • an enterprise • a department/division • a job role/occupation • an industry sector • a professional association • a trade • a community organisation • a government organisation
<p>Purpose of assessment may include:</p> <ul style="list-style-type: none"> • diagnosing performance • classifying an employee • confirming an employee's 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
<p>Evidence for assessment may include:</p> <ul style="list-style-type: none"> • type of evidence may include: <ul style="list-style-type: none"> - direct - indirect - supplementary - combination of the above • evidence might be interpreted using a range of reference frames including: <ul style="list-style-type: none"> - criterion referenced frames - linkages of evidence to competency standards - prediction of workplace performance
<p>Appropriateness of evidence types includes:</p> <ul style="list-style-type: none"> • cost effectiveness • practicability • communication skills of person(s) being assessed • assessment experience and special needs of person(s) being assessed

Range of Variables
<p>Components of competency include:</p> <ul style="list-style-type: none"> • task skills • task management skills • contingency management skills • job/role environment skills • transfer and application of skills and knowledge to new contexts
<p>Assessment system may include:</p> <ul style="list-style-type: none"> • the assessment system may be developed (and endorsed) by: <ul style="list-style-type: none"> - the industry - the enterprise - the Registered Training Organisation - a combination of the above • the assessment system should specify the following: <ul style="list-style-type: none"> - 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 - auspicings arrangements, if applicable - partnership arrangements, if applicable
<p>Allowable adjustment to assessment tools include:</p> <ul style="list-style-type: none"> • provision of support services (eg. Auslan interpreter, reader, interpreter, attendant carer, scribe) • use of special equipment (eg. word processor or lifting gear) • adaptive technology • shorter assessment to allow for fatigue or medication • use of large print version of any papers

Range of Variables**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 BSZ506A.

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 irrelevant information relevant 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

Evidence Guide**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						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	3	3	3	3	3	3

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

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

Element of Competency	Performance Criteria
Determine the need for a course	<ul style="list-style-type: none"> • Stakeholders are identified and consulted to establish training aims and requirements • Course proposal is outlined in terms of stakeholders aims • Relevant endorsed training packages and curriculum are sourced and assessed for relevance to course proposal • Any licensing/regulatory or government policies relevant to the course proposal are identified • Potential employment markets and career opportunities for training participants are recorded and documented • Results of monitoring activities for related courses are sourced and analysed, where appropriate
Identify the learner profile	<ul style="list-style-type: none"> • Potential learners are identified • Profiles of learners on entry to the course are developed and learner profiles are examined to determine language and literacy requirements
Develop course structure	<ul style="list-style-type: none"> • Core and elective units/modules are identified • The relationship between units of competence/ modules and course outcomes is documented • Entry and exit points are identified and documented • Prerequisites for the course and for specific units/ modules within the course are identified and documented

Element of Competency	Performance Criteria
Determine the training and assessment requirements	<ul style="list-style-type: none"> • The professional development and competency requirements of trainers and assessors are identified in consultation with appropriate personnel • The trainer and assessor requirements are checked for consistency with industry/training package assessment guidelines, where appropriate • Essential learning resources, materials, facilities, equipment and human resources are identified
Define the training content	<ul style="list-style-type: none"> • The competencies to be acquired by learners are clearly specified • Entry level competencies are identified and documented • Requirements for on the job training or assessment are identified and documented • Appropriate evidence and assessment methods are identified and documented
Develop course monitoring arrangements	<ul style="list-style-type: none"> • Mechanisms for ongoing course monitoring are negotiated, agreed and documented in consultation with appropriate personnel • Arrangements to enable course outcomes to be evaluated against relevant performance indicators including industry/enterprise competency standards and learner needs are defined and documented
Identify career/educational pathways	<ul style="list-style-type: none"> • Course entry and exit points are linked to occupational and educational opportunities • Articulation points with higher or related qualifications are identified, negotiated with course owners and documented

Range of Variables
<p>Stakeholders and relevant parties may include:</p> <ul style="list-style-type: none"> • 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
<p>Licensing, regulatory and government policies may include:</p> <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> - 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
<p>A training course proposal may include:</p> <ul style="list-style-type: none"> • stakeholder(s) aims and objectives • course outcomes • identified learners • career and educational pathways • scope and need for course

Range of Variables
<p>A training course may include:</p> <ul style="list-style-type: none"> • suite of training programs (or modules) courses may be designed and documented (curriculum) to: <ul style="list-style-type: none"> - 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
<p>Learner profiles might include:</p> <ul style="list-style-type: none"> • generic or technical competencies of potential clients • relevant prior learning (formal and informal) and employment • language, literacy and numeracy skills
<p>Course outcomes may include:</p> <ul style="list-style-type: none"> • qualifications • units of competence • learning outcomes (module/program outcomes) • satisfaction of requirements for: <ul style="list-style-type: none"> - licensing - memberships of professional associations - further education opportunities - employment
<p>Course monitoring arrangements may include:</p> <ul style="list-style-type: none"> • 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
<p>Appropriate personnel may include:</p> <ul style="list-style-type: none"> • support personnel (administration) • technical experts (eg. language and literacy specialists) • supervisors/managers • assessment/training personnel • other training organisations (partners) • existing and former learners

Range of Variables**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 & safety procedures
- applicable State, Territory, Commonwealth legislation and related regulations concerning:
 - occupational health & 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 irrelevant information relevant 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 OHS and other workplace policies and procedures and any related legislation or regulatory requirements

Evidence Guide**Resource implications:**

Access to stakeholders, information and resources to meet the required skills and knowledge and 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						
Utilisation of the Key Competencies required in the performance of this unit						
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology
3	3	3	3	3	3	3

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

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.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Participate in planning the introduction of change	<ul style="list-style-type: none"> • The manager contributes effectively in the organisations planning processes to introduce change • Plans to introduce change are made in consultation with designated individuals/groups • The organisation's objectives and plans to introduce change are explained clearly to individuals/teams
Develop creative and flexible approaches and solutions	<ul style="list-style-type: none"> • Alternative approaches to managing workplace issues and problems are identified and analysed • Risks are assessed and action is taken to achieve a recognised benefit or advantage to the organisation • The workplace is managed in a way which promotes the development of innovative approaches and outcomes • Creative and responsive approaches to resource management improves productivity and/or reduces costs in a competitive environment
Manage emerging challenges and opportunities	<ul style="list-style-type: none"> • Individuals/teams respond effectively and efficiently to changes in the organisations goals, plans and priorities • Coaching and mentoring assists individuals/teams develop competencies to handle change efficiently and effectively • The manager uses opportunities within their responsibility and authority to make adjustments to respond to the changing needs of customers and the organisation • Individuals/teams are kept informed of progress in the implementation of change • Recommendations for improving the methods/techniques to manage change are negotiated with designated persons/groups.

Range of Variables
<p>At AQF level 4 frontline management will normally be engaged in a workplace context in which they:</p> <ul style="list-style-type: none"> • 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 judgement for self and others in planning and using resources, services and processes to achieve outcomes within time constraints
<p>Frontline management at this level will normally operate in a relatively diverse workplace environment in which they use the organisations:</p> <ul style="list-style-type: none"> • goals, objectives, plans, systems and processes • access and equity principles and practices • quality and continuous improvement • business performance plans • processes and standards • ethical standards • defined resource parameters • they use legislation, codes and national standards relevant to the workplace
<p>A range of learning opportunities may be used, for example:</p> <ul style="list-style-type: none"> • mentoring • exchange/rotation • shadowing • coaching • action learning • structured training programs
<p>Resources may include:</p> <ul style="list-style-type: none"> • people • equipment • buildings/facilities • finance • power/energy • technology • information • time

Evidence Guide

This guideline is to assist the development of assessment instruments/tools to assess the competence of frontline management.

Typically, in providing evidence of consistent achievement of this Units workplace outcomes within the context of AQF level 4, frontline management:

- manages work effectively to achieve goals and results
- explains the organisations methods to introduce change
- acquires and uses information appropriate to work responsibility
- identifies opportunities to introduce change within responsibility and authority
- draws on the diversity of workplace to assist the organisation benefit from change
- monitors trends in the external environment to develop and maintain a competitive edge
- monitors/introduces practices to improve performance
- uses effective consultation processes
- seeks feedback and acts on constructive advice
- promotes available learning methods to support colleagues
- uses information management systems
- selects and uses available technology appropriate to the task
- uses the key competencies to achieve results.

Key Competencies							
Utilisation of the Key Competencies required in the performance of this unit							
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology	Cultural understandings
3	3	2	2	2	2	2	2

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

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.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Model high standards of management performance	<ul style="list-style-type: none"> • Performance meets the organisations requirements • Performance serves as positive role model for others • Performance plans are developed and implemented in accordance with the organisations goals and objectives • Key performance indicators are developed within the teams/organisations business plans
Enhance the organisation's image	<ul style="list-style-type: none"> • The organisations standards and values are used in conducting business • Standards and values considered to be damaging to organisation are questioned through established communication channels • Personal performance contributes to developing an organisation which has integrity and credibility
Influence individuals and teams positively	<ul style="list-style-type: none"> • Expectations, roles and responsibilities are communicated in a way which encourages individuals/teams to take responsibility for their work. • Individuals/teams efforts and contributions are encouraged, valued and rewarded • Ideas and information receive the acceptance and support of colleagues

Element of Competency	Performance Criteria
Make informed decisions	<p data-bbox="678 310 1318 373">Information relevant to the issue(s) under consideration is gathered and organised</p> <p data-bbox="678 407 1351 470">Individuals/teams participate actively in the decision making processes</p> <p data-bbox="678 504 1334 567">Options are examined and their associated risks assessed to determine preferred course(s) of action</p> <p data-bbox="678 600 1230 663">Decisions are timely and communicated clearly to individuals/teams</p> <p data-bbox="678 697 1302 760">Plans to implement decisions are prepared and agreed by relevant individuals/teams</p> <p data-bbox="678 793 1286 856">Feedback processes are used effectively to monitor the implementation and impact of decisions</p>

Range of Variables

At ASF level 5 frontline management 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 management at this level will normally operate in diverse and complex workplace environments in which they use the organisations:

- 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

Evidence Guide

This guideline is to assist the development of assessment instruments/tools to assess the competence of frontline management.

Typically, in providing evidence of consistent achievement of this Units workplace outcomes within the context of ASF level 5, frontline management:

- manages effectively in diverse work environments and contexts
- achieves planned results
- researches, acquires and uses information appropriate to work responsibility
- makes decisions within responsibility and authority
- explains the organisations goals, values and objectives
- negotiates, establishes and monitors Key Performance Indicators for individuals/teams
- manages work effectively to achieve goals and results
- monitors/introduces practices to improve performance
- uses modern management techniques in work performance
- contributes to the organisations standards and values
- uses effective consultative processes
- communicates routine and non-routine information clearly to senior managers, peers and subordinates
- promotes available learning methods to support colleagues competence
- uses information management systems
- selects and uses available technology appropriate to the task
- uses the key competencies to achieve results

Key Competencies							
Utilisation of the Key Competencies required in the performance of this unit							
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology	Cultural understandings
3	3	3	2	1	3	2	3

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

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.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Gather, convey and receive information and ideas	<ul style="list-style-type: none"> • Information to achieve work responsibilities is collected from appropriate sources. • The method(s) used to communicate ideas and information is appropriate to the audience. • Communication takes into account social and cultural diversity. • Input from internal and external sources is sought, and valued in developing and refining new ideas and approaches.
Develop trust and confidence	<ul style="list-style-type: none"> • People are treated with integrity, respect and empathy. • The organisations social, ethical and business standards are used to develop and maintain positive relationships. • Trust and confidence of colleagues, customers and suppliers is gained and maintained through competent performance. • Interpersonal styles and methods are adjusted to the social and cultural environment.
Build and maintain networks and relationships	<ul style="list-style-type: none"> • Networking is used to identify and build relationships. • Networks and other work relationships provide identifiable benefits for the team and organisation. • Cross-cultural cooperation results in positive outcomes for individuals, teams and the organisation. • Coaching and mentoring is used to assist colleagues develop effective relationships in a diverse workplace.

Element of Competency	Performance Criteria
Manage difficulties to achieve positive outcomes	<ul style="list-style-type: none">• Problems are identified and analysed, and action is taken to rectify the situation with minimal disruption to performance.• Colleagues receive guidance and support to resolve their work difficulties.• Continued poor performance is managed within the organisations processes.• Conflict is managed constructively within the organisations processes.• Difficult situations are negotiated to achieve results acceptable to the participants, and which meet organisation and legislative requirements.

Range of Variables
<p>At AQF level 5 frontline management will normally be engaged in a workplace context in which they:</p> <ul style="list-style-type: none"> • 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 areas 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.
<p>Frontline management at this level will normally operate in diverse and complex workplace environments in which they use the organisations:</p> <ul style="list-style-type: none"> • goals, objectives, plans and systems • quality and continuous improvement and processes • processes and standards • business and performance plans • resources, which may be subject to negotiation • ethical standards
<p>They use legislation, codes and national standards relevant to the workplace. A range of learning opportunities may be used, for example:</p> <ul style="list-style-type: none"> • mentoring • action learning • coaching • shadowing • exchange/rotation • structured training programs
<p>Customers and suppliers may be:</p> <ul style="list-style-type: none"> • internal or external • 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 management.

Typically, in providing evidence of consistent achievement of this Units workplace outcomes within the context of AQF level 5, frontline management:

- manages relationships effectively to achieve goals/results
- researches, acquires and uses information appropriate to work responsibility
- monitors and introduces ways to improve work relationships in a diverse and complex workplace
- performs in a way which strengthens and reinforces relationships
- develops effective relationships in diverse internal and external environments
- mixes confidently in a broad range of people
- communicates clearly and concisely
- responds effectively to unexpected demands from a range of sources
- provides honest and constructive feedback
- uses effective consultative processes
- encourages contrary views to be submitted and discussed
- treats people openly and fairly
- contributes to the removal of bias/discrimination in the workplace
- develops constructive responses when confronted with problems and difficulties
- uses information management systems
- selects and uses available technology appropriate to the task
- uses the key competencies to achieve results (see following table)

Key Competencies							
Utilisation of the Key Competencies required in the performance of this unit							
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology	Cultural understandings
3	3	3	3	1	3	2	3

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes

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 organisations policies and practices as well as legislation, conventions and codes of practice.

This unit can be assessed alone or in combination with other units making up a job role.

Element of Competency	Performance Criteria
Plan to meet internal and external customer requirements	<ul style="list-style-type: none"> • The needs of customers are researched, understood, and assessed, and included in the planning process • Provision is made in plans to achieve the quality, time and cost specifications agreed with customers
Ensure delivery of quality products/services	<ul style="list-style-type: none"> • Products/services are delivered to customer specifications within the teams/organisations business plan • Individual/team performance consistently meets quality, safety, resource and delivery standards • Coaching and mentoring assists colleagues overcome difficulty in meeting customer service standards
Monitor, adjust and report customer service	<ul style="list-style-type: none"> • The organisations systems and technology are used to monitor progress in achieving product/service targets and standards • Customer feedback is sought and used to improve the provision of products/services • Resources are used effectively and efficiently to provide quality products/services to customers • Decisions to overcome problems with products/services are taken in consultation with designated individuals/groups • Adjustments are made to products/services, and those who have a role in their planning and delivery are informed of changes • Records, reports and recommendations are managed within the organisations systems and processes

Range of Variables

At AQF level 5 frontline management 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 management at this level will normally operate in diverse and complex workplace environments in which they use the organisations:

- 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

Range of Variables
<p>Resources may include:</p> <ul style="list-style-type: none">• people• power/energy• information• finance• buildings/facilities• time• equipment• technology
<p>Customers may be:</p> <ul style="list-style-type: none">• internal or external• 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 management.

Typically, in providing evidence of consistent achievement of this Units workplace outcomes within the context of AQF level 5, frontline management:

- manages work effectively to achieve goals and results
- manages products/services within budget constraints
- makes decisions within responsibility and authority in a diverse and complex workplace
- researches, acquires and uses information appropriate to work responsibility
- monitors/introduces ways to improve products/services
- uses effective consultative processes
- ensures that legislation and standards are met in providing customer service
- develops and maintains effective communication with customers
- seeks customer feedback and acts on constructive advice
- treats people openly and fairly
- promotes available learning methods to enable colleagues to maintain current competence
- prepares and negotiates recommendations to improve customer service
- uses information management systems
- selects and uses available technology appropriate to the task
- uses the key competencies to achieve results

Key Competencies							
Utilisation of the Key Competencies required in the performance of this unit							
Communicating ideas and information	Collecting, analysing and organising information	Planning and organising activities	Working with others in a team	Using mathematical ideas and techniques	Solving problems	Using technology	Cultural understandings
3	3	3	3	3	2	3	3

Performance levels:

Level 1

- carries out established processes
- makes judgements of quality using given criteria

Level 2

- manages processes
- selects the criteria for the evaluation process

Level 3

- establishes principles and processes
- evaluates and reshapes processes
- establishes criteria for evaluation of processes