Administration Training Package BSA97
Legal Services
Competency Standards
Level 4

CONTENTS

BSALPP401A   **Prepare and produce complex legal documents**

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

This Unit has been adapted from BSATEC401B Produce complex documents.

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

Element of Competency	Performance Criteria
Establish document design and structure	- Requirements of the task are identified - Software appropriate to the task is selected - Document design and structure are determined - Document is designed and structured to meet *designated criteria* - Existing precedent documents are reviewed for appropriateness - Can build new precedents from existing documents
Develop precedents and macros for document design	- Precedents and macros are developed and used to ensure consistency of design and layout - Templates and macros are evaluated and amended to ensure document requirements can be met - Macros are linked as required - Improvements to the structure/design of *existing documents* are suggested and a review process of suggested improvements is facilitated

Element of Competency	Performance Criteria
Organise self or others to produce documents	- Documents are prepared using appropriate and available precedent documents according to *a firm's policies and procedures* - Relevant data is entered and edited accurately - A range of *advanced functions* are used to ensure the accurate completion of the task - Documents are checked for spelling, grammar numeric data and layout - Documents are proofread for accuracy of contents and consistency of layout and style - Modifications are made to meet required specifications
Organise self or others to print documents	- Documents are printed as required - Review of documents is arranged with the *designated person/section* - Final printing of document is undertaken
Save file and exit system	- Document is saved and stored in appropriate directory or folder - File is closed and applications programs are exited without loss of data - Back up copies of files are made in accordance with *specified procedures* if required - Disks/data are filed and stored in accordance with *a firm's policies and procedures*

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Range of Variables

Software packages may include
- word processing
- database
- spreadsheet
- page layout software
- graphics
- document management software

Documents may include:
- precedents
- contracts
- research reports
- costings
- promotional brochure
- in-house newsletter

Document design and structure may include:
- firm style and letterhead constraints
- links to existing information
- use of AutoText
- merging of information
- legislated document layout guidelines

Designated criteria may include:
- a firm's requirements
- legal practitioner's requirements
- legislative requirements

Existing documents may include:
- existing precedents
- developed contracts/documents
- specialist/technical texts and vocabulary

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Range of Variables
Advanced functions may include: • templates • macros • linking macros • AutoText • glossaries • table of contents • index • formatting, e.g. defining styles • importing graphs, sections, margins • scanner/colour printer

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Range of Variables

A firm's policies and procedures **may include:**
- authorising precedent changes
- authorising creation of new legal precedents
- backup procedures
- initiation of files
- accessing files
- updating files
- file maintenance
- storage of disks/data
- office procedure manual
- information sources
- information specific to the firm
- security/confidentiality/ privacy procedures
- verifying and authorising information
- recording information

Designated person **may include:**
- lawyer
- partner
- legal practice manager
- accountant

The area of law may include*:
- commercial law
- corporate law
- criminal law
- family law
- industrial relations/employment law
- property law
- tax law
- litigation
- wills

* 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 area of law
- employee-employer agreements and legislation

Relevant legislation may relate to:
- Occupational Health and Safety
- Copyright

Range of Variables

Timelines for completion of documents may be affected by:
- client needs
- availability of information resources
- legal or procedural requirements
- operator's workload

Difficulties which may need management may include:
- available resources
- client needs
- liaising with others
- technical difficulties
- alterations to instructions

Precedents relevant to the particular area of law may include:
- leases
- mortgages
- contracts
- transfer of shares
- wills
- *a firm's templates*
- agreements
- letter confirming client's instructions and rights
- court documents
- standard letters

The precedent bank may be:
- in-house
- external
- on-line
- stored pre-printed forms

Evidence Guide

Critical aspects:
- where instructing others, instructions are clear with adequate explanation to allow the task to be completed
- assistance and/or advice is provided to others
- where instructing others, supervision is provided throughout the task in relation to:
  - ensuring that work is completed within timelines
  - ensuring that correct technical process is employed
  - checking produced document meets requirements
  - checking documents for mistakes
  - checking that document is saved appropriately
  - ensuring that confidentiality and security of information is maintained
  - ensuring that problems are solved efficiently
- OHS guidelines relating to screen based equipment and ergonomic workstations are observed
- speed and accuracy are to *the firm's standards. (This may be the standard in Standards Australia AS 2708-1991 Typing Speed or AS 3549-1989 Typing Accuracy)*
- difficulties, irregularities or uncertainties are resolved expediently
- firm's style, layout etc is followed in preparation of documents
- defaults are set correctly
- templates are used in preference over new layouts
- macros are established where any shortcuts are possible
- disparate macros are integrated to facilitate more efficient document production where appropriate
- improvements to the structure and design of existing documents are explained and demonstrated
- document is produced and presented with correct enclosures if required, to *designated person* within *agreed timelines*
- non-disclosable information is not communicated and where any doubt exists as to the information's status it is not disclosed
- 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

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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 manuals and reference materials such as company policy, procedural manuals and checklists
- appropriate technology such as computers with relevant software, photocopier, colour printers and binding machine

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Evidence Guide

Consistency in performance:
This unit of competency will require evidence to be collected across a range of events, eg. dealing with different types of 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
- simulation
- skills portfolio
- third party reports

Evidence Guide

Underpinning knowledge and skills

Knowledge
- appropriate software, document design and structure
- developing and testing templates and macros
- creating links between macros
- a range of advanced functions and how to apply them appropriately
- OHS
- appropriate sources of assistance, content and technological
- appropriate technology, short cuts, AutoText
- application of *a firm's policies and procedures* required in the full range of tasks covered

Skills
- literacy: follows complex legal procedures; considers aspects of context, purpose and audience when generating and formatting texts; reads a range of procedural and technical texts to identify the most appropriate software application; uses a variety of strategies for planning and reviewing own work; demonstrates drafting techniques
- communication: follows and interprets oral instructions; provides clear and specific instructions about information required;
- proofreading and editing: ensures clarity of meaning and conformity to enterprise requirements; checks for accuracy and consistency of information by consulting additional resources
- problem solving: uses processes flexibly and interchangeably
- numeracy: collates and presents data, graphs and annotated references; adheres to designated timelines
- keyboarding; uses a range of advanced functions of software applications

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BSALPP401A   **Prepare and produce complex legal documents**

<table>
<tr><td colspan="7" align="center">Key Competencies</td></tr>
<tr><td colspan="7">Utilisation of the Key Competencies required in the performance of this unit</td></tr>
<tr>
<td>Communicating ideas and information</td>
<td>Collecting, analysing and organising information</td>
<td>Planning and organising activities</td>
<td>Working with others in a team</td>
<td>Using mathematical ideas and techniques</td>
<td>Solving problems</td>
<td>Using technology</td>
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Performance levels:

Level 1	Level 2	Level 3
• carries out established processes • makes judgements of quality using given criteria	• manages processes • selects the criteria for the evaluation process	• establishes principles and processes • evaluates and reshapes processes • establishes criteria for evaluation of processes

BSACS401A **Provide non-legal advice**

This Unit covers the supervised provision of non-legal advice in response to enquiries from non-clients or potential clients or other parties

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 is also 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. The tasks covered in this unit involve the provision of advice, accordingly a qualified legal practitioner must be supervising and instructing work covered in this unit of competency. This unit is positioned at AQF Level 4 due to the degree of responsibility required, the breadth and depth of knowledge that must be demonstrated and the level of discretion and judgement involved. Because of the sensitivity of this task people at lower levels would not undertake it – accordingly no supervision of others is involved.

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

Element of Competency	Performance Criteria
Receive enquiry	• Enquirer's needs are identified and clarified • Legal limits of own responsibility are clearly outlined to enquirer before any information is imparted • Enquiries outside the employee's area of responsibility and knowledge are identified and assistance is sought or enquiry is referred on to a legal practitioner where appropriate
Provide non-legal information	• Enquirer's details and problem/s are recorded • Non-legal information is relayed where available and appropriate • If information is not readily available, further research within legislative requirements and scope of own responsibility is pursued • Non-disclosable information is not communicated and where any doubt exists as to the information's status it is not disclosed

BSACS401A   Provide non-legal advice

Element of Competency	Performance Criteria
Consult legal practitioner to resolve legal enquiries	• Legal practitioner is contacted to discuss enquirer's needs
	• Enquirer's needs are communicated to legal practitioner and resolution/action is discussed
	• Suggested action/resolution is carried out

Range of Variables

Nature of call may include:
- legal inquiry
- non-legal inquiry
- complaint
- seeking referral
- seeking information
- someone seeking disclosable information

Method of contact may include:
- in writing
- in person
- verbal
- via third party
- email

Interaction with enquirer may be affected by factors such as:
- emotional state
- state of mental/physical health
- non-English speaking
- communication issues for eg.
  - hearing impaired
  - speech impediment

Appropriate questioning techniques may include:
- sensitivity to enquirer's emotional/physical state and cultural background
- accommodating any communication difficulties
- clarification of request or problem by summarizing and repeating back summaries to ensure that information gathered is reflective of the information that the enquirer wishes to communicate

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Appropriate advice may include basic information about:
- community legal centre
- Attorney General's department
- Law society/institute
- areas of law/practice firm handles
- correct contact in firm
- firm's charges/schedule of fees

Range of Variables

Options available to enquirer may be limited by:
- financial situation
- age
- geographic location
- physical/mental ability
- nature of enquiry being outside scope of firm's expertise

Follow up action may include:
- not pursuing the matter
- contacting Legal Aid on behalf of enquirer and/or *designated person*
- referring enquirer to *supervisor or appropriate authority* within the firm
- telephoning the enquirer after researching the appropriate information
- referring the enquirer to the appropriate government department
- referral to another law firm
- referral to a community legal centre

A firm's policies and procedures **may include:**
- information sources
- information specific to the firm
- providing disclaimers
- telephone protocol
- protocol for handling enquiries which may bring no financial return
- security/confidentiality/privacy procedures
- handling contingencies
- interviewing process
- verifying and authorising information
- recording information
- protocol for accommodating special client needs, eg. case manager, social worker, parole officer, translator, interpreter
- emergency procedures

Legislative requirements may relate to:
- 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
- the provision of legal advice by a person who is not a qualified legal practitioner as defined by the *Legal Practice Act*, *The Judiciary Act*

Range of Variables

The area of law may include*:
- 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.

Suggested action/resolution may involve:
- informing caller of resolution
- promptly contacting enquirer where appropriate
- relaying information verbally and, if directed by legal practitioner, forwarding information to enquirer in writing
- documenting and filing communication according to *a firm's procedures*
- notifying relevant department of enquiry
- recording contact on database

BSACS401A   **Provide non-legal advice**

Evidence Guide

Critical aspects:
- evidence of knowledge of *a firm's policies and procedures* for handling enquiries are adhered
- enquiries are received and handled courteously and efficiently
- evidence of knowledge of own responsibility and that of others in the firm
- problem/s within own scope of responsibility are resolved discretely and efficiently
- matter and client's contact details are recorded accurately and clarifications are sought from enquirer if necessary
- community organisations and government departments can be identified and their purposes and services can be outlined where appropriate
- judgement is exercised appropriately as to when calls should be terminated or transferred to a more experienced person and calls are terminated/transferred tactfully
- evidence of an ability to explain legal processes, procedures and terms in clear, simple language
- evidence of knowledge of where and when it is legally necessary to obtain enquirer and supervisor approval to pursue an action
- enquirer is contacted promptly and follow up information is communicated demonstrating an understanding of the mitigating effect of the a enquirer's situation
- appropriate options are suggested to the enquirer according to *a firm's policies and procedures*
- detailed file notes of enquiry and any resultant action are recorded
- 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

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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, checklists
- lists of government departments, community services, legal aid offices, community legal centres, community advocate groups, unions and referral firms

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

BSACS401A **Provide non-legal advice**

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
- 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:
- observation of performance
- role-play
- simulation
- third party reports
- questioning
- discussion

Underpinning knowledge and skills

Knowledge
- basic understanding of various forms of community assistance
- awareness of the effect of various emotional, physical and mental states and behaviours
- security, confidentiality and privacy
- application of *a firm's policies and procedures* required in the full range of tasks covered
- *a firm's invoicing procedures*
- basic understanding of legal services firm provides

Skills
- literacy: follows complex legal procedures; records and analyses nature of query
- research: elicits and sources correct information from external sources
- communication skills: participates effectively in spoken interactions by using strategies to confirm or clarify understanding; communicates ideas and arguments logically and discretely; elicits and gives factual information in response to query; consults with legal practitioners and clients;
- numeracy: record/file keeping
- problem solving: draws on experience and knowledge to ascertain whether query lies within own legal jurisdiction; suggests possible solutions or refers query to more appropriate source
- telephone etiquette
- basic conflict resolution skills

BSACS401A   **Provide non-legal advice**

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	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

BSALC401A   **Interact with other parties**

This Unit covers organising information to facilitate action, contacting relevant parties on behalf of the instructing legal practitioner and coordinating information exchange between parties

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 is also 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 for liaison	• Work activities are planned and prioritised • Required background information is obtained and relevant documents are prepared and checked by *instructing legal practitioner* • Review of background information and relevant documents is arranged with designated person • Plan of action is developed with *instructing legal practitioner* • Required background reading/research is undertaken to ensure readiness for liaison • Third party liaison takes place, where appropriate
Organise self or other to arrange appointment	• Appointment between parties is arranged, where appropriate • Critical venues and dates are documented according to *a firm's policies and procedures* • Appointments are verified in advance and verification is documented

BSALC401A   **Interact with other parties**

Element of Competency	Performance Criteria
Undertake liaison	• Liaison is undertaken in line with *a firm's confidentiality and security policies and procedures* • Requests from other parties for information are fulfilled as planned with *instructing legal practitioner* • Information is exchanged where appropriate as planned with *instructing legal practitioner* • Non-disclosable information is not communicated and where any doubt exists as to the information's status, it is not communicated • Unexpected problems of a legal nature are referred to the *instructing legal practitioner*

BSALC401A   **Interact with other parties**

Range of Variables

Other/third parties may include:
- clients
- clients' representatives
- regulatory bodies
- lawyers for opposing party
- medico/legal consultants
- barristers
- interpreters

Appropriate method of contact and procedures associated with liaison may include:
- telephone
- email
- letter
- internet
- fax
- meeting

Required background information may include:
- current file
- reports from experts
- relevant legislation
- previous dealings with client or relevant third party

Non-disclosable information may relate to:
- names of clients, witnesses or staff
- addresses of clients, witnesses or staff
- personal details of clients, witnesses or staff
- dates
- telephone numbers
- a firm's other clients
- client's medical condition
- client's personal history
- whereabouts of client/witnesses
- financial information
- details about firm itself
- passwords or security procedures
- nature of client's legal matter
- fact that the client has consulted the firm

Range of Variables

Information exchange may relate to:
- expert reports
- clarification of deadlines
- certificates
- affidavits
- assessment of financial circumstance
- progress of matter
- options for progress with matter
- briefs

A firm's policies and procedures **may include:**
- information sources
- time recording procedures
- security/confidentiality/privacy procedures
- management of legal contingencies
- documenting activities planned and undertaken
- protocol for accommodating special client needs, eg. case manager, social worker, parole officer
- protocol for contacting clients, eg. translator, interpreter
- appropriate meeting venue
- room booking procedure

The area of law may include: *
- 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.

Legislative requirements may relate to:
- 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
- Freedom of Information legislation

BSALC401A   **Interact with other parties**

Evidence Guide

Critical aspects:
- no uninstructed legal activities are undertaken
- all actions are verified by *instructing legal practitioner*
- legal status of self is clearly communicated to other party
- plan of action is developed with *instructing legal practitioner* prior to meeting
- evidence that plan of action is adhered to
- understanding of the importance of, and demonstration of confidentiality and discretion in legal matters is demonstrated
- purpose of liaison is understood
- all information is entered into relevant files and or databases
- work is carried out within *agreed timelines*
- a *firm's policies and procedures* are understood and followed
- unclear instructions or missing information is checked with *instructing legal practitioner*
- non-legal aspects of problems are identified/resolved discretely and efficiently and *instructing legal practitioner* is informed of outcome where appropriate
- legal problems are referred to *instructing legal practitioner* promptly and comprehensively
- where instructing others, instructions are clear with adequate explanation to allow the task/s to be completed
- assistance and/or advice is provided to others
- where instructing others, supervision is provided throughout to ensure that:
    - work is completed within timelines
    - problems are resolved discretely and efficiently
    - confidentiality and security of information is maintained throughout
- accurate and comprehensive file notes are made
- file/matter number is recorded on new and/or relevant documents and such documents are filed appropriately
- documentation of activities, actions, outcomes and information are presented to *instructing legal practitioner* within *agreed timelines*
- any necessary follow-up action is carried out
- files notes are updated according to *a firm's policies and procedures* and time is recorded
- 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

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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 legal dictionary, company policy, procedural manuals and checklists

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Evidence Guide

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

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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
- skills portfolio
- third party reports

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BSALC401A   **Interact with other parties**

Evidence Guide
Underpinning knowledge and skills **Knowledge** • disclosable/non-disclosable information • relevant legal process • security • confidentiality • legal terminology in relation to the applicable area of law • application of *a firm's policies and procedures* required in the full range of tasks covered • range of responsibility **Skills** • literacy: follows a *firm's policies and procedures*; understands purpose of liaison; researches and prepares information as required; identifies gaps in information • negotiation; engages in complex oral negotiations, such as reconciling points of view or bargaining; participates in small group discussion to negotiate tasks; coordinates own work schedule with others • communication: listens to and elicits appropriate information; ability to interpret and convey a firm's policies to a third party; clarifies defined purposes and objectives to be achieved by working with others; provides clear oral sequenced instructions to others • numeracy: accurate record/file keeping; adheres to designated timelines • problem solving: draws on experience and relevant examples to resolve unexpected problems and rectify gaps in information

BSALC401A   **Interact with other parties**

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	0	2	0

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

BSALC402A   **Research, locate and provide legal and other information in response to requests**

This Unit covers researching, locating and providing information in response to a request so that the client's needs are met. This may involve combining and analysing information from a number of sources before composing a report for the client.

This unit has been adapted from BSACOM401B: Organise and provide information in response to requests.

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

Element of Competency	Performance Criteria
Receive and process a request for information	• Request is documented using the *appropriate recording system* • Client's identity is confirmed and/or other party's right to receive information is confirmed • Client needs are clarified and relevant criteria are established in consultation with *designated person* to ensure client's needs are met • *Appropriate response methods and format* are researched and identified • Request for information is forwarded to *another person* where appropriate
Identify information source/s	• Relevant sources and locations of information are identified and researched • Access to identified sources is obtained

BSALC402A **Research, locate and provide legal and other information in response to requests**

Element of Competency	Performance Criteria
Organise self or other(s) to extract information	• Information relevant to the particular request is located and extracted • Resolutions to problems accessing information are discussed with *designated person* and implemented where appropriate • Copy of extracted information is made in accordance with *a firm's security and confidentiality procedures* • Integrity of contents/information is maintained
Ensure information meets request	• Extracted information is analysed, evaluated and edited to fit client's needs • Different types of information are combined, where appropriate, to provide a response to a request
Compose report/correspondence	• Report/correspondence plan and synopsis are developed • Report/correspondence is written using clear and concise language • Spelling, punctuation and grammar is checked and errors are amended
Organise self or other to format report/correspondence	• Report/correspondence is formatted according to requirements • Report/correspondence is checked for accuracy and to ensure that intended meaning of report/correspondence is readily understood by recipient and it conforms with *a firm's policies and procedures*
Finalise report/correspondence	• Review and sign off of report/correspondence is arranged with *designated person* • *Firm's information recording procedures* are applied • Report/correspondence is forwarded to client

BSALC402A   **Research, locate and provide legal and other information in response to requests**

<table>
<tr><td align="center">Range of Variables</td></tr>
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Request for information to meet a client's needs may come from:
- external clients
- other parties
- internal staff
- staff from another office
- barrister

A firm's recording system **may be:**
- paper based
- electronic

Designated person **may include:**
- external client
- external official
- lawyer
- partner
- legal practice manager
- supervisor
- teacher/trainer

Possible criteria may include:
- matter progress report
- report on costing procedures
- summary of other information
- copies of various certificates
- summary of entitlements

Appropriate response methods **may include:**
- letters
- reports
- sending original information
- sending copies of original information

Appropriate format may include:
- photocopies
- preparation of original documents
- completion of proforma

BSALC402A   **Research, locate and provide legal and other information in response to requests**

Range of Variables

Relevant sources of information may include:
- client file
- closed matter file
- relevant legislation
- statistics
- 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
  - on-line
  - 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

Problems with accessing information may include:
- information not being readily available
- information being non-disclosable

Range of Variables

A firm's security and confidentiality processes **may relate to:**
- Non-disclosable information and may include:
  - court dates
  - fees
  - addresses
  - legal history
  - personal history
  - health status
  - firm's other clients

Integrity of contents may include:
- order of pages
- completeness
- neatness

Different types of information may include:
- certificates
- reports
- legislation
- entitlements
- correspondence

Requirements for document/form may include:
- correct margins
- correct line spacing
- dual column system
- presence/absence of a back sheet
- presence/absence of a cover sheet
- placing of headings
- usage of keycaps and font features
- table of contents
- paragraph numbering
- correct use of reference
- specific sign off clauses
- appropriate use of letterhead
- use of document footers
- list of enclosures

BSALC402A   **Research, locate and provide legal and other information in response to requests**

<table>
<tr><td align="center">Range of Variables</td></tr>
<tr><td>

A firm's policies and procedures **may include:**
- report/correspondence format
- information sources
- document recording procedures
- customer service protocol
- security/confidentiality/privacy procedures
- verifying and authorising information
- recording information
- protocol for accommodating special client needs, eg. case manager, social worker, parole officer, translator, interpreter

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<tr><td>

Requirements for delivery may include:
- timelines
- format (eg. hard copy or disk copy)
- number of copies
- accompanying documentation
- place for delivery
- identification of receiving party as authorised by client

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Recording procedures may include:
- attaching files name and matter number
- storing and securing copy
- ensuring client file is updated
- maintaining time records

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The area of law may include*:
- 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.

</td></tr>
</table>

BSALC402A **Research, locate and provide legal and other information in response to requests**

Range of Variables
Legislative requirements may relate to: • 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 • copyright and intellectual property • Freedom of Information legislation

BSALC402A **Research, locate and provide legal and other information in response to requests**

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 allows the task/s to be complete
- 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 timelines
  - ensuring that report/correspondence is formatted correctly
  - ensuring that filing requirements are fulfilled and that a copy/ies of report/correspondence is stored appropriately
- non-disclosable information is not communicated and where any doubt exists as to the information's status it is not disclosed
- evidence of use of appropriate response format
- plan of action is developed before commencing tasks
- criteria are developed at outset to ensure research outcomes meet client needs
- relevant persons are contacted and request is explained to person using clear and simple language
- location of information and access to information is determined and documented
- information sources are accessed efficiently
- information is copied, borrowed or applied for according to reference centre requirements
- copies and original documents are not damaged or disclosed
- information is collated to reflect the specific needs of the original request
- information is analysed and notes/summaries of the information are recorded according to the specific needs and criteria developed to meet the original request
- file/matter number is attached to all relevant documentation
- final copies of information and report/correspondence are filed according to *a firm's policies and procedures*
- original copy of final report is forwarded to client according to instructions and within *agreed timelines*
- inability to meet timelines is communicated to *designated person* and *designated person's* instructions regarding contacting client are adhered to
- time records are 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 that party receiving the information has the right to receive such information and where any doubt exists clarification is sought before any information is disclosed

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BSALC402A **Research, locate and provide legal and other information in response to requests**

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
- workplace manuals and reference materials such as legal dictionary, company policy, procedural manuals and checklists
- appropriate technology such as computers with relevant software
- access to relevant resource collections

Consistency in performance:
This unit of competency will require evidence to be collected across a range of events, eg. dealing with different research requests and client 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:
- workplace performance
- simulation
- projects/assignments
- skills portfolio
- third party reports

BSALC402A   **Research, locate and provide legal and other information in response to requests**

Evidence Guide

Underpinning knowledge and skills

Knowledge
- what is disclosable/undisclosable
- legal terminology in relation to the area of law and the relevant legal process
- application of *a firm's policies and procedures* required in the full range of tasks covered

Skills
- literacy: follows a *firm's policies and procedures*; makes notes from spoken and written texts in chosen fields of knowledge; sequences writing with attention to organising principles of time, importance or other workplace relevant system; uses vocabulary and grammar appropriate to register and to create nuances of meaning
- researches: elicits and sources correct information; checks and validates information with peers/teacher/external sources; considers aspects of context, purpose and audience when comprehending or generating texts; draws together information gathered from a range of sources, then summarises data in a logically coherent report/brief
- communication: listens and questions to clarify and elicit information; participates effectively in spoken interactions; communicates ideas, arguments and conclusions logically, clearly and concisely in an appropriate form using appropriate vocabulary; provides clear sequenced oral instructions to others
- problem solving: identifies gaps in information and gathers necessary information from external sources; selects alternative methods to locate information
- proofreading and editing skills
- numeracy: numeracy: records and files data; adheres to designated deadlines

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BSALC402A   **Research, locate and provide legal and other information in response to requests**

<table>
<tr><td colspan="7" align="center">Key Competencies</td></tr>
<tr><td colspan="7">Utilisation of the Key Competencies required in the performance of this unit</td></tr>
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<td>Communicating ideas and information</td>
<td>Collecting, analysing and organising information</td>
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<td>Working with others in a team</td>
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</table>

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

BSALF401A   **Maintain trust accounts**

This Unit covers the maintenance of trust monies related to specific files, under the instruction of a 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 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. Therefore the position of this unit at AQF Level 4 is in relation to the level of responsibility and technical complexity required in the tasks involved.

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

Element	Performance Criteria
Check that trust funds are adequate	*Relevant sources* are checked for information regarding disbursements and costs - Estimated disbursements and costs are calculated and reconciled with available trust funds - Instructing legal practitioner is notified where there are inadequate available funds - Client is notified that further funds are required, where necessary, according to *a firm's policies and procedures*
Draw cheque/s against the trust account	- Appropriate requisition form is completed - Authorisation is gained from instructing legal practitioner according to *a firm's policies and procedures* - Cheque/s are inspected for accurate amount and correct account source - Instructing legal practitioner is organised to verify and sign cheques - Accurate records are kept of all file related disbursements and costs

BSALF401A   Maintain trust accounts

Element	Performance Criteria
Prepare documentation upon completion of legal matter	• Relevant information/documentation from file is collated • Monies remaining in trust account are reconciled • Discrepancies/irregularities are investigated promptly and appropriate follow up action is taken

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Range of Variables

Relevant information sources may include:
- information from open file
- monies received into the trust account
- transactions on the trust account
- petty cash vouchers
- petty cash book
- purchase requisitions and orders
- invoices and receipts
- delivery dockets
- credit notes
- statements
- cheques
- deposit books
- bank statements

Disbursements may include:
- filing fees
- photocopying
- postage
- cost of duty stamps
- court costs
- telephone charges

Trust account procedures may include:
- arrangements with banks to prevent the following deductions from trust accounts
  - FID Tax
  - BAD Tax
  - Bank charges
- reporting to state law society/institute as required by law

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Methods for maintaining trust accounts may include:
- hard copy
- standard books of account
- specialised software

Details to be completed on requisition form include:
- file/matter number
- amount
- description of reason for cheque or receipt
- authorisation/signatures of *designated person*

Range of Variables

Recording mechanisms/systems may:
- be paper-based
- be electronic
- vary according to *a firm's accounting system*
- vary according to bank requirements

A firm's accounting system **may:**
- be paper-based
    - cash books
    - journals
- be electronic
    - commercial software package
    - customised software package
- vary according to *a firm's accounting system*
- vary according to bank requirements

Financial documentation for clients may include:
- statement of accounts
- calculation of fees
- copies of receipts

A firm's policies and procedures **may include:**
- bank procedures and policies
- notifying client when further funds are required
- keeping records of disbursements
- following up discrepancies and irregularities
- information sources
- accessing *accounting system*
- security/confidentiality/privacy procedures
- verifying and authorising information
- recording information
- handling monies
- liaising with financial institutions
- legal bookkeeping

Range of Variables
The area of law may include*: • 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.
Legislative requirements may relate to: • *relevant State/Territory/Commonwealth legislation* • 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
Relevant State/Territory/Commonwealth legislation may include: • Trade Practices Act • Small Debts Act • Bills of Exchange Act • Financial Transactions Report Act • various state's conduct acts, eg. Legal Practice Act

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Evidence Guide

Critical aspects:
- understanding of scope of own responsibility is demonstrated
- an understanding of trust accounting principles and practices within the limits of the employee's responsibilities is demonstrated
- an understanding of *a firm's trust and general accounting procedures* is demonstrated
- correct usage of different types of documents is demonstrated
- documentation is filled out correctly and presented to instructing legal practitioner within *agreed timelines*
- records of disbursements are accurate and up-to-date, according to *a firm's policies and procedures*
- evidence of knowledge of the type of discrepancies and irregularities which could arise and standard resolutions
- discrepancies and irregularities are resolved within scope of own responsibility and those outside of own responsibility are referred immediately to instructing legal practitioner, eg. files with inadequate funds
- calculations and reconciliations are checked for accuracy
- calculations are performed accurately
- numerical information is checked
- contact with client regarding inadequacy of funds is handled sensitively and according to *a firm's policies and procedures*
- legal actions, legislative requirements and invoicing procedures are explained to client in simple language, where appropriate
- check for written authorisation from client and instructing legal practitioner is obtained when moving trust account money into interest bearing account
- documentation prepared at the completion of a legal matter is complete and accurate
- file/matter number is attached to all relevant documentation and such documentation is filed appropriately
- *a firm's* trust *accounting procedures*, legislative and regulatory requirements are complied with
- 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
- reports in relation to trust monies are compiled and reviewed in line with *firm's policies and procedures*

BSALF401A   **Maintain trust accounts**

<table>
<tr><td align="center">

Evidence Guide

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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 business accounts, maintaining trust accounts and transferring trust monies
- workplace manuals and reference materials such as company policy, procedural manuals and checklists
- appropriate technology such as computers with relevant software calculators, adding machines and imprinters

</td></tr>
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Consistency in performance:
This unit of competency will require evidence to be collected across a range of events, eg. dealing with trust account requirements, and over a period of time to ensure that situational variables are consistently achieved.

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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

</td></tr>
</table>

Evidence Guide

Underpinning knowledge and skills

Knowledge
- *a firm's general and trust accounting policies, procedures and systems*
- bank procedures and policies/requirements
- relevant current legislation (see Range of Variables)
- legal terminology in relation to trust accounting and the matter at hand
- procedures for authorising cheques against the trust account
- preparing cheques
- security/confidentiality/privacy
- Australian Standards Association Code of Practice and Accounting Standards
- Australian Accounting and Auditing Standards
- Australian Taxation Office regulations
- establishing a trust account
- transferring assets
- statutory charges, taxes, and other fees applicable to institutions

Skills
- literacy: follows written or verbal sequenced instructions about a complex legal matter
- numeracy: knowledge of mathematical procedures in relation to trust accounting, financial calculations and bookkeeping; interprets, compares, calculates and checks for accuracy with money in legal context
- interpersonal skills in relation to co-workers and clients
- use of accounting records system
- communication: listens to clear instructions; questions to clarify information

BSALF401A   **Maintain trust accounts**

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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

BSALPL401A   Provide support in Property Law matters

This Unit covers the preparation of documents that support a qualified legal practitioner working in the area of property law. Property law is under a state jurisdiction, accordingly the processes and documents involved in property law vary from state to state and the candidate's training should be adjusted to account for this fact. Because conveyancing work is a major component of the work undertaken by many legal practices, this unit concentrates on conveyancing work (the preparation of documents, the acquisition and exchange of information and the retrieval and lodging of documents and forms). It focuses on the sale of a residential property by a private vendor to a private purchaser. However it should be noted that qualified legal practitioners often undertake different types of conveyancing work (e.g. Strata title) for different clients (e.g. mortgagee).

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 or acting as a lawyer 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
Augment substantive knowledge of property law	• The difference between real and personal property is outlined clearly and distinctions are made in regards to their method of transfer
	• The two systems of property title (Torrens and General) and their legal implications are identified and explained
	• *Titles of ownership* and their legal implications are identified and explained
	• The two types of mortgages (Legal and Equitable), their legal implications, processes for obtaining and discharging them and the rights of mortgagees are identified and explained
	• Draft residential and commercial leasing contract is prepared and the duties of the Lessor and the Lessee are identified and explained

BSALPL401A Provide support in Property Law matters

Element of Competency	Performance Criteria
Augment substantive knowledge of property law cont'd	• *Parties involved in the buying and selling of a property* are identified and their respective roles explained • *The steps involved in buying and selling a property* are identified and explained
Assist with preparation of prescribed documents to support sale of land	• *Relevant documents* from Land Titles Office are acquired • *Relevant documents* from Local council are acquired • *Relevant documents* from Authorities and services providers are acquired • Relevant and up-to-date survey certificate on property is acquired if necessary • *Enquiries* in regards to warranties and promises are undertaken and results are documented • Documents are forwarded to instructing legal practitioner for review
Prepare pre-settlement documents for vendor	• Draft Contract of Sale is readied according to *a firm's policies and procedures* • Vendor is contacted where appropriate to acquire further information • Draft Contract of Sale is presented to solicitor for review and sign off • Draft Contract of Sale and attached prescribed documents are duplicated and one copy is despatched to purchaser's representative • Details of outstanding mortgages and any other dealings (e.g. caveats on property) are acquired and monies owing to mortgagee are calculated and deducted from purchase price

BSALPL401A   Provide support in Property Law matters

Element of Competency	Performance Criteria
Prepare and process pre-settlement documents for purchaser	• Where mortgage monies are being used, assistance is provided to instructing legal practitioner with acquisition of insurance policy • Assistance is provided to instructing legal practitioner with the preparation and despatch of requisition documents • Transfer is prepared, completed and forwarded to instructing legal practitioner for review and sign off • Stamp duty monies are prepared and Transfer and Draft Contract of Sale are lodged at Land Titles Office • Stamped documents are collected and despatched to Vendor's solicitor for signing • Settlement sheet and document stating amount payable at settlement is prepared and forwarded to instructing legal practitioner for review and sign off • Order of Agent is prepared where appropriate and forwarded to instructing legal practitioner for review and sign off • Final search in regards to Certificate of Title is undertaken and *results* are communicated to instructing legal practitioner
Attend settlement meeting	• Meeting is arranged with instructing legal practitioner to discuss settlement meeting and to review *settlement documents* • Settlement meeting is attended at *venue stipulated in Contract of Sale* • Documentation is checked to ensure it is correct • Documentation is exchanged with the *appropriate parties* • Letter of confirmation of settlement is drafted, forwarded to instructing legal practitioner for review and despatched to relevant parties

Element of Competency	Performance Criteria
Prepare and process post settlement documents for purchaser	• Where no mortgage is required, relevant documents for registration and other copy of registered Certificate Title is lodged at Land Titles Office • Title is registered in a firm's Title Book and a copy is despatched to the client as evidence of registration • Relevant documents are registered and lodged • Client is informed of outcome

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Range of Variables

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Candidates must demonstrate knowledge of the following titles of ownership:
- Strata title
- Company
- Qualified
- Limited
- Company Share Titles
- Chain of Titles

Parties involved in the buying and selling of a property may include:
- Vendor
- Purchaser
- Agent
- Vendor's representative
- Purchaser's representative
- First Mortgagee's representative
- Second Mortgagee's representative

Steps involved in the buying and selling of a property may include:
- Securing finance
- Preparing prescribed documents and contracts
- Arranging deposit
- Signing contracts
- Exchanging contracts
- Requisitions
- Transfer
- Stamping documents
- Calculating balance and to whom payment should be made
- Discharging vendor's mortgage/s
- Settlement Meeting
- Order of Agent
- Registering documents at Land Titles Office
- Updating files and Titles Book
- Despatching documents to relevant parties
- Invoicing client

Relevant documents include:
- Certificate of Title – (from Land Titles Office)
- Plan of Land – (from Land Titles Office)
- Documents concerning easements and rights-of-way – (from Land Titles Office)
- Town Planning Certificate – (from Local Council)
- Plan of sewerage on property – (from Water Authority)

Range of Variables

Representative may include:
- solicitor
- conveyancor

Enquiries in regards to warranties may be made at the departments or authorities responsible for the following where appropriate:
- Parks
- Water
- Hospitals
- Roads
- Railways
- Electricity
- Water
- Gas Education
- Heritage
- EPA
- Agriculture
- Gas
- Mining
- Aviation

Results of final search may uncover:
- another mortgage has been taken out on the property
- sold to someone else
- government has a claim on it
- caveat
- unsuccessful or successful planning application
- encumbrances

Settlement documents may include:
- bank cheques
- Order of Agent
- Documentation regarding any undertakings
- Certificate of Title
- Transfer
- discharge on vendor's mortgage/s on title
- keys
- survey
- directions from Vendor's solicitor to pay the settlement cheques
- insurance policy
- for the new mortgagee – direction to pay the mortgage in advance
- statutory declarations
- Power of Attorney

BSALPL401A   Provide support in Property Law matters

Range of Variables

Appropriate parties may include:
- Vendor
- Purchaser
- Vendor's representative
- Purchaser's representative
- Mortgagee's representative
- Prior mortgagee's representative

Venue for settlement may include:
- Bank's Offices
- Solicitor's offices

A firm's policies and procedures **may include:**
- Office procedure manual
- Accessing precedents
- Requisition forms
- precedents for various property documents
- Using electronic document exchange systems
- Using electronic funds transfer systems
- security/confidentiality/privacy procedures
- contingency management
- recording information
- protocol for accommodating special client needs
- instructing legal practitioner supervisory procedures

Legislative requirements may relate to:
- relevant State/Territory/Commonwealth legislation
- the client and a firm (eg. Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice)
- property law
- schedules of fees and duties payable
- trust accounts
- taxation and banking requirements
- Australian Tax Office regulations
- tort, equity and statute law

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Range of Variables

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Relevant legislation includes:
- Property Law Acts
  NSW   *Conveyancing Act 1919*
  VIC   *Property Law Act 1958*
  QLD   *Property Law Act 1974*
  SA   *Law of Property Act 1936*
  WA   *Property Law Act 1969*
  TAS   *Conveyancing and Law of Property Act 1884*

- Torrens Systems Acts
  NSW   *Real Property Act 1900*
  VIC   *Transfer of Land Act 1958*
  QLD   *Real Property Act 1861*
  SA   *Real Property Act 1866*
  WA   *Transfer of Land Act 1893*
  TAS   *Land Titles Act 1980*

- Limitation Acts
  NSW   *Limitation Act 1969*
  VIC   *Limitation of Actions Act 1958*
  QLD   *Limitation of Actions Act 1974*
  SA   *Limitation of Actions Act 1936*
  WA   *Limitation Act 1935*
  TAS   *Limitation Act 1974*

Evidence Guide

Critical aspects:
- reasons for veto on working for vendor and purchaser in same sale are outlined clearly
- 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 and documents are given to and obtained from clients
- non-disclosable information is not communicated and where any doubt exists as to the information's status it is not disclosed
- 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
- letter of confirmation provides an accurate appraisal of outcome of settlement meeting
- a knowledge of legislative timelines is demonstrated and instructing legal practitioner's and legislative timelines are adhered to
- 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

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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, conveyancing and other property matters
- workplace manuals and reference materials such as company policy, procedural manuals and checklists
- appropriate technology such as computers with relevant software

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Consistency in performance:
This unit of competency will require evidence to be collected across a range of events, eg. dealing with different clients (i.e. representing vendors and purchasers), different types of property, and over a period of time to ensure that situational variables are consistently achieved.

BSALPL401A   Provide support in Property Law matters

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)

Evidence gathering methods may include:
- observation of performance
- obtaining client feedback
- work samples
- assignments
- questioning
- discussion

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 property law
- application of *a firm's policies and procedures* required in the full range of tasks covered

Skills
- literacy: follows complex legal procedures and legislation; understands and prepares complex legal documents
- research: locates necessary information from external sources; identifies and evaluates status of information; prepares summaries of cases; follows written and oral instructions with regards to preparation of briefs
- proofreading: checks for accuracy
- communication: communicates ideas, arguments and conclusions logically and discretely; uses appropriate legal terminology; participates effectively in spoken interactions by using strategies to confirm, clarify or repair understanding; consults with legal practitioners and clients
- numeracy: record/file keeping; deposits, calculates stamp duties, outstanding mortgage payments and bank cheques
- time management: allows sufficient time to prepare for and conduct meetings

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BSALPL401A   Provide support in Property Law matters

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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

BSALPL402A   Provide support in Family Law matters

This unit covers the preparation of documents arrangement of activities in relation to dissolution of marriage, property settlement, maintenance, contact and residence, counselling mediation and the appeals process. Family Law comes under the commonwealth's jurisdiction *Family Law Act* 1975. However Western Australia has its own State Family Law Court its jurisdiction is derived from the Commonwealth *Family Law Act 1975.*

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 or acting as a lawyer 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
Prepare and despatch *marriage dissolution documents*	• Steps and associated documents involved in marriage dissolution are identified and outlined clearly to clients • *Marriage dissolution documents* are prepared and presented to instructing legal practitioner for review and signing off • Marriage dissolution documents are forwarded to client • Appointment is arranged between instructing legal practitioner to discuss marriage dissolution documents • Marriage dissolution documents are filed at Family Court with Court Registrar

BSALPL402A   Provide support in Family Law matters

Element of Competency	Performance Criteria
Property settlement	• Meeting is arranged with instructing legal practitioner to discuss clients file and work that needs to be undertaken • *Relevant background documentation* is obtained and forwarded to instructing legal practitioner for review • Arrangements are made with client to obtain an affidavit covering client's *financial/property circumstances*, prior, during and post the marriage • Arrangements are made with client to obtain an affidavit covering clients *personal/non-material contribution* to the marriage • Assistance is provided to instructing legal practitioner in regards to the Directions Hearing • Conciliation conference is arranged between client, instructing legal practitioner, client, opposing party and opposing parties legal representative • Where no out of court settlement can be reached, assistance is provided to instructing legal practitioner to prepare court case
Maintenance	• Legal obligations of non-custodial parent are identified and outlined clearly to client • Non-custodial parent salaries and wages are ascertained and *level of maintenance* is calculated • Arrangements are made in conjunction with instructing legal practitioner to facilitate the provision of maintenance by non-custodial parent according to *relevant legislative requirements*

BSALPL402A   Provide support in Family Law matters

Element of Competency	Performance Criteria
Contact and residence	• Client's preferences and child's best interests are clarified with instructing legal practitioner • Meeting is arranged with instructing legal practitioner to review *court* ruling on residence • Conference is arranged between client, instructing legal practitioner, opposing party and opposing parties legal representative to determine a mutually agreeable contact settlement • Where client is not satisfied with opposing party's offer, further support is provided to instructing legal practitioner with file
Counselling and Mediation	• Arrangements are made to retain outside mediator on behalf of client • Support is provided to instructing legal practitioner at mediation session where appropriate • Process of court counselling is outlined clearly to client • Appointments for court counselling are arranged with court registrar and client and reminders are forwarded to client pending the appointment
Assist with appeals process	• Court rulings on *various matters* are received, and reviewed in conjunction with instructing solicitor and client • Client grievances are recorded and recommendations and avenues for resolution are discussed in conjunction with instructing legal practitioner • Assistance is provided to instructing legal practitioner with preparation of appeal and appeals process

Range of Variables
Client may include: • wife • husband • grandparent/guardian • applicant for marriage dissolution (person seeking a divorce) • person who is being divorced

Steps involved in seeking marriage dissolution include:
• applying with Family Court for Dissolution of Marriage
• serving dissolution documents
• serving of subpoena to give evidence at court
• acknowledging service
• period of 12 month separation
• 3 month cohabitation where possible
• court counselling
• court hearing(s)
• granting of Decree nisi
• one month after granting of *Decree nisi*, granting of *Decree absolute*
• assessing spouse's respective assets and personal input into the marriage
• settling on property
• where children are involved settling on:
  - residence and contact
  - maintenance
• where client is not satisfied, appealing against court ruling

Marriage dissolution documents may include: • application for Dissolution of Marriage • Document Order 25 Rule 3 – Family Court Rules • affidavits on various matters • Acknowledgement of Service • account • Marriage Certificate • Counselling Certificate • letter confirming the granting of a *Decree nisi*

Range of Variables

Relevant background documents may include:
- bank statements
- other financial statements
- statement of shares
- land titles documents
- mortgage documents
- salary documents
- taxation documents
- documentation concerning school fees
- affidavits concerning personal input into the marriage
- certificates
- letters
- experts reports
- application for Final Orders

A client's financial/property circumstances may include:
- bank accounts
- other investments
- land, houses, apartments, commercial properties
- art/jewellery
- cars and other vehicles
- shares
- debts
- businesses

Personal/non-material contribution may include:
- looking after the family home
- running family business/es
- looking after children and other relatives

Legal obligations of non-custodial parent include:
- compulsory payment of maintenance (amount determined by court) to custodial parent
- that the maintenance of a child has priority over all other commitments excepting the maintenance of the parent

The level of maintenance depends on:
- the number of children
- the non-custodial parent's salary and financial situation

Client's preferences concerning contact and residence may relate to:
- custody
- frequency of visits and visiting conditions (how long, with whom)
- waiving non-custodial parent's visiting rights

BSALPL402A   Provide support in Family Law matters

Range of Variables

Court rulings on various matters may relate to:
- property settlement
- contact and residence
- level of maintenance
- level of spousal maintenance
- appeal

A firm's policies and procedures **may include:**
- security/confidentiality/privacy procedures
- time recording procedures
- 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
- instructing legal practitioner supervisory procedures
- engaging experts
- billing arrangements

Legislative requirements may relate to:
- relevant State/Territory/Commonwealth legislation
- the client and a firm (eg. Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice)
- family law
- schedules of fees and duties payable
- trust accounts
- taxation and banking requirements
- Australian Tax Office regulations
- tort, equity and statute law

Relevant Acts include:
- *Marriage Act 1961*
- *Family Law Act 1975*
- *Family Law Court Rules*
- *Child Support (Registration and Collection) Act 1988*
- *Child Support Act (Assessment) 1988*
- Persons working in Western Australia need to determine corresponding Acts

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Relevant Courts include:
- Family Law Court
- Magistrates Court
- State Family Law Court in Western Australia

Evidence Guide

Critical aspects:
- understanding of the philosophy behind family law is demonstrated
- 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 knowledge of relevant sections of Acts
- 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 and documents are given to clients
- legal terminology and processes can be translated into simple language
- non-disclosable information is not communicated and where any doubt exists as to the information's status it is not disclosed
- client special needs are accommodated promptly, courteously and with discretion and sensitivity
- documentation required at different stages of the legal process is identified and purpose is understood (e.g. affidavits, Application for Final Orders)
- documents are formatted and collated correctly and coversheets are attached where appropriate
- relevant non-litigious solutions are understood and are applied where appropriate
- detailed negotiation/conflict resolution is attempted to client's and firm's satisfaction
- file/matter number is attached to all relevant documents and such documentation is filed and file is culled for unwanted drafts
- all activities, actions and outcomes are documented
- time is recorded whenever work on matter is performed
- 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

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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
- appropriate technology such as computers with relevant software

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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.

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)

Evidence gathering methods may include:
- observation of performance
- obtaining client feedback
- questioning
- discussion

Underpinning knowledge and skills

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

Skills
- literacy: follows complex legal procedures; understands and prepares complex legal documents
- research: locates necessary information from external sources; identifies and evaluates status of information; prepares summaries of cases; follows written and oral instructions with regards to preparation of briefs
- proofreading: checks for accuracy
- communication: communicates ideas, arguments and conclusions logically; uses appropriate legal terminology; participates effectively in spoken interactions by using strategies to confirm, clarify or repair understanding; consults with legal practitioners and clients
- numeracy: record/file keeping

BSALPL402A   **Provide support in Family Law matters**

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Performance levels:

Level 1	Level 2	Level 3
• carries out established processes • makes judgements of quality using given criteria	• manages processes • selects the criteria for the evaluation process	• establishes principles and processes • evaluates and reshapes processes • establishes criteria for evaluation of processes

BSALPL403A **Provide support in Criminal Law matters**

This Unit covers the preparation of documents in a Criminal Law matter. It also involves researching case history and assisting the instructing legal practitioner to prepare for trial.

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 or acting as a lawyer 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
Prepare and process documents involved in criminal law matters	• Sobh Request is prepared and forwarded to instructing legal practitioner for review and sign-off • Letters and other documents are prepared and forwarded to instructing legal practitioner for review and sign-off • Documents for lodgment at court are identified, lodged and collected following lodgment • Self or relevant agency is engaged to despatch/serve documents • Incoming documents are checked for completeness and timely delivery and sender is contacted where insufficient information or deadlines are not honoured • Requests for information are reviewed with instructing legal practitioner and identified documents are retrieved, copied and despatched accordingly

BSALPL403A   Provide support in Criminal Law matters

Element of Competency	Performance Criteria
Perform research to support instructing legal practitioner	• Meeting is arranged with instructing legal practitioner to review file and determine research requirements • Relevant documents and exhibits are retrieved and prepared for review and court • Common law cases are retrieved and reviewed and summaries are made where appropriate • Summaries are forwarded to instructing legal practitioners and explanations are presented where necessary
Assist instructing legal practitioner to prepare for trial	• Different criminal matters, defenses, types of hearings, criminal jurisdictions and types courts are identified and relationships between them are explained • Call is received from client or police and details of client's charge and bail status are communicated to instructing legal practitioner • Meeting is arranged with *instructing legal practitioner* to discuss file and to plan and diarise work • Possible barristers are researched and details are forwarded to instructing legal practitioner to facilitate engagement • Opposing party's legal representative is contacted on behalf of instructing legal practitioner and relevant information is exchanged • Briefs for Barrister are prepared in conjunction with instructing legal practitioner and delivered to barrister • Liaison and communication between instructing legal practitioner and other parties is facilitated • Reminders of pending critical dates are forwarded to relevant persons

Range of Variables

Client may include:
- Defendant
- Victim
- Prosecutor

Sobh Request is comprised of:
- summary of matter
- witness statements
- record of prior convictions

Letters and other documents for preparation may include:
- subpoena
- adjournment letters
- confirming/reporting letter to client outlining results of court hearing
- court reminder letter
- account
- affidavit
- court forms

Relevant agency may include:
- service agency
- sheriff

Documents may be despatched to the following:
- client
- court
- government organisation
- opposing party
- opposing party's legal representative
- Crown
- Department of Public Prosecutions
- Attorney General's Office
- Crown Solicitors Office
- Police

Range of Variables

Relevant documents for retrieval and review:
- witness statements
- affidavits
- pleading documents
- briefs
- expert reports
- writs
- photographs
- videos
- artifacts
- letters
- medical reports
- clinical reports
- hospital discharge summaries
- writ of summons
- plaintiff's statement of claims
- defendant's statement of claims
- further and better particulars

Different criminal matters may relate to:
- murder
- homicide
- manslaughter
- excusable homicide
- unlawful sexual intercourse
- assault
- property offences (theft, larceny)

Defenses may relate to:
- insanity
- irresistible impulse
- automatism
- intoxication
- duress
- necessity
- self defense
- infancy
- mistake of fact
- ignorance of the law
- denial

Types of hearing may include:
- summary
- committal
- indictable (felonies/crimes, misdemeanors)

BSALPL403A   Provide support in Criminal Law matters

Range of Variables

Commonwealth has jurisdiction over the following criminal matters:
- coinage/counterfeiting currency
- importation of illicit objects and substances
- treason

States have jurisdiction over other matters. State criminal law is elucidated in the following:
- Criminal Codes (Queensland, WA)
- Criminal Code (Tasmania)
- Crimes Act 1900 (NSW & ACT)
- Crimes Act 1958 (Victoria)
- Criminal Law Consolidation Act 1935 (SA)
- Common Law for NSW, Victoria and SA

Familiarity with the criminal law relevant to the state of occupancy and employment must be demonstrated.

State courts in which criminal cases are heard:
- Magistrates
- County/District
- Supreme

Critical dates may include
- appointments
- court dates
- meeting bail conditions

A firm's policies and procedures **may include:**
- security/confidentiality/privacy procedures
- 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
- instructing legal practitioner supervisory procedures
- engaging experts

Legislative requirements may relate to:
- relevant State/Territory/Commonwealth legislation
- the client and a firm (eg. Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice)
- criminal law
- schedules of fees and duties payable
- trust accounts
- tort, equity and statute law

BSALPL403A   **Provide support in Criminal Law matters**

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 and client is treated with sensitivity
- non-disclosable information is not communicated and where any doubt exists as to the information's status it is not disclosed
- 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
- documents are prepared, presented and collated correctly with relevant attachments
- documents are lodged and served promptly and correctly
- files are kept up to date
- instructing legal practitioner is kept up to date with all activities, actions and outcomes
- summaries of common law cases demonstrate an understanding of the case and its relevance to the matter at hand
- legal terminology relevant to criminal law is understood and used appropriately
- legal terminology and processes can be explained to client or other in clear and simple language
- instructing legal practitioner's preferred barrister is engaged if available according to instructions and a firm's policies and procedures and if unavailable, further instructions are sought from instructing legal practitioner
- liaison between parties is carried out professionally and discretely
- reminders are issued sufficiently prior to pending critical dates
- instructing legal practitioner and/or a firm's payment arrangements are understood
- 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

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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
- appropriate technology such as computers with relevant software

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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.

BSALPL403A   **Provide support in Criminal Law matters**

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)

Evidence gathering methods may include:
- observation of performance
- questioning
- discussion
- work samples

Underpinning knowledge and skills

Knowledge
- relevant legal process, legislation and sections, and stages involved in the legal process
- broad general knowledge of legal terminology and in-depth knowledge of legal terminology specific to criminal law
- application of *a firm's policies and procedures* required in the full range of tasks covered
- court process
- polices processes and procedures

Skills
- literacy: follows complex legal procedures; understands and prepares complex legal documents
- research: locates necessary information from external sources; identifies and evaluates status of information; prepares summaries of cases; follows written and oral instructions with regards to preparation of briefs
- proofreading: checks for accuracy
- communication: communicates ideas, arguments and conclusions logically; uses appropriate legal terminology; participates effectively in spoken interactions by using strategies to confirm, clarify or repair understanding; consults with legal practitioners
- conflict resolution

BSALPL403A   Provide support in Criminal Law matters

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

BSALPL404A   Provide support in Commercial Law matters

This Unit covers the preparation of documentation involved in incorporation, charges and the sale of shelf companies. It is also addresses the acquisition of substantive knowledge of corporations law.

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 or acting as a lawyer 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
Augment substantive knowledge of commercial law	• *Different types of companies* are identified and their structure, personnel, legal obligations, establishment procedures and purpose are outlined clearly • The differences between proprietary companies and public companies are identified and the legal obligations/criteria and purpose are outlined clearly • A knowledge of Corporations Law and related *legislation* is demonstrated • The *consequences of incorporation* are identified and the legal ramifications of incorporation are outlined clearly • The structure, contents and purposes of a firm's Memorandum of Association and Articles of Association are identified and explained • The purpose of *various activities* within Commercial Law are identified and explained • The processes and legal obligations underlying the allotment, register and transfer of shares within and between companies and individuals is understood and explained

BSALPL404A   **Provide support in Commercial Law matters**

Element of Competency	Performance Criteria
Augment substantive knowledge of commercial law cont'd	• The purpose of *various government departments and authorities* is explained and their location and access is explained

Assist with incorporation of a company	• *Forms* and documents are prepared correctly:
	  – identified at appropriate step in legal process
	  – collated with correct annexures/other forms where required
	  – presented to instructing legal practitioner for review and sign-off
	  – lodged within the appropriate timeframe at the appropriate government department
	
	• Meeting is arranged with instructing legal practitioner to discuss and delegate tasks related to the preparation of the company prospectus where appropriate, Memorandum of Association and Articles of Association
	
	• Arrangements are made with commercial printer to print multiple copies of Memorandum of Association and Articles of Association
	
	• Arrangements are made for documents to be despatched, signed and witnessed by appropriate *parties*
	
	• Instructing legal practitioner is assisted with addressing requisitions

BSALPL404A   Provide support in Commercial Law matters

Element of Competency	Performance Criteria

Assist with administration of Charges	• Assistance is provided with the preparation of company prospectus where required
	
	• Meeting is arranged with instructing legal practitioner to discuss the nature of debenture and the assets underwriting the Charge
	
	• Appropriate searches are undertaken and *documents* obtained at the
	  – Australian Securities and Investments Commission to confirm company details and any prior charges
	  – Land Titles Office to check if borrower's property is subject to any outstanding dealings, charges and/or mortgages
	
	• *Forms and documents* related to the administration of charges are readied correctly:
	  – identified at appropriate step in legal process
	  – collated with correct annexures/other forms where required
	  – presented to instructing legal practitioner for review and sign-off
	  – lodged within the appropriate timeframe at the appropriate government department
	
	• Arrangements are made for documents to be despatched, signed and witnessed by appropriate *parties*

Assist with the sale of a Shelf Company	• *Appropriate documents* are retrieved and forwarded to instructing legal practitioner for review • *Appropriate documents* are despatched to purchaser • Assistance is provided to instructing legal practitioner and purchaser in relation to the readying and lodging of *forms* at the *appropriate government department*

Range of Variables

Candidates demonstrate knowledge of the following different types of companies and business arrangements:
- company limited by shares
- company limited by guarantee
- company limited by shares and guarantee
- unlimited company
- no-liability company
- associations
- joint ventures
- partnerships (joint ventures, formal, informal, limited, unlimited)
- shelf company
- holding company
- subsidiary company
- trusts (Express, Discretionary, and Bare)
- Registerable Australian Corporation

Knowledge of Corporations Law and the following Commonwealth legislation:
- *Corporations Act 1989*
- *Corporate Law Reform Act 1992*
- *Insolvency (Tax Priorities Act) 1993*
- *First Corporate Law Simplification Bill 1994*
- *Corporations Legislation Amendment Bill 1994*
- *Corporations Law (Securities and Futures) Amendment Bill 1994*

Plus relevant State corporations law legislation

Plus legislation relating to:
- 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

The consequences of incorporation relate to:
- separate legal entity
- limited liability
- property
- suing and being sued
- perpetual succession
- transfer of shares
- formalities, publicity and expense

Range of Variables
Various activities within Commercial Law relate to: • cessation of business • takeovers • winding up • liquidation • auditing • Annual General Meeting • Extraordinary General Meeting • statutory meeting • class meeting

Various government departments and authorities include – various forms are lodged at the following and various certificates and documents are issued by the following:
• Federal:
  - Australian Securities and Investments Commission
  - Australian Competition and Consumer Commission
  - Foreign Investment Review Board
  - Australian Industry Development Corporation
 	
• State:
  - Department of Fair Trading and the Office of State Revenue (NSW)
  - Land Titles Office
  - Office of Fair Trading and the State Revenue Office (VIC)
  - Ministry of Fair Trading and the State Revenue Department (WA)
  - Department of Equity and Fair Trading and the Office of State Revenue (QLD)
  - Office of Consumer Affairs and the Office of the Commissioner of Taxes (NT)
  - Office of Consumer Affairs and Fair Trading and the State Revenue Office (TAS)
  - Consumer Affairs Bureau and the Revenue Office (ACT)
  - Office of Business and Consumer Affairs and the Commissioner of Stamps (SA)

Forms involved in incorporation include*: • Application for Reservation of a Name • Notice of Resolution • Application for Registration as a Company • Notification of Consenting Directors • Notification of Initial Appointment of Office holders • Notification of Allotment of Shares • Application for Registration of a Business Name (NSW – or state equivalent) • Statement of Change of Persons in relation to Whom the Business Name is Registered (NSW – or state equivalent) • Statement of Change in Certain Particulars (NSW – or state equivalent) ** Specific form numbers are subject to change.*

Range of Variables

Appropriate parties involved in the incorporation of a company include:
- Directors
- Company Secretary
- Manager
- Subscribers
- Witness
- Shareholders

Search Documents may include:
- Certificate of Incorporation
- Certificate of Title

Forms and documents involved in Charges include*:
- Mortgage Document
- Charge document – a firm may have it in their precedent bank
- Equitable Charge document
- Prior Charge documents
- Prospectus
- Priority Agreement with previous mortgagees or chargees
- Notification of Details of Change
- Notification of Discharge or Release of Property from a Charge
- Stamp Duty Compliance Form

*Specific form numbers are subject to change

Appropriate parties involved in arranging charges:
- Directors
- Company Secretary
- Manager
- Subscribers
- Witness
- Shareholders
- Borrower's solicitor
- Lender/s
- Lenders's solicitor
- Previous mortgagees or chargees
- Previous mortgagees or chargees' solicitor

Range of Variables

Appropriate documents involved in the sale of a shelf company include*:
- Memorandum of Association
- Articles of Association
- Common Seal
- Certificate of Incorporation
- Application for Reservation of a Name
- Notice of Resolution
- Notification of Change of Office Hours or Address of one or more Corporations
- Notification of Change of Officeholders
- Annual Return of a Company

*Specific form numbers are subject to change

Evidence Guide

Critical aspects:
- evidence of understanding scope of own responsibility and roles and responsibilities of all relevant people involved in the matter
- 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 and documents are given to clients
- non-disclosable information is not communicated and where any doubt exists as to the information's status it is not disclosed
- documentation required at different stages of the legal process is identified (Title and Form Number where appropriate) and purpose is understood
- when typing in details, names and punctuation are correct and official document is used to verify details
- names are spelt out in full (no abbreviations)
- evidence of knowledge of lodging, storing/filing and despatching document is demonstrated
- all work occurs within legislative timelines
- moneys and fees for lodging and/or stamping documents are calculated, accessed and prepared according to a firms policies and procedures
- instructing legal practitioner is kept up to date with all activities, actions and outcomes
- 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

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Resource implications:
The assessor must have access to appropriate documentation (e.g. The Australian Securities and Investments Commission's Company forms brochure and Company searches brochure) 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 corporations law and assisting clients
- 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 companies, different matters, and over a period of time to ensure that situational variables are consistently achieved.

BSALPL404A   Provide support in Commercial Law matters

<table>
<tr><td align="center">**Evidence Guide**</td></tr>
<tr><td>

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
- assignments
- questioning
- discussion

</td></tr>
<tr><td>

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 corporations laws
- application of *a firm's policies and procedures* required in the full range of tasks covered

Skills
- literacy: follows complex legal procedures and legislation; understands and prepares complex legal documents
- research: locates necessary information and documents from external sources; identifies and evaluates status of information; prepares summaries of cases; follows written and oral instructions with regards to preparation of briefs
- proofreading: checks for accuracy
- communication skills: communicates ideas, arguments and conclusions logically and discretely; uses appropriate legal terminology; participates effectively in spoken interactions by using strategies to confirm, clarify or repair understanding; consults with legal practitioners, partners and clients to complete appropriate documentation
- numeracy: record/file keeping; prepares stamp duty and lodgment fees
- time management: allows sufficient time to prepare for and conduct meetings
- team work: coordinates own schedule and objectives with team members

</td></tr>
</table>

BSALPL404A   Provide support in Commercial Law matters

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

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FNAMERC03B   **Serve legal process**

This unit describes those functions associated with the provision of a quality service to customers

Element of Competency	Performance Criteria
Plan and prepare procedures	• Client's written instructions are accurately and clearly interpreted • Subject's whereabouts is determined • Identify type of service according to the nature of the debt or legal process
Serve documents	• Documents are checked to ensure they are complete and intact • Verify that the valid document is being served by checking contents for type of document and numbers of document for service • Documents are served according to legal requirements
Prepare affidavit of service or non-service	• Affidavits are prepared in relation to court documents for process service worksheets • Court documents are correctly completed and signed and sworn/affirmed in accordance with court requirements/court procedural manual • Relevant factual details of service are recorded in the affidavit • A final report is prepared for client detailing outcome of procedure

FNAMERC03B   Serve legal process

<table>
<tr><td colspan="1" align="center">**Range of Variables**</td></tr>
</table>

Clients may include:
- banks
- building societies
- financiers
- private companies
- government agencies
- other mercantile agents
- solicitors
- business

Types of service may include:
- handed to a person, requiring signature of that person
- service on a nominated person or corporation in accordance with relevant legislation

Subjects may include:
- debtor
- defendants
- respondents
- plaintiffs
- individuals
- companies
- businesses
- government departments
- body corporate

Types of document may include:
- notice of demand
- legal notices
- statements of claim
- writs

Means of service may include:
- directly to a person
- time/date/place of service
- conversation at time of service
- full name of process server

FNAMERC03B   **Serve legal process**

<div align="center">

Evidence Guide

</div>

Assessment context:
Assessment of competency, including attainment of relevant knowledge and skills may be made through practical demonstration in an actual work environment or simulated of such an environment.

Specialised resources required for training and assessment include:
- availability of qualified assessors
- a system which facilitates recording of trainees' profiles and progress
- facilities for workplace or simulated environment assessment

Critical aspects of evidence will include:
- taking personal responsibility for fully complying with legal obligations
- developing constructive responses when confronted with problems and difficulties
- maintaining knowledge of current legislative requirements and general developments in process servicing
- accurate completion of legal documents
- ability to liaise and cooperate with a variety of persons

Interdependent assessment of units:
This unit should be assessed:
- after competency has been demonstrated in the Generic Management Competency Standards for Frontline Management Level III including: Unit 1, Unit 3, and Unit 8
- in conjunction with Generic Management Competency Standards for Frontline Management Level III including: Unit 2 and Unit 5

Workplace outcomes (underpinning knowledge and skills):
The Evidence Guide is a set of guidelines which assist in the development of assessment instruments/ tools to assess the competency of workers in the Mercantile Agents industry. This requires evidence of consistent achievement of the workplace outcomes covered by the unit. An employee working at this level:
- maintains basic knowledge of the role, procedures and relevant documentation of the various court jurisdictions and appeals procedures
- takes full responsibility for legal obligations and a professional/ethical approach to both clients and debtors
- demonstrates current lawful techniques of search and locating individuals
- demonstrates effective interpersonal communications techniques including negotiation and dispute resolution
- demonstrates effective written communication skills including appropriate report and letter writing
- maintains basic knowledge of all relevant State and Commonwealth Acts
- adheres to OH&S practices

FNAMERC03B   Serve legal process

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit Level of utilisation of key competencies (1 – perform; 2 – administer; 3 – design)						
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	1	1	3	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

BSALLG401A   Arrange documents and list exhibits for litigation support

This Unit covers arranging documents and listing exhibits to provide support to litigators in the preparation of case materials.

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 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 some litigious work must be supervised by a qualified legal practitioner.

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

Element of Competency	Performance Criteria
Arrange documents in specified order	• Needs identified by the instructing legal practitioner are clarified and mutual expectations are agreed and acted upon • Self or other is organised to collect and collate documents • Documents not relevant to matter are removed • Court requirements are identified and self or other is organised to check and prepare documents to meet these requirements • Review of document is arranged with legal practitioner
Organise self or other to enter document order on firm's record system	• All collated documents are recorded, as they appear in order on a *firm's record system* • Records system is self-checked against ordered documents to ensure accuracy of record
Prepare exhibits for court	• Court exhibits requirements are identified • Meeting is arranged with instructing legal practitioner to determine exhibit presentation • Self or other is organised to prepare exhibits and relevant documentation

---

Range of Variables

Documents and/or exhibits may include:
- witness statements
- affidavits
- pleading documents
- briefs
- expert reports
- writs
- photographs
- videos
- artifacts
- letters
- medical reports
- clinical reports
- hospital discharge summaries
- writ of summons
- plaintiff's statement of claims
- defendant's statement of claims
- further and better particulars

Documents may be arranged:
- chronologically
- alphabetically
- in order of legal process to be undertaken

Documents may be checked for:
- the correct number of copies
- signatures, where necessary
- relevant attachments
- meeting the court's requirements
- file/matter numbers where appropriate

The designated manner for documents meeting the court's requirement may include:
- correct margins and spacing
- dual column
- backsheet layout
- coversheet layout
- folding of documents
- a *firm's details* typed in the appropriate manner, in the appropriate location

---

Range of Variables
A firm's details **may include:** • name of firm • postal address • DX address • telephone number • solicitor's reference

---

Range of Variables

Non-disclosable information may include:
- fees
- addresses
- names
- dates
- a firm's other clients
- legal history of client
- personal history of client
- health status

A firm's records system **may be:**
- paper based
- electronic

The procedure for arranging exhibits may vary according to:
- type and size of exhibits
    - attaching an affidavit
    - organising in containers

A firm's policies and procedures **may include:**
- privacy/security/confidentiality procedures
- time recording procedures
- photocopying expenses
- verifying and authorising information
- recording information

The area of law may include*:
- 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 Variables

Legislative requirements may relate to:
- relevant State/Territory/Commonwealth legislation
- 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
- Freedom of Information legislation
- schedule of fees and duties payable
- litigation documents
- court document procedures
- rules of the relevant court

BSALLG401A   **Arrange documents and list exhibits for litigation support**

<div style="text-align:center">Evidence Guide</div>

Critical aspects:
- understanding of scope of own responsibility and that of others involved in the matter is demonstrated
- knowledge of the purpose of documents and exhibits is demonstrated
- knowledge if the area of law and the related legal process involved in the matter is demonstrated
- knowledge of the type of difficulties that may arise and standard resolutions are demonstrated
- instructing legal practitioner is kept up to date with activities, actions and outcomes
- relevant documents and exhibits are included
- documents are checked to ensure the correct numbers of copies, signatures (where necessary) relevant attachments (numbered and stamped where appropriate) and a complete table of contents
- documents and exhibits are delivered to instructing legal practitioner within *agreed timelines*
- when instructing others, instructions are clear with adequate explanation to allow the task/s to be completed
- when instructing others, supervision is provided throughout the task in relation to:
  - providing advice and assistance with problems
  - ensuring that deadlines are met
  - ensuring that documents, exhibits and exhibit lists are collected and collated correctly without loss of integrity
  - ensuring that documentation is complete and correct
  - ensuring that confidentiality and security of information is maintained throughout
- file/matter number is recorded on copies of documents according to *a firm's policies and procedures*
- *a firm's confidentiality and security polices and procedures* are understood and adhered to
- exhibit listing is prepared such that exhibit list corresponds exactly with exhibits
- exhibits are numbered and reference number is attached in the top left-hand corner to appropriate document
- exhibit listing is cross-referenced with exhibits for accuracy
- integrity, security and confidentiality of documents is maintained
- any photocopying undertaken is recorded for purposes of client invoicing
- 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 preparing court documents
- workplace manuals and reference materials such as legal dictionary, company policy, procedural manuals and checklists
- appropriate technology such as computers with relevant software and photocopiers

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BSALLG401A   **Arrange documents and list exhibits for litigation support**

<table>
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Evidence Guide

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Consistency in performance:
This unit of competency will require evidence to be collected across a range of events, eg. dealing with litigious circumstances, and over a period of time to ensure that situational variables are consistently achieved.

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<tr><td>

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).
- flexible delivery methods used by training providers to cater for distance education students

Evidence gathering methods may include:
- demonstration
- questioning
- workplace performance
- simulation
- projects/assignments
- third party reports

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</table>

BSALLG401A   **Arrange documents and list exhibits for litigation support**

Underpinning knowledge and skills

Knowledge
- court document presentation requirements
- sequence of litigation process
- authorised 'signing parties'
- security, confidentiality and privacy
- legal terminology in relation to litigation and the area of law
- application of a firm's policies and procedures required in the full range of tasks covered

Skills
- literacy: follows complex legal procedures; understands and prepares complex legal documents according to legal protocol
- research: gathers necessary information from external sources; identifies and evaluates status of information
- problem solving: proofs for accuracy
- communication: communicates ideas; follows and interprets oral instructions; participates effectively in spoken interactions by using strategies to confirm, clarify or repair understanding; provides clear and specific instructions about information required; consults and meets with clients; records meeting objectives;
- numeracy: collates documents; record/file keeping
- time management: allows sufficient time to prepare for and conduct meetings

---

BSALLG401A   Arrange documents and list exhibits for litigation support

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	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

206/01   **Take instruction in relation to a transaction**

This Unit describes the process of taking instructions for the transactions of sale or transfer of property or land.

Element of Competency	Performance Criteria
Establish the client's needs	• Identify client and any potential clashes of interest • The client's needs and expectations are assessed in discussion with client • Optional courses of action are determined and discussed with client • Communication is courteous and clarification is sought where necessary • Information collected/given is accurate and relevant • Client and conveyancer confirm an understanding of needs/and responsibilities
Identify parties, properties and other interests	• Parties, properties and interests relevant to the transaction are identified • Documentation and titles are examined to confirm facts pertaining to the transaction
Determine contingency strategies	• Contingencies relating to the transaction are assessed • Client is advised of range of contingencies and possible options • Strategies are determined in consultation with client

Element of Competency	Performance Criteria
Initiate the transaction (see Range Statement for a complete description of possible transactions)	• A course of action is selected which meets the client's needs • Client is advised of procedures to achieve client's goal • Instructions to proceed or not to proceed are confirmed with client • Client's instructions are recorded • Authorities are obtained from client and other relevant parties • Referral to another professional discipline or agency is made where appropriate
Determine terms of engagement	• Terms of engagement are articulated to client • Client's agreement with terms is established • Disclosure of terms complies with legal/practice requirements • Quotation of fees and disbursements is provided to client which is accurate and complete
Identify any conflict of interest between conveyancer and client	• File is opened in accordance with practice procedures • Identify any conflicts of interest associated with the transaction • Assess conflict of interest and determine appropriate actions to client and business

---

Range of Variables

The range of transactions that can be handled by a conveyancer vary from State to State and are limited by State laws and procedures. Transactions cover the transfer of land, property and businesses. The application of this unit of competency must comply with the legislative requirements of the jurisdiction in which the conveyancer practices.

Factors impacting on taking instructions from a client could include
- geographic location of client
- communication skills of each party
- honesty and intelligence of each party
- understanding of client's goals
- availability and quality of information provided by client
- consumer protection legislation including Fair Trading
- understanding of common law in relation to provision of advice

---

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.

Assessment of competency should be performed in relation to a range of communication modes and should establish the ability to respond effectively to a variety of relevant client enquiries.

Critical aspects:

The following critical aspects of performance should be observed:
- establishes a realistic time frame
- checks the accuracy of information collected/given
- establish the client's needs in relation to the transaction
- confirms the authority to act
- maintains client confidentiality at all times
- ensure qualified practitioner completes transaction

Underpinning knowledge and skills

Knowledge

A knowledge of:
- relevant legislative and common law
- relevant types of contract and other required documentation
- professional/industry terminology
- accepted practices
- ethics
- all aspects of consumer protection
- indemnity insurance

Skills

The ability to:
- clarify information given/received
- interpret documents/legislation
- explain complex/legal issues in simple terms
- write in plain English
- operate appropriate technology
- negotiate with a range of people in diverse situations
- hear people within their context
- manifest sensitivity to individual's particular needs
- manifest responsiveness to clients

206/05 **Prepare and execute documents**

This Unit describes how to prepare and present documents in the practice of conveyancing.

Element of Competency	Performance Criteria
Prepare documentation	• Parties, property and all relevant terms agreed to by the parties are described • Legal and government requirements are fulfilled in the correct manner • Documentation is accurate and complete • Documentation is prepared within required timeframe
Present documentation for execution	• Instructions given to the client are accurate and complete • Client is advised of rights, obligations and responsibilities ensuing from the legal relationship • Document is signed and witnessed in accordance with legal requirements and is properly executed • Document is certified of necessary • All relevant processes are completed • Documentation is checked to ensure it is completed accurately and in accordance with procedures within the required timeframe
Manage collateral/third party involvement	• Execution and return of documentation by other parties is arranged • Execution by third parties is checked to ensure compliance with legislative constraints • Completion of actions by other parties is checked to ensure timely settlement

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Element of Competency	Performance Criteria
Draft, adapt and construct documents to meet client needs and instructions	• Document purpose is identified • Document conforms to all formatting requirements • Document meets client needs • Document achieves intended purpose • Information contained is clear and unequivocal • Completed document is consistent with purpose

---

Range of Variables

In Victoria, legislation prohibits conveyancers from preparing documentation. Therefore the application of this competency relates to the presentation of documentation (second Element of Competency).

Documentation includes
- both that which has been previously identified and that which is prescribed

---

Documentation should make consideration of the following:

- Aboriginal land rights
- ACS requirements
- associations
- banking
- bankruptcy
- bills of sale
- building regulations
- business licenses
- business law
- native title
- commercial tenancies
- company and incorporated associations
- old system land
- consumer protection
- consumer credit
- personal property
- contract
- copyright
- crown land
- dealing with interests in land
- deceased estates
- easements and restrictive convenants
- environment
- Fair Trading
- family law
- fences
- finances and securities
- real property
- registration of dealings with land
- revenue law
- food and health
- foreign investment
- guardianship
- heritage
- house contracts and guarantee provision
- insurance
- land acquisition
- land division
- landlords and tenants
- law of succession
- licensing of conveyancers
- limitation of actions
- local government
- local, state and federal government taxes
- mining
- minors
- mortgage financing
- pastoral properties
- permissive occupancy
- planning
- positive convenants
- powers of attorney
- privacy
- property inspections and searching
- rates and taxes
- real estate agents
- retail leases
- roads
- sale of goods
- stamp duty
- strata titles and bodies corporate
- torts
- Trade Practices
- trusts
- workers liens

Application of this unit of competency will vary with the methods of document preparation and presentation which depend on the technology available in the work environment.

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.

Assessment of competency should be performed in relation to a range of documentation which must include, but is not limited to transfers, leases, mortgages and contracts.

Critical aspects:
The following critical aspects of performance should be observed:
- complies with legislation and common law in document preparation
- completes work within timelines
- checks documents for relevancy and currency
- implements current government procedures completely
- ensures that document achieves intended purpose efficiently
- ensures that document achieves conveyance in accordance with client needs

---

Underpinning knowledge and skills

Knowledge
A knowledge of:
- relevant legislation and common law
- Land Title office requirements
- document format requirements
- fiduciary duties and responsibilities relating to document preparation
- ethics

Skills
The ability to:
- examine documents and legislation
- liaise/consult with others
- present information in a variety of forms
- plan and organise work
- operate appropriate technology
- draft documents
- manage time efficiently
- record and maintain files

BSAORG403B   Coordinate administration of team projects to achieve project goals

This Unit covers coordination of all administrative aspects of a project, for example meetings, identifying key results, keeping within timelines and winding up the project on completion.

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

Element of Competency	Performance Criteria

Coordinate project plan	• All administrative activities of project are identified, eg.
	  – planning of meetings
	  – minutes
	  – preparation of papers and reports
	
	• All key administrative milestones of project are identified, eg.
	  – measurement of outcomes
	  – contract requirements
	
	• Tasks and resources are allocated

Coordinate project administration	• Costs associated with the project are monitored and payment of invoices is approved if appropriate • Timeframes for the achievement of various aspects of the project are monitored and appropriate action taken as necessary to meet deadlines • Relevant people are kept fully informed of project progress • Procedures for winding up a project are undertaken and completed

BSAORG403B **Coordinate administration of team projects to achieve project goals**

Range of Variables

Administrative activities of project may include:
- coordinating staff
- ensuring tasks are carried out
- communicating advice/information to team
- team meetings
- project plan
- project documentation
- financial arrangements
- invoices
- timelines
- progress

Project may be:
- internal (eg. newsletter)
- external (eg. contracted by external client)
- small
- large
- complex (eg. feasibility study)

Planning meetings may include:
- using project planning software
- identifying key participants
- notice of meeting
- confirming suitable times and dates with participants
- scheduling venue, equipment, catering

Minutes may include:
- formal minute-taking
- distributing copies of minutes to relevant people

Preparation of papers and reports may include:
- preparing and distributing an agenda
- preparing and distributing meeting reports
- preparing and distributing relevant papers/documents

BSAORG403B   Coordinate administration of team projects to achieve project goals

<table>
<tr><td>Range of Variables</td></tr>
</table>

Key administrative milestones may relate to:
- developing a work plan
- use of project planning software
- timelines
- progress reports
- achievement of key tasks/project phases
- achievement of set outcomes
- completion of tasks
- completion of contract phases/requirements

Measurement of outcomes may relate to:
- project objectives
- definition of project outcomes
- benchmarks
- standards
- project monitoring process

Contract requirements may include:
- performance standards
- agreed timelines
- goals and objectives
- names of parties bound by contract
- payment issues
- project description
- completion requirements
- timelines
- staffing
- dispute resolution
- ownership of materials
- indemnity and insurance

Allocating tasks may include:
- facilitating team involvement in task allocation
- identifying tasks to be completed in order to achieve project outcomes
- arranging tasks into groups
- prioritising and scheduling tasks
- breaking tasks into sub-tasks
- allocating responsibility
- identifying team skills and skills gaps
- assessing workloads
- matching skills to tasks
- delegating tasks

BSAORG403B **Coordinate administration of team projects to achieve project goals**

Range of Variables

Allocating resources may relate to:
- budget constraints
- necessary documents and reference material
- necessary equipment
- staff
- timelines

Costs may include:
- budget considerations
- allocated costs
- capital expenditure
- direct costs
- fixed costs
- indirect costs
- labour costs
- cost of materials and supplies
- overhead costs
- semi-variable costs
- vendor costs

Payment of invoices may include:
- seeking approval before making payments
- receipts and confirmation/records of payments
- obtaining signatures on cheques/signing cheques
- paying invoices on time

Monitoring time frames may relate to:
- project progress
- performance
- communicating with team members
- coordinating team meetings
- providing/seeking feedback
- solving problems/issues
- facilitating change to project plan

Monitoring tools may include:
- team reports
- project control chart
- control point chart
- milestone chart
- budget control chart

BSAORG403B **Coordinate administration of team projects to achieve project goals**

<table>
<tr><td align="center">Range of Variables</td></tr>
</table>

Appropriate action may include:
- discussion and negotiation with team members
- being aware of factors that may affect timelines
- using 'slack time' profitably

Relevant people may include:
- team members
- project manager/supervisor
- internal/external clients

Fully informed may include:
- regular team meetings
- regular correspondence
- regular reporting
- thorough documentation of activities

Procedures for winding up project may include:
- 'signing off' on project completion/delivery of project outcomes
- evaluation and review of project processes and outcomes
- auditing

BSAORG403B **Coordinate administration of team projects to achieve project goals**

Evidence Guide

Critical aspects:
- project's purpose, structure and objectives are understood and communicated
- *enterprise policies and procedures* in regard to team projects are understood and followed
- a range of planning tools are used to develop the project plan
- set time frames are applied to each phase/stage of the project
- timelines are realistic and achievable
- factors which affect time frames are recognised and considered when planning project
- a range of project documents and reporting mechanisms are identified and used
- meetings are planned and held regularly
- reporting arrangements are established
- records of meetings are kept
- financial responsibilities associated with project are understood
- assistance with preparing and monitoring budget is provided
- budget is monitored
- contract conditions are understood and followed
- timelines are met
- project is wound up and audited if necessary

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 policies and procedures*
- project planning tools
- budgets and contracts

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

BSAORG403B **Coordinate administration of team projects to achieve project goals**

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.
Underpinning knowledge and skills **Knowledge** • *enterprise policies and procedures* • contracts • budgets • planning tools **Skills** • literacy: interprets enterprise's goals for the team; writes clear and detailed instructions organised sequentially for group members; identifies administrative activities of project • communication: consults with team members; listens and responds constructively to the team; listens to a range of material and processes information in a systematic way, includes evaluative comments on how these ideas may be applied to group; defines and monitors objectives of the project group • problem-solving: proposes solutions from a range of possible solutions • research: selects categories by which to organise information and assesses information for relevance, accuracy and completion • numeracy: forecast predictions; interprets, compares and calculates with money; uses developed estimating skills to check calculations and outcomes

BSAORG403B   Coordinate administration of team projects to achieve project goals

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	

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

CHCAD2A **Support the interests, rights and needs of clients within duty of care requirements**

Element of Competency	Performance Criteria
Provide support to client for the realisation of their interests, rights and needs within job roles and responsibilities	• Client is supported and encouraged in exercising their rights and personal preferences without compromising their safety and that of others. • Interests, rights and needs of the client are made known to one's supervisor, other health workers and the service appropriately. • Situations of risk or potential risk are identified and referred appropriately
Support and safeguard the interests and rights of clients	• Decisions and actions taken are within the job descriptions • Knowledge and skill required for daily activities of work are properly maintained • Work practices are applied to minimise potential for harm . • Care is taken to behave in a reasonable and careful manner at all times

CHCAD2A **Support the interests, rights and needs of clients within duty of care requirements**

Range of Variables

Appropriate representation may include:
- meeting client needs in the context of organisational requirements
- awareness of potential conflict between client needs and organisational requirements

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Interests may include:
- possessions
- bank accounts
- accommodation
- facilities
- services available and desired
- recreational pursuits

Rights include principles expressed in:
- charters of rights
- outcomes standards documents
- general human rights and freedom from discrimination

Interests, rights and needs of the client may be made known by:
- verbal representation
- written representation

Social rights of the client may include:
- freedom of association
- friendship

Rights may be detailed in:
- in mission statements and philosophies of service provider organisations

---

Organisational rights may include:
- the right of participation or non-participation to the degree desired
- the right to receive quality service
- the right to refuse services

CHCAD2A   **Support the interests, rights and needs of clients within duty of care requirements**

Range of Variables

The needs of the client may include:
- physical and emotional security
- support and care
- economic support
- household assistance and maintenance

Worker's responsibilities may include working within:
- care/case plan
- job description and job role
- training received
- relevant legislation such as Poisons Act, State Nursing Acts, Podiatrists Acts, etc

---

Factors affecting client exercising rights may include:
- person's culture
- another language
- gender relationships
- different emphasis on time and work
- different views of personal space and touch
- different beliefs on the community and family
- individual religious beliefs

Legal rights of the client may include:
- rights of common law
- rights outlined under relevant outcomes standards
- rights under the constitution
- rights under legislation

CHCAD2A **Support the interests, rights and needs of clients within duty of care requirements**

Evidence Guide

Critical aspects of assessment:
- understanding of duty of care requirements
- work is performed within duty of care requirements
- upholds and supports the rights and interests of client groups in the workplace, except where contradicted by the clients' functioning and mental state

---

Interdependent assessment of units:
- this unit can be assessed with units on communication if these are part of the package

---

Underpinning knowledge and skills may include:
- common health problems and their effects
- statements of rights, eg UN Charter, relevant outcomes standards documents
- common risks to client safety
- organisational guidelines
- rights and responsibilities of client
- awareness of discriminatory actions
- oral communication competence in order to represent the interests, rights and needs of the client to supervisor. Language used may be English or community language depending on the organisation
- written communication may be required if organisational policies and procedures require client needs to be represented in written form

---

Resource implications:
- access to appropriate workplace where assessment can be conducted or
- simulation of realistic workplace setting for assessment

Consistency in performance:
- assessment may include observation, questioning and evidence gathered from a workplace environment. Workplace evidence can be testimonial from colleagues or clients
- assessment may be conducted on one or more occasions but must include the normal range of workplace situations

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Context of assessment:
- this unit is most appropriately assessed in the workplace or in a simulated workplace and under the normal range of workplace conditions

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CHCAD2A   **Support the interests, rights and needs of clients within duty of care 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
3	2	2	3	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

CHCCD7A   Support community resources

This unit applies to the work performed in providing and maintaining support to community groups.

Element of Competency	Performance Criteria
Develop an information base	• Relevant information about the community, its organisations and services is collected and stored according to the organisational practices so ongoing work is facilitated • A current directory of community resources is maintained so it is useable and accessible
Establish relationship with key people	• Appropriate contact is established and maintained with key people using a range of communication strategies to ensure that the outcomes from work in the community is maximised • The roles and responsibilities of key people and services are defined so that work is effective and coordinated
Apply strategies for linking people	• Appropriate work is undertaken to create opportunities to develop supportive connections between key people including arranging and conducting meetings • Obstacles to effective contact between people are identified and appropriate strategies are developed to overcome these • Appropriate levels of ongoing support is provided to promote community interaction
Maintain community facilities and resources	• All relevant records are maintained and made available as required to facilitate community interaction • Appropriate work is undertaken to ensure that maintenance of community resources is carried out according to organisational procedures and budget allocations • Appropriate action is taken to ensure public and communal areas are accessible and meet community needs

---

Range of Variables

Community may include:
- individuals and groups defined by organisation programs and services
- other agencies providing services to individuals and groups
- people with specified needs and interests
- people using the organisation's services/programs

Relevant information about the community may include:
- composition and social/cultural profile
- cultural characteristics
- scope defined by organisation's objectives and priorities
- size
- nature and history of issues and interests
- range and nature of other services
- existing practice, process and protocol

Information about the community may include:
- data base of key people
- details of other services/agencies
- networks, support systems, groups
- resources
- protocols for communication

Key people may include:
- people with an interest in the purpose of the organisation
- designated groups in the community
- community leaders, representatives
- other providers
- people using the services of the organisation
- specialist providers

Communication strategies may include:
- attending meetings, groups, shift handover etc.
- phone contact
- sharing information
- information newsletter

CHCCD7A   Support community resources

Range of Variables
Resources may include: • premises, grounds, accommodation, workplaces • purpose-designed and provided for the community or workplace • exclusive use, ownership or shared • equipment and materials • information • personnel • financial
Organisation's procedures may include: • formally documented policies, guidelines, delegations, philosophy • direction through supervision • management decisions, directives • information, data collection, proforma, reporting requirements • formal and informal negotiated agreements

CHCCD7A   Support community resources

Evidence Guide

Critical aspects of assessment:
- provision of a range of types of support to communities according to organisational procedures
- ability to communicate with a range of people in the community
- ability to maintain and access effective networks which contribute to the achievement of objectives
- capacity to motivate individuals and groups to work co-operatively to address common concerns

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Underpinning knowledge and skills

Knowledge
- nature of the community and significant relationships and resources including cultural
- organisation's policies and program/service objectives
- relevant agencies programs and criteria
- communication strategies
- principles of social organisation and structures
- 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
  – community education
  – Aboriginal and Torres Strait Islanders
  – mental health

Skills
- oral communication competence required. Assessors should look for the ability to ask questions, listen to information, and seek clarification. Language used may be English or a community language
- reading competence required if worker is using pamphlets or written information, to determine if an organisation or service is relevant to a particular group. Information may be written in English or a community language
- writing skills will be needed if organisations require a written list of community facilities and resources. Assessors should look at documentation that is required by the organisation. Reports and documentation may be required in English or a community language depending on the group. (Note: some organisations may require computer skills if documentation is electronically stored)

CHCCD7A   Support community resources

Evidence Guide

Resource implications
Access to a workplace or community or an environment that effectively simulates workplace or community conditions.

Consistency in performance may include workers ability to:

- describe, with supportive evidence, the nature and structure of the designated community
- describe the structure of the designated community in terms of general concepts of social organisation and structures
- identify organisation's policies and relevant guidelines
- identify the objectives, priorities and criteria of the organisation and the services and programs provided
- demonstrate a range of strategies for making contact with and linking people consistent with meeting organisation's objectives
- define own role as worker within the community
- use of available technology for record-keeping

Context of assessment:
Worker can be assessed on the job or by simulation. Community is designated by organisation policy.

CHCCD7A   **Support community resources**

<table>
<tr><td colspan="7">Key Competencies</td></tr>
<tr><td colspan="7">Utilisation of the Key Competencies required in the performance of this unit</td></tr>
<tr>
<td>Communicating ideas and information</td>
<td>Collecting, analysing and organising information</td>
<td>Planning and organising activities</td>
<td>Working with others in a team</td>
<td>Using mathematical ideas and techniques</td>
<td>Solving problems</td>
<td>Using technology</td>
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<td>3</td>
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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

CHCCD3A   **Meet information needs of the community**

Working with the community and individuals to identify and address their information needs.

Element of Competency	Performance Criteria
Identify information requirements	• Appropriate mechanisms are employed to identify the information requirements of the community and specific groups • Current, accurate and comprehensive information is collected and maintained on a range of relevant issues/ services for the group to ensure the information needs will be met • Gaps or inadequacies in the information base are identified and strategies are implemented to address them
Address information requirements	• Where possible, existing information sources are accessed to meet individual/community needs • The adequacy of existing information sources and materials in meeting needs are routinely evaluated • Where the development of new information materials is needed, options are explored in consultation with users and stakeholders • When planning the development of new information/ materials, all aspects of implementation are addressed, including: – content, structure and relevance – financial, technological and staffing resourcing – staff training needs • Strategies are implemented to continuously improve the effectiveness of information materials and systems

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Range of Variables

Community may include:
- current users of the organisation's services
- users referred by other organisations
- new target groups
- a geographic region
- special interest groups
- students and researchers
- workers in other organisations

Information systems may refer to:
- informal and formal arrangements with government departments and non-government organisations to obtain information
- subscriptions to publications
- material produced and provided by and about other organisations and services
- media
- electronic networking
- the range of different systems across sectors

Financial and technological resources required for system may include:
- directories and databases, manual and electronic
- manual and computerised filing software and hardware
- systems operated within the organisation
- systems operating in other organisations

Evidence Guide

Critical aspects of assessment:
- assessing the organisation's information needs, analysing current capacity for them to be met, determining requirements for new materials and doing appropriate work to develop them
- using and maintaining a range of information storage systems

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Underpinning knowledge and skills

Knowledge
- a range of systems that can be used to obtain information
- a range of systems that can be used to store and record information
- basic project management
- preparation, editing, publishing materials/information
- 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
  - community education
  - Aboriginal and Torres Strait Islanders
  - mental health

Skills
- literacy adequate to handle and prepare complex written information
- use of relevant information system

Resource implications
Access to a workplace or an appropriately simulated environment

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Consistency in performance
Consistency in performance should consider requirements of relevant information systems

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Context of assessment
This unit can be assessed in the workplace or in a relevant simulation

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CHCCD3A   **Meet information needs of the community**

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

CHCCD1A   Support community participation

Providing a range of opportunities for community groups and individuals to participate and design cooperative arrangements for addressing common concerns

Element of Competency	Performance Criteria

Work with individuals and the community to promote participation	• Work is undertaken to identify key community issues to be addressed
	
	• To address community issues planning is undertaken to ensure:
	  – appropriate policies and strategies are developed
	  – adequate resourcing is identified
	  – key people are consulted
	  – identified needs are addressed
	  – processes are forward looking and pro-active
	
	• Appropriate interpersonal and networking skills are used to enlist support from key people and groups
	
	• Opportunities are provided for community input to planning and provision of services
	
	• Community input and participation in services is guaranteed

Support existing community activities	• Appropriate review of the relevance of existing community activities is undertaken, based on changing community needs • Relevant support and assistance is provided to existing community activities to obtain additional resources required for effective operation • All work undertaken is in accordance with organisational policies and procedures • Support is provided to community groups to monitor and evaluate processes, progress and outcomes of activities • All documentation on activities is kept in accordance with organisational policies and procedures • Appropriate support is provided to community groups to become self managing in the implementation of plans

Range of Variables

Working with the community may include the following activities:
- health promotion
- community development
- training and education

Opportunities for consumers, community members and groups to participate may include:
- systems within and outside the organisation
- activities at program, operative and management levels
- formal and informal systems
- focus groups on relevant issues
- inviting community participation on organisational committees e.g. quality assurance committees, ethics committees
- through publications
- group facilitation
- peer education/training
- seminars and workshops

Key people may include:
- advocacy groups
- policy and decision makers in the specific community
- individuals, groups or communities most likely to be affected by strategies or action plans
- community leaders
- people with formal and informal representative roles

Strategies which the worker may develop may include:
- development of new business, employment opportunities for individuals
- establishment of advocacy groups
- health promotion activities
- development of community facilities
- strategies to increase access to facilities, services or decision making
- providing direction, advice and information

Information and resources may include:
- equipment
- staff skills and time
- provision of facilities
- educational materials
- funding
- skills/administrative support
- physical, transport, venues, material, equipment
- developmental training
- financial

CHCCD1A   **Support community participation**

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Evidence Guide

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Critical aspects of assessment

Candidates will need to demonstrate the capacity to undertake a range of activities to ensure appropriate participation by groups and individuals in community based activities

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Underpinning knowledge and skills

Knowledge
- community development methods and their principles and practices
- impact of cultural or community attitudes on organisational planning
- funding sources and their policies and strategies for encouraging community input and participation
- organisational budget and funding allocation
- local, state and federal strategies/legislation
- health promotion (as per Ottawa Charter)
- 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
  – community education
  – Aboriginal and Torres Strait Islanders
  – mental health

Skills
- research relating to the community
- policy development
- report writing
- ability to evaluate effectiveness of community based activities
- budgeting
- negotiation, liaison, networking
- marketing
- facilitation

CHCCD1A   Support community participation

Evidence Guide
Resource implications Demonstration of competency will include the ability to work with key people or stakeholders in the community. Assessors should allow for access to appropriate structures, people or organisations for assessment purposes.
Consistency in performance Consistency in performance should consider the organisational and individual context within which work takes place
Context of assessment This unit will be assessed in the workplace or in a simulated workplace under the normal range of working conditions

CHCCD1A   Support community participation

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	0	1	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

BSAINF401B   Supervise an established records system to ensure its integrity

This Unit covers supervising the creation of new files, the maintenance of the enterprise's system, including the security of confidential files and training new and existing staff in using the filing system.

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

Element of Competency	Performance Criteria
Maintain existing filing arrangements	• New documents are allocated to their designated category • Issue and return of documents is monitored to ensure the integrity of the system is maintained • Documents are archived/removed/updated to ensure that maximum space is available to house current records
Ensure distribution of files and records	• Required files are correctly identified and located • Files are despatched to *the nominated person* or section within *designated timelines* • File and document movements are monitored and recorded • Documents are maintained in good condition and in correct location
Maintain security of filing system	• Confidential files are kept separate from general files • Confidential files are only accessed by *nominated persons* • Security system is monitored to ensure issued files are traceable at all times
Train staff in records management	• Staff training needs are determined • Training is provided for new staff in records system • Retraining for existing staff organised if necessary

BSAINF401B **Supervise an established records system to ensure its integrity**

Range of Variables

Allocating new documents to their designated category may include:
- creating new files
- appropriately naming new files
- correctly labelling or coding new files
- cross-referencing files
- registering new files before filing
- indexing and recording new files before filing
- filing new files according to the particular classification system in use (alphabetical, numerical, subject, location)

Designated categories may include:
- financial
- project categories
- legal
- administrative
- sales and marketing
- historical or archived

Monitoring the issue of documents may involve:
- creating/maintaining a paper–based file register
- creating/maintaining a file database
- creating/maintaining a card index system
- passing slips

Monitoring the return of documents may involve:
- creating/using a 'tickler' or follow-up file reminder system
- using a paper-based or electronic calendar to implement a reminder system
- checking the file movement register, outcard or computer database
- contacting the person who borrowed the file
- recording all misplaced or lost files

Monitoring and tracking lost or misplaced files may involve:
- checking current location of files (eg. mistakenly filed inside another file)
- checking file in-tray
- correcting mistake in initial categorising, indexing or filing of file
- checking that the label, tag, or other file identification marker is securely fastened
- checking inactive or archival records

Range of Variables

Records which need to be archived/removed/updated may include:
- inactive files
- closed files
  - kept for legal/reporting purposes
  - kept for research/historical purpose
  - to be destroyed
- documents which are too large to be workable in their current state
- out of date files (eg. stock, account and sales records, out of date client address and information details, out of date policy, procedures, regulations or legislation records)

Archiving/removing/updating records may include:
- transferring records from the active file system to secondary storage
- transferring files at regular intervals
- routine checking for dead or inactive files
- implementing the double file method
- programming the computer to periodically archive or delete files
- compression of computer files prior to archiving
- clearly labeling and indexing records when relocating
- separating and restricting access to confidential or sensitive inactive/dead files
- storing duplicate copies of records off-site
- culling and/or separating files
- updating records (eg. out of date stock, account and sales records, out of date client address and information details, policy, procedures, regulations or legislation records when they change)
- using a combination of the above methods

Correctly identifying and locating required files may include:
- identifying and locating correct file by
  - storage medium
  - index
  - category
  - cross-reference
  - status (eg. inactive, archived, dead)

Methods used to despatch files may include
- internal mail
- hand delivery
- postal service
- facsimile transmission
- courier service
- computer based files via email

Range of Variables

The nominated person/section may include:
- internal
  - the supervisor
  - another person within the department
  - a person outside the department but within the enterprise
- external
- request for information outside the enterprise

Designated timelines **may include:**
- urgent (eg. for a same day meeting, urgent request)
- by the end of the day
- by tomorrow
- by next week

Monitoring and recording the movement of documents may include:
- checking transfer slips
- recording files in transit within internal mail system
- checking file removal documentation is completed
- maintaining the file register, outcard or computer database
- conducting a regular census or inventory

Maintaining documents in good condition may include:
- carefully transporting files
- keeping record storage areas clean/free from smoke, dirt, dust and food
- maintaining storage areas
- ensuring file contents are appropriately secured within file
- repairing/replacing damaged records or files
- providing protective file covering
- allowing for expansion to file without causing damage
- chronologically ordering documents within the file

The correct location may include:
- archive boxes
- filing cabinets
- microfiche/microfilm
- computer-based records
- CD ROMs
- floppy disks

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Range of Variables

Maintaining documents in the correct location may include:
- archiving/removing/updating documents in the current filing system
- conducting a census/inventory
- updating the file index, file register and/or computer database
- maintaining file details (eg. file code, keywords and dates are logical, correct and in the right order)

Confidential files may be:
- client records
- personnel details (salary details, personal information)
- job application records and reports
- product development records
- legal matters and contracts
- enterprises financial details

Monitoring the security system may include:
- recording all signed authorisations
- locking restricted files in a secure location
- keeping the keys in a secure location
- using outcards, file markers, passing slips, and/or file register to monitor paper based confidential files and documents
- prioritising the return of due and overdue confidential files

Determining staff training needs may include:
- ensuring all staff are familiar with the records system
- consultation with staff (eg. questionnaire, individual meetings, memo)
- monitoring staff performance to identify training needs

Providing training in records management may involve:
- informing all new staff about the records management system
- creating and distributing relevant records management information
- discussing and demonstrating the records management system
- preparing a training outline and session
- ensuring access to training equipment and resources
- determining the training venue and time
- monitoring the trainees' level of comprehension
- providing feedback to the trainees
- planning for further training on the job

</div>

Range of Variables

Retraining for existing staff may involve:
- informing staff of revisions/updates
- reminding staff of the system requirements and their responsibilities
- providing updates at staff meetings
- sending memos with updated or refresher information on the records management systems
- holding workshops or information sessions on the records management systems

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Evidence Guide

Critical aspects:
- enterprise's policies and procedures *are understood and followed*
- *a detailed understanding of the enterprise records management system is demonstrated and is clearly communicated to others*
- demonstrated understanding of the responsibilities of supervising an established records management system, including:
    - new files are named, classified and filed in the appropriate location and sequence
    - information is appropriately recorded and filed
    - file names are appropriate and takes into account the views and needs of record users
    - labelling and coding of files is consistent with *enterprise policies and procedures*
    - files are cross-referenced if necessary
    - electronic files are backed up according to *enterprise policies and procedures*
    - life/duration of records must be identified and reasons for this is understood
    - inactive and dead files are identified and either culled or archived according to *enterprise policies and procedures*
    - *appropriate person* is consulted before destroying any file
- requested files are retrieved and distributed to the *appropriate person* within *designated timelines*
- movement of files is monitored and recorded to maintain the integrity of the system
- census or inventory is conducted at regular intervals to establish the actual location and condition of all files
- files are returned to their correct location and sequence
- files are maintained in good condition
- ensures that other people are familiar with the policies and procedures governing the records system
- restricted confidential files are identified
- restricted confidential files are tagged to indicate restricted confidential status using a security rating system and are secured in separate storage arrangements
- restricted confidential files are only distributed to authorised personnel
- restricted confidential files are locked when not in immediate use and keys are kept securely in safe location
- *Freedom of Information* legislation and requirements are understood
- staff requiring training are identified
- training gaps are identified, appropriate style of training is identified and training outline is developed
- new staff are informed about the records management system and its operation is demonstrated
- retraining for existing staff is organised if necessary

BSAINF401B　　**Supervise an established records system to ensure its integrity**

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 manuals and reference materials such as company policy, procedural manuals, records system, user guide
- filing system
- computer equipment including relevant software
- *Freedom of Information* legislation

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Evidence Guide

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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

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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
- application of *enterprise policies and procedures* required across the full range of tasks covered
- enterprise's records management system
- *Freedom of Information* legislation
- common records management process
- confidentiality in relation to records management

Skills
- literacy: follows and interprets *enterprise procedures and policies*; reads and critically evaluates texts; has developed written skills; extracts main ideas from files for accurate recording; employs a variety of strategies when interpreting text eg. creates questions, checks for accuracy of information; considers aspects of context and purpose
- numeracy: codes and classifies documents numerically
- research: selects categories by which to organise information; processes information in a systematic way; evaluates existing systems and identifies methods for improvement according to agreed principles (numbers, company directory, destination); summarises data appropriately,
- technology: uses appropriate technological materials in order to establish and maintain filing system
- problem solving: uses a variety of processes appropriately and flexibly; tracks and locates lost/misplaced files; decides where cross-checking of information is appropriate
- communication: participates in sustained oral interactions with staff; questions to clarify information; briefs and informs staff of procedures; modifies language to suit a range of audiences
- organises and delivers staff training as appropriate
- organisational: monitors systems, prepares and delivers training

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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
1	1	1	2	1	1	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

BSATEC403B   **Identify and use new and existing technology to meet the needs of the enterprise**

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

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

Element of Competency	Performance Criteria
Maintain current knowledge of developments in information technology	• Information is sought and located • Information on new technology is documented and filed
Identify new technology to assist the enterprise to meet its goals	• New technologies are identified which can assist the enterprise meet its goals • Recommendations are made to the *nominated person* about the application of new technologies
Use new technology to solve problems	• Training is undertaken to ensure knowledge and skill in new technologies • New technology knowledge and skills are applied in the workplace

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BSATEC403B **Identify and use new and existing technology to meet the needs of the enterprise**

Range of Variables

Information sources may include:
- suppliers of hardware and software
- industry associations
- seminars, workshops and training sessions
- the Internet
- computer magazines and journals
- trade fairs
- computer software designers
- computer hardware manufacturers
- libraries
- internal/external clients

Documenting and filing information may include:
- making notes
- dating and filing material found
- summarising and evaluating information

Identifying and recommending new technologies may include:
- providing briefings to management and work colleagues
- incorporating relevant material in reports on technology needs
- informal discussions with internal clients
- formal brainstorming
- formal survey of colleagues
- consultation with appropriate departments
- clear understanding of enterprise's business plan, goals and direction
- determining appropriate technologies
- compatibility with technology used in other areas of enterprise
- documenting comparisons of similar technologies
- establishing costs
- budget available
- establishing benefits and consequences
- timeline for delivery and installation
- maintenance required
- *enterprise's policies and procedures* for purchasing equipment
- clear and concise reports/and or presentations of findings

***Nominated person* may include:**
- supervisor
- IT manager
- office manager
- purchasing department
- team leader

BSATEC403B **Identify and use new and existing technology to meet the needs of the enterprise**

Range of Variables
Training may include: • supplier or manufacturer providing training as part of its service • enterprise offering internal training • specialist training from external sources • self learning from user guides and training manuals
Application of knowledge and skills in the workplace may relate to: • degree of utilisation of new technology • effective utilisation of new technology • degree to which requirements of enterprise are being fulfilled • review of effectiveness

BSATEC403B   **Identify and use new and existing technology to meet the needs of the enterprise**

<table>
<tr><td align="center">**Evidence Guide**</td></tr>
</table>

Critical aspects:
- enterprise's business plan, goals and directions are understood and long and short-term technology requirements are identified
- enterprise's use of a range of technology is identified
- relevant information regarding new technology is sought and located
- information on new technology is gathered, documented and communicated to the appropriate person
- information is filed according to *enterprise policies and procedures* for future use
- new technologies which match the needs of the enterprise are identified
- implementation process is considered when identifying new technologies
- budget implications are discussed with the appropriate person
- costs of recommendations for upgrading or purchasing equipment are calculated
- implications of upgrading or purchasing equipment are considered
- clear, concise and correct report is produced documenting findings and recommendations for implementing new technology and presented to *appropriate person*
- style and content of report is appropriate for the task and enterprise requirements
- further communication is undertaken if necessary
- training is undertaken to ensure knowledge and skill in new areas according to *enterprise policies and procedures*
- knowledge and skills acquired during training are applied effectively in the workplace

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:
- a range of office technology
- workplace reference materials such as company policy and procedural manuals
- opportunities to conduct research

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.

BSATEC403B **Identify and use new and existing technology to meet the needs of the enterprise**

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

BSATEC403B   **Identify and use new and existing technology to meet the needs of the enterprise**

Evidence Guide

Underpinning knowledge and skills

Knowledge
- enterprise technology uses and needs
- enterprise business plans, goals and directions
- roles and responsibilities of enterprise personnel/departments
- report writing including styles
- preparing budget and cost analysis
- preventative maintenance
- implications of activities

Skills
- literacy: reads and interprets complex technological procedures
- research and analysis; identifies, collects and analyses relevant information in accordance with a firm's technological needs; compares a new work or technological practice/option with previous experiences;
- report writing: draws together information gathered from a range of sources, then summarises data in a logically coherent report
- problem solving: identifies the best course of action to update systems to reflect workplace practices
- 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 literacy
- numeracy: understands computer configurations; understands budget implications
- use of technology in order to maximise use of software
- keyboarding
- interpersonal and team work: consults and negotiates with team regarding new procedures

BSATEC403B **Identify and use new and existing technology to meet the needs of the enterprise**

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
*	1	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

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BSATEC404B   Customise and maintain software

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

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

Element of Competency	Performance Criteria
Maintain effective performance of hardware and software	• Ensure the operating system optimises the performance of the hardware and software to meet enterprise and user requirements • Use application software to maximise the efficiency of document production
Customise software to maximise performance in producing complex documents	• Enterprise requirements for complex documents are established • Software is customised to meet enterprise needs and user needs
Maintain customised software	• Customised options such as preference settings, templates and macros are checked at *nominated intervals* • Integrity of customised options is maintained when software is upgraded or reinstalled • Problems in customising are referred to the *nominated person* for resolution

---

Range of Variables

Operating system may include:
- Windows 95
- Macintosh Operating System
- UNIX
- Windows NT
- MS-DOS
- Windows 2000

Optimising hardware and software performance may include:
- understanding the system
- understanding the system's capabilities
- knowing system requirements for software applications used
- having sufficient space on the hard drive
- checking for device conflicts

Application software may include:
- word processing
- database
- spreadsheets
- accounting
- graphics
- email
- internet

Complex documents may include:
- letters, memos and faxes
- internet
- booklets and brochures
- newsletters
- reports
- resumes
- media releases
- spreadsheets
- templates
- forms

Customising software may include:
- preference settings
- templates
- macros
- forms

Range of Variables
Nominated intervals **may include:**   • on a regular basis   • as agreed with supervisor, IT personnel or other internal clients
Maintaining integrity of customised options may include: • back-up copy of original version made   • back-up copy stored in secure location   • keeping and updating record of the software's customisation features   • restricted access
Nominated person **for problem resolution may include:**   • direct supervisor   • IT staff   • office manager

BSATEC404B   Customise and maintain software

Evidence Guide

Critical aspects:
- software applications which optimise the performance of the operating system are identified and used
- hard disk space is checked on a regular basis to ensure the hard disk operates at optimal levels
- configuration of system is checked to ensure optimal performance
- configuration is adjusted for optimal performance if necessary
- hardware device conflicts are identified and appropriate action is taken
- enterprise requirements for complex documents are identified and software is customised to meet these requirements
- software customising options are understood
- templates and macros are created to provide efficiency and consistency between the similar documents
- software customisation features are recorded according to *enterprise policies and procedures*
- templates and macros are checked for integrity and corrected, if necessary, on a regular basis
- software customisation, including templates and macros are checked when software is upgraded or reinstalled
- assistance is sought from *appropriate person* if necessary

---

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 manuals and reference materials such as enterprise policy, procedural manuals, staff directories, IT procedures and personnel
- computer equipment including relevant software

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

BSATEC404B   **Customise and maintain software**

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Evidence Guide

Underpinning knowledge and skills

Knowledge
- *enterprise policies and procedures* across the range of required tasks
- a range of advanced functions of a variety of software applications
- installation and set up procedures
- customisation of software

Skills
- literacy: reads and interprets complex technological procedures; clarifies information in regard to the maintenance and monitoring of a computer system
- 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 literacy in relation to interpreting computer configurations and reading and understanding computer manuals
- research: seeks information on the correct procedures for the customisation of software
- use of technology in order to maximise use of software
- referral: identifies to whom to refer difficulties in the customisation of software
- problem solving: identifies the best course of action if a problem arises during the installation of a computer software package or peripheral
- numeracy: understands computer configurations
- team work: consults and negotiates with team regarding computer maintenance

</div>

BSATEC404B   Customise and maintain 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
1	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

BSAORG401B   **Plan business trip and associated itinerary to ensure efficient travel**

This Unit covers organising someone else's travel arrangements, for example meetings, documents, itinerary, within timelines.

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

Element of Competency	Performance Criteria
Organise business itinerary	• Purpose of travel is clarified • Meeting details are identified • Arrangements for meetings are made and confirmed • Daily itinerary details are recorded • Relevant documents and support material for meetings are sourced and prepared within designated timelines • Points of contact and names of contact persons are identified • Relevant documents are despatched to the traveller within designated timelines
Identify credit facilities	• Methods of payment are checked and confirmed • Credit transfers, currency and traveller's cheques are arranged

---

Range of Variables

Enterprise policies and procedures **relating to travel arrangements may involve:**
- operational guidelines to be followed
- names of personnel authorised to approve travel and travel expenditure
- classes of travel and accommodation
- documentation to be completed by the traveller
- type and level of reimbursements for travel expenditure
- names of preferred suppliers
- accounts procedures
- the appropriate individual or department that authorises travel
- purchase orders
- the financial arrangements established by the enterprise for business trips

---

Purpose of travel may include:
- visits to branch offices
- attendance at conferences or seminars
- marketing of products and/or services
- project
- client liaison

Meeting details may include:
- length
- date
- time
- attendees
- location
- travel time to location
- parking
- preparing necessary documentation and resources
- contact/client details

Daily itinerary details may involve:
- arrival and departure times
- transport arrangements
- accommodation details
- arrangements for meals
- confirmed appointment details
- required documentation for each appointment
- contact names and numbers of all personnel involved
- suggested leisure activities

Range of Variables

Recording may involve:
- establishing an individual travel file for each key aspect of the trip
- using a prepared checklist
- using the enterprise's standard checklist
- using a diary

Relevant documents and support material for meetings may relate to:
- overhead transparencies
- promotional brochures
- product samples
- catalogues
- work completed for the client
- product prototypes/samples
- business proposals
- tenders
- reports
- meeting papers
- presentation kits
- office supplies
- information technology (eg., laptop, computer software)
- telecommunication equipment (eg., mobile phone, teleconferencing equipment)

Designated timelines **may relate to:**
- a timeframe considered appropriate by the individual making travel arrangements
- a timeframe agreed upon by the individual making travel arrangements and the traveller
- a timeframe that has been formally arranged (eg. at a meeting)
- carrier schedules (eg. flight times)
- traveller's/client's other commitments

Points of contact may relate to:
- points of arrival and departure for the traveller
- meeting venues
- arranged appointments
- accommodation check-in points
- other similar organisations in the area
- branch offices
- hotels

Range of Variables

Contact persons may relate to:
- people to be met at arranged appointments
- people to contact within branch offices
- people to contact within other organisations
- people involved with travel arrangements, such as transport and accommodation
- people/organisations to target, with no pre-arranged appointment

Relevant documents for the traveller may include:
- travel itinerary
- passport
- visa
- business schedule
- maps
- timetables
- travel vouchers
- meeting agenda and other documents
- list of contacts

Methods of payment may include:
- accounts established with the enterprise
- a purchase order from the enterprise
- company credit cards
- the traveller pays and is reimbursed at a later date
- the enterprise provides the traveller with a cash advance
- special arrangement made between the enterprise and individual suppliers

---

Evidence Guide

Critical aspects:
- *enterprise procedures and policies* for business trips are understood and followed
- the purpose of the trip is understood
- an accurate briefing outlining the traveller's organisational requirements is clarified and confirmed
- traveller's preferences have been taken into account
- at least one form of a checklist is used to organise travel details
- travel file is established for each trip
- travel arrangements are appropriate and such that adequate time is allowed to travel to, from and between appointments, time is not wasted
- the details of the trip are arranged in order of priority
- a collection of reference material is gathered to facilitate the planning process
- an itinerary that lists the accurate travel details is supplied and confirmed with the traveller
- the itinerary is presented in a clear format best suited to the traveller's needs
- booking arrangements are made and confirmed
- an appointment profile is prepared and confirmed with both the traveller and the persons that he/she is meeting
- specific travel requirements are clarified and confirmed within *designated timelines*
- all relevant financial arrangements are organised and confirmed in line with *enterprise procedures and policies*

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 policies and procedures* regarding travel
- appropriate timetables and forms
- reference material, such as possible accommodation and transport suppliers
- calendar
- appointment books, diaries and other recording systems
- preferred suppliers and contact details
- maps
- credit facilities

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* regarding travel
- *itinerary formatting and preparation*
- *filing systems*
- *checklist systems*
- *booking procedures*
- sources of relevant documents and support material
- credit facilities

Skills
- literacy: reads a variety of texts, eg. *enterprise procedures*, travel timetables, conference brochures; writes clear and detailed instructions in logical sequence
- research: locates specific information regarding appropriate transport, meeting venues, accommodation, contacts etc.; analyses and summarises data to produce schedule/itinerary/report
- communication: participates effectively in spoken interactions; listens to detailed oral instructions; questions to clarify and evaluate information; offers opinion on information gathered from a variety of sources;
- time management: allows sufficient time to prepare business and travel documentation
- problem-solving: chooses appropriate solution from a range of available solutions
- numeracy: estimates time and plans accurately; interprets, compares and calculates with money

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<table>
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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

BSACOM402B   Take dictation to produce complex texts

This unit covers taking accurate notes from a variety of sources, including dictation and producing text from these notes; it could involve inserting information into the text as directed by the dictated text

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

Element of Competency	Performance Criteria
Take dictation	• Shorthand characters, longhand notes or transcriptions from audio tape that reflect the intended meaning of the dictated source are recorded • Notes are recorded to the *designated degree* of accuracy • Sophisticated abbreviations are used incorporating contractions and advanced phrases • Notes are self-checked for accuracy
Transcribe dictated notes	• Legible script that reflects the intended meaning of the original dictation is produced from notes/outlines • Text and information is self-checked for accuracy • Text is produced within *designated timelines*

Range of Variables

Complex texts may include:
- technical language
- industry specific language
- inserted information from a variety of sources

Reflecting intended meaning of dictated source may include:
- accuracy of notes
- clarity of audiotape
- understanding of technical vocabulary
- checking correlation between source and notes
- clarifying intended meaning with original source

Dictation source may include:
- dictaphone
- audiotape
- face to face

Designated degree **of accuracy may include:**
- correct use of technical vocabulary
- keeping pace with dictation
- specified speed and accuracy

Sophisticated abbreviations may include:
- short forms
- derivatives
- phrases and intersections

Shorthand systems may include:
- Pitman 2000
- Teeline
- Pitman script
- Deecombe
- enterprise conventions

Self-checked for accuracy may include:
- replaying tape
- checking notes/transcription
- spelling
- punctuation
- grammar
- syntax
- paragraphing

Range of Variables

Legible script may include:
- readable
- understandable
- clear
- correct
- presentation

Within *designated timelines* may include:
- deadline agreed with supervisor
- deadline agreed with person setting task
- enterprise deadline

BSACOM402B   Take dictation to produce complex texts

Evidence Guide

Critical aspects:
- shorthand symbols are identified and understood
- shorthand outlines are written correctly using the rules applicable to nominated shorthand system
- correct shortforms of the shorthand system are used
- punctuation signs of the shorthand system are used correctly
- shorthand is read from printed and own shorthand outlines
- longhand is legible
- shorthand and longhand notes reflect intended meaning of the dictated source
- audio tape is transcribed and transcription reflects intended meaning of message
- the speed and the accuracy of taking dictation are performed to enterprise standards: this may be the standard outlined in Standards Australia shorthand speed AS 2907-1986
- notes are self-checked for accuracy and points are clarified if necessary
- legible script of dictation is produced which conveys intended meaning of original dictation
- final text is self-checked and spelling, punctuation and grammar are corrected if necessary
- information is accurate
- amendments are made if necessary
- all tasks are completed within designated timelines

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 manuals and reference materials such as company policy, procedural manuals, shorthand manuals
- computer and other equipment (eg: dictaphone, audio)

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.

BSACOM402B   **Take dictation to produce complex texts**

<table>
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Context of assessment:
Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
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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

Recording of assessment
If this unit is successfully assessed the recording of this assessment will include "Take dictation to produce complex texts (TRANSCRIPTION SYSTEM)"

BSACOM402B   **Take dictation to produce complex texts**

Evidence Guide

Underpinning knowledge and skills

knowledge
- application of *enterprise policies and procedures* across the full range of tasks covered
- shorthand
- functions of relevant software applications
- functions of tape recorder and/or dictaphone

Skills
- shorthand
- dictaphone
- notetaking
- literacy: drafts complex correspondence and reports; displays logical organisational structure in writing; sequences writing with attention to organising principles of time, importance or other workplace relevant system; has control of most distinguishing linguistic structures; spells with accuracy; uses grammar and punctuation effectively as an aid to understanding; follows verbal instructions comprising defined steps; displays ability to predict context; interpret intonation and stress
- varies written communication to meet the requirements of the work context, the intended audience and the purpose of the communication; clarifies intended meaning by proofreading and editing own writing, asking for repetition when listening; makes constructive additions
- communication*:* listens and questions to clarify information; participates effectively in spoken interactions by using strategies to confirm, clarify or repair understanding

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BSACOM402B   Take dictation to produce complex texts

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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

BSATEM401B   **Supervise the team to ensure team goals are achieved**

This Unit covers the supervisory responsibilities for a team in liaison with management, including planning the team's goals and strategies, allocating responsibilities, monitoring the team's performance and identifying training needs.

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

Element of Competency	Performance Criteria
Plan work for team	• Strategies for setting goals of the team are identified with *manager* • Goals and responsibilities of the team are discussed and agreed upon with *manager* • The resources required are identified • Standards of performance required by team and individuals are established • The reporting requirements of the tasks are determined
Allocate tasks to members of the team	• Tasks and responsibilities of individuals in team are allocated • Strategies for achieving goals are discussed and agreed upon by team • Timelines for tasks are negotiated and agreed upon
Monitor team performance	• Agreed timelines for completion of team tasks are checked at *regular* intervals • Alternative strategies to achieve team tasks are implemented when timelines are not being met • Standards of performance and reporting requirements are checked at *regular* intervals • Feedback is provided to individual team members
Recognise training needs	• Staff training needs are identified in consultation with staff • Appropriate resources are allocated to enable training to take place

BSATEM401B   **Supervise the team to ensure team goals are achieved**

<table>
<tr><td align="center">Range of Variables</td></tr>
</table>

Available resources may include*:*
- budget
- equipment
- people
- time

Staffing of team may be*:*
- part-time
- casual
- full-time
- combinations

Strategies may relate to:
- deciding on the best way to ensure designated timelines are met
- making decisions on how the team operates
- training of team members
- reporting or support relationships
- communication channels
- access to restricted areas
- team decision making
- brainstorming

Goals may include:
- management
- administrative support
- sales
- customer service
- project
- financial management
- work tasks and budgets
- projects
- performance improvements
- job redesign

Manager may include:
- department manager
- office manager
- enterprise manager

Range of Variables

Identifying strategies for setting goals with the manager may involve:
- reflecting and meeting broader enterprise objectives
- the team leader communicating with the manager at the outset of the planning process to find out what outcomes are required by management
- confirming the team plan with management after the team goal setting process has been finalised to ensure there is agreement at more senior levels with the outcomes.

Discussing goals and responsibilities of the team with the manager may include:
- discussing team members
- discussing tasks
- clarifying objectives
- discussing team member commitments

Resources may include:
- people
- time
- money
- equipment
- materials

Identifying required resources may include:
- identifying available resources
- identifying resource shortages
- negotiating with management to increase/maintain resources

Establishing standards of performance may relate to:
- enterprise standards/benchmarks
- comparison with other teams/projects
- own standards
- time management
- team agreeing on expected standards of performance

Reporting requirements may be:
- highly structured
- team meetings
- informal
- formal

Range of Variables

Reporting requirements may be:
- between team leader and team members
- between team leader and management
- between teams
- formal
- informal
- horizontal
- vertical

Allocating responsibilities and tasks to individual team members may include:
- discussing tasks to be carried out on an individual basis
- agreeing upon particular roles and responsibilities to be assumed by the team member
- taking into account external factors
- ensuring understanding, awareness and support by all team members of each others responsibilities
- ensuring collective ownership of key tasks and roles
- encouraging team members to allocate tasks and responsibilities

---

External factors may include:
- existing workload
- skill profile
- development needs
- work status (full-time/part-time) and time available
- other staff
- other commitments

Discussing strategies for achieving goals with team may include:
- brainstorming
- feedback
- team meetings
- group decision making
- open communication

Timelines may include
- personal deadlines
- timelines agreed with the team leader
- timelines agreed in discussion with team members
- client negotiated timelines

Range of Variables

Negotiating and agreeing upon timelines may involve:
- scheduling planning time with the team
- ensuring planning time is a continuous process to meet changing circumstances
- mapping and prioritising the tasks
- discussing deadlines
- discussing and deciding on what resources will be needed

Regular may be:
- a continuous, on-going process
- periodically (eg. daily, weekly or monthly)

Checking agreed timelines at regular intervals may involve:
- holding regular team meetings to report on progress
- setting mini-deadlines during a project where work is presented to a supervisor
- monitoring daily work schedules
- monitoring long-term work schedules

Implementing alternative strategies when timelines are not bring met may include:
- re-negotiating with the client
- reprioritising and, if possible, recovering time later
- narrowing the scope of the task by eliminating non-essential elements
- deploying more resources
- substituting a comparable item if possible
- looking for another supplier or accepting partial delivery to keep the task on schedule
- re-negotiating the work schedule with team members to redistribute

---

Checking standards of performance and reporting requirements at regular intervals may include:
- monitoring on a regular, formal basis (eg. team meetings and interviews with team)
- preparing work schedules and progress reviews
- informal discussions with the team

Feedback may include:
- letting a team member know how to do something better next time
- clarifying the enterprise's preferred way of doing something
- showing a team member he/she has not finished his/her task
- letting a team member know he/she is on the right track
- encouraging a team member

Range of Variables

Providing feedback to individual team members may include:
- informal written and/or verbal communication
- formal written and/or verbal communication
- delivery in a positive and constructive way without being judgemental
- increasing the motivation and morale of the individual

Training may include:
- extending existing skills and competencies
- inducting new employees
- introducing new areas of work
- improving quality and performance

Identifying training needs may include:
- monitoring work performance
- knowledge and application of policies and procedures
- evaluating current skills and knowledge of team members
- checking training records and staff appraisal records
- conducting a training needs analysis which identifies the issues or problems and how they can be addressed

---

Consultation with staff may include:
- informal discussions
- formal meetings or discussions
- email or web page interaction with staff
- written or spoken questionnaires
- group or one-on-one discussions

Appropriate training resources may include:
- personnel
- materials
- equipment and technology
- space for training
- refreshments and other personal needs

Personnel may include:
- team leader
- team members
- competent trainers or a training manage
- other staff
- technical or computer staff
- assessors
- guests

Range of Variables

Materials may include:
- learning resource materials
- information resources such as promotional brochures, safety booklets and procedure manuals

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Equipment and technology may include:
- computers
- software
- video players
- overhead projector
- whiteboard
- photocopier
- other appropriate office equipment

BSATEM401B   Supervise the team to ensure team goals are achieved

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Evidence Guide

Critical aspects:
- work environment in which the team operates is understood
- strategies for setting goals and the goals and responsibilities of the team are discussed with the team/supervisor/manager
- required resources are identified and budget constraints considered when planning
- cost structures relating to required resources are understood
- when additional resources are required, reasoned arguments can be forwarded to *designated person*
- planning is carried out with team members ensuring that all team members are involved in, contribute to, and own the outcomes of the planning process
- leads team members through the planning process
- team goals and objectives are set which contribute to the broader organisational objectives
- tasks and strategies are achievable and appropriate
- the team understands tasks, strategies, timelines and standards of performance required
- the team performs effectively and achieves goals
- specific performance targets and particular responsibilities of team members are identified
- own time is managed effectively
- planning sessions are regular and reflect changing circumstances
- reporting arrangements within the team are established
- specific work tasks of individual team members are coordinated
- positive team culture is encouraged and morale is maintained
- timelines and completion dates are established so that team goals are achieved within *designated timelines*
- progress of work is monitored according to project and enterprise requirements
- when timelines are not being met, alternative strategies are identified and implemented
- feedback is provided to/sought from the team in a positive and constructive manner
- staff training needs are identified in consultation with *designated person*
- type and purpose of training are determined
- appropriate training resources are identified and allocated
- reasons for additional training are communicated clearly to *designated person*
- the particular needs of part-time/casual staff are identified and suitably supported within the team

---

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

BSATEM401B   Supervise the team to ensure team goals are achieved

---

Evidence Guide

Underpinning knowledge and skills

Knowledge
- enterprise business plan
- *enterprise policies and procedures* across the range of tasks required

Skills
- literacy: interprets enterprise's goals for the team; writes organisational procedures for team; follows complex flowchart in order to identify and distil relevant information;
- communication: listens and responds constructively to the team; evaluates how ideas may be applied to group; defines and monitors purposes and objectives to be achieved; explores ideas in discussion; listens and provides/encourages feedback
- planning and organisational
- time-management and numeracy: developed recording and estimation processes; records and files data; estimates time and plans accurately
- problem solving: uses processes flexibly and interchangeably; experiments with a range of systems and chooses most appropriate; analyses and compares results to anticipated outcomes to confirm results
- research and analytical: evaluates situations or processes, assembles evidence and makes judgements; selects and modifies processes appropriately

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BSATEM401B   **Supervise the team to ensure team goals are achieved**

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	*

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

BSAFIN401B   **Produce reports as required for cash flow forecasts and budgetary purposes**

This Unit covers collecting and preparing data to be used in forecasts, budgets and costing reports for administrative activities, for example, seminars, conferences and purchase of resources.

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

Element of Competency	Performance Criteria
Undertake and document costing procedures	• Relevant data identifying costs is obtained from appropriate documentation • Material, labour and overhead costs are calculated • Break-even analysis is determined if required • Unit cost/product price is determined • Costing system is maintained to ensure all relevant information is up to date, accurate and confidential • Report identifying likely contingencies and final cost/price is prepared within *designated timelines*

Prepare financial reports to enable preparation of cash flow forecasts and budget reports	• Purpose of the report is clarified with *nominated person*
	
	• Relevant data is obtained from the nominated internal and/or external sources including any indices or historical data required to update previous forecasts
	
	• Determination of indices to be utilised for percentage increase rate is made by either:
	  – judgement of employee on information sourced from industry/enterprise information network and/or nominated government authorities, or
	  – direction from management
	
	• Report is produced using appropriate design and structure for the data
	
	• Reports are distributed to nominated personnel within designated timelines

BSAFIN401B   **Produce reports as required for cash flow forecasts and budgetary purposes**

Element of Competency	Performance Criteria
Draft financial forecasts/budgets	• Prepare draft financial forecasts/budget from data contained in financial reports • Relevant records are updated to indicate current financial position of forecast or budget • *Nominated personnel* are advised of updated records within *designated timelines*

BSAFIN401B **Produce reports as required for cash flow forecasts and budgetary purposes**

Range of Variables

Relevant cost data may include:
- assets
- liabilities
- proprietorship

Appropriate documentation may include:
- balance sheet
- budgeted balance sheet
- capital expenditure budget
- cash flow analysis
- general ledger
- product activity
- profit and loss statement
- revenue and expenditure report/budget
- sales analysis report/budget
- variance analysis

Material costs may include:
- stock
- raw materials

Labour costs may include:
- salary/wage
- workcover insurance
- Superannuation Guarantee charge
- leave loading
- allowances

Overhead costs may include:
- administrative costs
- management
- insurances
- utilities
- telephone and communications
- financial and accounting services
- training
- advertising and marketing
- maintenance
- depreciation of machinery and equipment
- leasing costs
- furniture
- rental

BSAFIN401B **Produce reports as required for cash flow forecasts and budgetary purposes**

Range of Variables

Break-even analysis may include:
- cost to produce each unit
- indirect costs incurred to operate the enterprise
- direct costs involved with production/provision of product
- total costs and total revenues
- selling price per unit

Determining unit cost/product price may include:
- people-hours
- machine hours
- factory/office floor space
- materials consumed
- administrative expenses

Maintaining costing system may include:
- reflecting changes within the market
- updating costs of products/services as changes occur
- using computerised costing system
- storing data

Report on final cost/price may include:
- actual or budgeted costing
- data and calculations
- variations highlighted
- contingencies covering uncertain events
- enterprise format for report writing

Within *designated timelines* may include:
- deadline agreed with supervisor
- enterprise deadline
- deadline agreed with accounting department

Purpose of report may include:
- analysing performance
- measuring strengths and weaknesses
- planning for new financial year
- preparing budgets and setting goals

***Nominated person* may include:**
- accountant
- business manager
- supervisor

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BSAFIN401B **Produce reports as required for cash flow forecasts and budgetary purposes**

Range of Variables

Relevant data may include:
- income (eg. sales, interest)
- expenses (eg. stock purchases, materials, rent, wages)

Nominated internal and/or external sources may include:
- enterprise accounts department
- suppliers
- Australian Bureau of Statistics
- government departments/authorities
- competitors

Indices and historical data may include:
- consumer price index
- past sales figures
- government statistics
- market trends
- demographic data

Appropriate report design and structure may include:
- table of contents
- figures/financial data
- explanatory notes
- recommendations and contingencies
- graphs, tables, charts
- distribution list

Nominated personnel **may include:**
- supervisor
- senior administration
- sales department
- management
- purchasing department

Designated timelines **may include:**
- end of budget period
- deadline agreed with management
- deadline agreed with supervisor

BSAFIN401B **Produce reports as required for cash flow forecasts and budgetary purposes**

<table>
<tr><td align="center">Range of Variables</td></tr>
<tr><td>

Draft financial forecasts/ budget may include:
- projecting outflows for expenses
- projecting cash flow for specific projects
- projecting outflows for cost of goods sold
- projecting outflows for major purchases
- projecting outflows for debt management
- projecting inflows from revenues, i.e. sales

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Relevant records may include:
- paper-based
- electronic
- enterprise accounting package

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<tr><td>

Designated timelines **may include:**
- on finalising report
- when current position is known

</td></tr>
</table>

BSAFIN401B **Produce reports as required for cash flow forecasts and budgetary purposes**

Evidence Guide

Critical aspects:
- purpose of report is clarified with *nominated person* if necessary
- relevant data is obtained from appropriate sources
- data is obtained according to *enterprise policies and procedures*
- costs (eg. material, labour, overhead) are correctly calculated including:
  - analysis of direct costs
  - analysis of fixed and variable costs
- break-even analysis is prepared if required
- cost per unit is accurately determined
- costing system is maintained and accurately reflects changes in the market
- costing system is up-to-date, accurate and confidential
- report identifies likely contingencies and final cost/price is prepared within *designated timelines*
- all data and calculations are accurately and clearly presented
- percentage rate increases are determined by consulting relevant indices and other sources and in discussion with supervisor
- report is prepared using appropriate format and structure, according to enterprise requirements
- draft reports are self-checked for relevance, format and accuracy of content
- report is presented to *nominated person* for review/approval within *designated timelines*
- records are updated to reflect current financial position
- relevant personnel are notified of updates according to *enterprise policies and procedures*

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 policies and procedures*
- sample financial reports
- calculator
- computer and relevant software
- relevant indices and other information

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.

BSAFIN401B **Produce reports as required for cash flow forecasts and budgetary purposes**

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*
- roles of relevant personnel/departments
- use of relevant indices and other information
- enterprise report format
- relevant software applications

skills
- literacy: reads and understands complex financial procedures; follows and writes detailed instructions organised sequentially
- numeracy: demonstrates knowledge of mathematical concepts; draws on prior mathematical knowledge, diagrammatic and other mathematic representation to interpret mathematical information; 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; adheres to designated timelines
- communication: presents oral/written financial report; answers questions and provides information; discusses and explains implications of financial forecasts
- problem solving: uses developed estimation skills to check outcomes; compares results to anticipated outcomes to confirm results

BSAFIN401B   **Produce reports as required for cash flow forecasts and budgetary purposes**

<table>
<tr><td colspan="7">Key Competencies</td></tr>
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<td>Communicating ideas and information</td>
<td>Collecting, analysing and organising information</td>
<td>Planning and organising activities</td>
<td>Working with others in a team</td>
<td>Using mathematical ideas and techniques</td>
<td>Solving problems</td>
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</table>

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

BSZ401A   **Plan assessment**

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

Element of Competency	Performance Criteria
Establish evidence required for a specific context	• The evidence required to infer competency from the industry/enterprise competency standards, or other standards of performance, is established for a specified context • Relevant unit(s) of competency is read and interpreted accurately to identify the evidence required • Specified evidence requirements: – assure valid and reliable inferences of competency, authenticate the performance of the person being assessed and confirm that competency is current • Sufficient evidence is specified to show consistent achievement of the specified standards • The cost of gathering the required evidence is established
Establish suitable assessment method(s)	• Assessment methods are selected which are appropriate for gathering the type and amount of evidence required • Opportunities to consolidate evidence gathering activities are identified • Allowable adjustments in the assessment method are proposed to cater for the characteristics of the person(s) being assessed

BSZ401A   **Plan assessment**

Element of Competency	Performance Criteria
Develop assessment tools appropriate to a specific assessment context	• An assessment tool is developed to gather valid, reliable and sufficient evidence for a specific assessment context • The assessment tool is designed to mirror the language used to demonstrate the competency in a specific context • Clear instructions (spoken or written) are prepared including any adjustments which may be made to address the characteristics of the person(s) being assessed • The assessment tool is checked to ensure flexible, fair, safe and cost-effective assessment to occur
Trial assessment procedure	• Assessment methods and tools are trialed with an appropriate sample of people to be assessed • Evaluation of the methods and tools used in the trial provides evidence of clarity, reliability, validity, fairness, cost effectiveness and ease of administration • Appropriate adjustments are made to improve the assessment method and tools in light of the trial • Assessment procedures, including evidence requirements, assessment methods and tools, are ratified with appropriate personnel in the industry/enterprise and/or training organisation where applicable

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Range of Variables

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

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

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

- location of the assessment such as:
  - on the job or off the job
  - combination of both

- Assessment Guidelines of Training Package or other assessment requirements

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Range of Variables

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

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

BSZ401A   **Plan assessment**

Range of Variables

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

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

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

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

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Range of Variables

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

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

Assessment environment and resources to be considered include:
- time
- location
- personnel
- finances/costs
- equipment
- materials
- OHS requirements
- enterprise/industry standard operating procedures

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

Evidence Guide

Critical aspects of evidence

Assessment requires evidence of the following products to be collected:
- documentation in relation to:
    – specific assessment context, including the purpose of assessment
    – features of the assessment system
    – characteristics of the person being assessed
    – evidence of competency required
    – plan of opportunities for gathering the evidence required
    – assessment methods selected including any allowable adjustments to meet characteristics of person(s) being assessed
- an assessment tool(s) for the specific assessment context which ensures valid, reliable, flexible and fair assessment including any allowable adjustments
- an assessment procedure for the specific context

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

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

BSZ401A **Plan assessment**

Evidence Guide

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

Resource implications
- access to relevant competencies, sources of information on assessment methods, assessment tools and assessment procedures
- access to person(s) wishing to be assessed, any relevant workplace equipment, information and appropriate personnel

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

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

<table>
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<tr><td colspan="7">Utilisation of the Key Competencies required in the performance of this unit</td></tr>
<tr>
<td>Collect, Analyse & Organise Information</td>
<td>Communicate Ideas & Information</td>
<td>Plan & Organise Activities</td>
<td>Work with Others & in Teams</td>
<td>Use Mathematical Ideas & Techniques</td>
<td>Solve Problems</td>
<td>Use Technology</td>
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</tr>
</table>

Performance levels:

Level 1	Level 2	Level 3
• carries out established processes • makes judgements of quality using given criteria	• manages processes • selects the criteria for the evaluation process	• establishes principles and processes • evaluates and reshapes processes • establishes criteria for evaluation of processes

BSZ402A **Conduct assessment**

This unit covers the requirements for conducting an assessment in accordance with an assessment procedure in a specific context.

Element of Competency	Performance Criteria
Identify and explain the context of assessment	• The context and purpose of assessment are discussed and confirmed with the person(s) being assessed • The relevant performance standards to be used in the assessment (eg. current endorsed competency standards for the specific industry) are clearly explained to the person being assessed • The assessment procedure is clarified and expectations of assessor and candidate are agreed • Any legal and ethical responsibilities associated with the assessment are explained to the person(s) being assessed • The needs of the person being assessed are determined to establish any allowable adjustments in the assessment procedure • Information is conveyed using language and interactive strategies and techniques to communicate effectively with the person(s) being assessed
Plan evidence gathering opportunities	• Opportunities to gather evidence of competency, which occurs as part of workplace or training activities, are identified covering the dimensions of competency • The need to gather additional evidence which may not occur as part of the workplace or training activities are identified • Evidence gathering activities are planned to provide sufficient, reliable, valid and fair evidence of competency in accordance with the assessment procedure

BSZ402A **Conduct assessment**

Element	Performance Criteria
Organise assessment	• The resources specified in the assessment procedure are obtained and arranged within a safe and accessible assessment environment • Appropriate personnel are informed of the assessment • Spoken interactions and any written documents employ language and strategies and techniques to ensure the assessment arrangements are understood by all person(s) being assessed and appropriate personnel
Gather evidence	• Verbal and non-verbal language is adjusted and strategies are employed to promote a supportive assessment environment to gather evidence • The evidence specified in the assessment procedure is gathered, using the assessment methods and tools • Evidence is gathered in accordance with specified allowable adjustments where applicable • The evidence gathered is documented in accordance with the assessment procedure
Make the assessment decision	• The evidence is evaluated in terms of: – validity – authenticity – sufficiency – currency – consistent achievement of the specified standard • The evidence is evaluated according to the dimensions of competency: – task skills – task management skills – contingency management skills – job/role environment skill – transfer and application of knowledge and skills to new contexts • Guidance is sought, when in doubt, from a more experienced assessor(s) • The assessment decision is made in accordance with the criteria specified in the assessment procedure

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BSZ402A   **Conduct assessment**

Element	Performance Criteria
Record assessment results	• Assessment results are recorded accurately in accordance with the specified record keeping requirements • Confidentiality of assessment outcome is maintained and access to the assessment records is provided only to authorised personnel.
Provide feedback to persons being assessed	• Clear and constructive feedback in relation to performance is given to the person(s) being assessed using language and strategies to suit the person(s) including guidance on further goals/training opportunities is provided to the person(s) being assessed • Opportunities for overcoming any gaps in competency, as revealed by the assessment, are explored with the person(s) being assessed • The person(s) being assessed is advised of available reassessment opportunities and/or review appeal mechanisms where the assessment decision is challenged
Report on the conduct of the assessment	• Positive and negative features experienced in conducting the assessment are reported to those responsible for the assessment procedure • Any assessment decision disputed by the person(s) being assessed is recorded and reported promptly to those responsible for the assessment procedure • Suggestions for improving any aspect of the assessment process are made to appropriate personnel

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Range of Variables

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

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

Specific assessment context may be determined by:
- purpose of the assessment, such as
    - to gain a particular qualification or a licence
    - to determine employee classification
    - to identify training needs or progress
    - to recognise prior learning/current competencies.
- location of the assessment, such as
    - on the job or off the job
    - combination of both
- Assessment Guidelines of the relevant Training Package or other assessment requirements
- features of assessment system

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

Range of Variables

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

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

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

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

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

Range of Variables

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

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

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

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

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

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

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

BSZ402A   **Conduct assessment**

<table>
<tr><td align="center">

Evidence Guide

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Critical aspects of evidence

Assessment requires evidence of the following products to be collected:
- description of the assessment context, including the purpose of assessment,
- the relevant competency or other performance standard and assessment procedure used
- description of how evidence gathered is valid, authentic, sufficient, fair and reliable to ensure competency
- conduct of assessment in accordance with competency requirements
- recording of the assessment results in accordance with the specified assessment procedure and record keeping requirements
- report on the conduct of the assessment, including positive and negative features and suggestions for improving any aspect of the assessment process

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

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

</td></tr>
</table>

Evidence Guide

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

Resource implications:
- access to relevant competencies, sources of information on assessment methods, assessment tools and assessment procedures
- access to person(s) wishing to be assessed, relevant workplace equipment, information and appropriate personnel

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

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

BSZ402A   **Conduct assessment**

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Collect, Analyse & Organise Information	Communicate Ideas & Information	Plan & Organise Activities	Work with Others & in Teams	Use Mathematical Ideas & Techniques	Solve Problems	Use Technology
3	2	2	2	2	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

BSZ403A   Review assessment

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

Element of Competency	Performance Criteria
Review the assessment procedure(s)	• Appropriate personnel are given the opportunity to review the assessment outcomes and procedure using agreed evaluation criteria • The review process established by the enterprise, industry or registered training organisation is followed • The assessment procedure(s) is reviewed at a specified site in cooperation with person(s) being assessed, and any appropriate personnel in the industry/enterprise/training establishment and/or any agency identified under legislation • Review activities are documented, findings are substantiated and the review approach evaluated.
Check consistency of assessment decision	• Evidence from a range of assessments is checked for consistency across the dimensions of competency • Evidence is checked against the key competencies • Consistency of assessment decisions with defined performance standards are reviewed and discrepancies and inconsistencies are noted and acted upon
Report review findings	• Recommendations are made to appropriate personnel for modifications to the assessment procedure(s) in light of the review outcomes • Records are evaluated to determine whether the needs of appropriate personnel have been met • Effective contributions are made to system-wide reviews of the assessment process and feedback procedures and are reviewed

---

Range of Variables

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

The assessment system should specify the following:
- the purpose of assessment
- competencies required of assessors
- record keeping procedures and policies
- any allowable adjustments to the assessment method which may be made 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, renumeration, progression
- relevant policies
- quality assurance mechanisms
- apportionment of costs/fees (if applicable)
- marketing/promotion of assessment
- verification arrangements
- auspicing arrangements, if applicable
- partnership arrangements, if applicable

Specific assessment context may be determined by:
- purpose of the assessment such as
- to gain a particular qualification or a licence
- to determine employee classification
- to identify training needs or progress
- to recognise prior learning/current competencies
- location of the assessment such as
- on the job or off the job
- combination of both
- Assessment Guidelines of Training Package or other assessment requirements
- features of assessment system

BSZ403A   **Review assessment**

Range of Variables

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

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

Range of Variables
Appropriate personnel may include: • assessors • person(s) being assessed • employee/union representatives • consultative committees • users of assessment information such as training providers, employers, human resource departments • State/Territory Training/Recognition Authorities • training and assessment coordinators • relevant managers/supervisor/team leaders • technical specialists.
Assessment procedure: • The assessment procedure is developed (and endorsed) by person(s) responsible for the implementation of the assessment process in: • the industry • the enterprise • the training organisation • a combination of the above
The assessment procedure should specify the following: • recording procedure • appeal/review mechanism • assessment methods to be used • instructions/materials to be provided to the person(s) being assessed • criteria for making decisions of competent, or not yet competent • number of assessors • assessment tools • evidence required • location of assessment • timing of assessment • assessment group size • allowable adjustments to the assessment procedure depending on characteristics of person(s) being assessed

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Range of Variables

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

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

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

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

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

Assessment environment and resources to be considered
- time
- location
- personnel
- finances/costs
- equipment
- materials
- OHS requirements
- enterprise/industry standard operating procedures

BSZ403A   **Review assessment**

Evidence Guide

Critical aspects of evidence

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

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

---

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

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

BSZ403A   Review assessment

Evidence Guide
Resource implications: – access to relevant competencies, sources of information on assessment methods, assessment tools, assessment procedures and assessment review mechanisms – access to assessment decisions, relevant workplace equipment, appropriate personnel
Consistency in performance Competency in this unit needs to be assessed over a period of time, in a range of contexts and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.
Context for assessment Assessment may occur on the job or in a simulated workplace. The candidate assessor should use competencies relevant to their technical expertise.

BSZ403A   **Review assessment**

<table>
<tr><th colspan="7">Key Competencies</th></tr>
<tr><td colspan="7">Utilisation of the Key Competencies required in the performance of this unit</td></tr>
<tr>
<td>Collect, Analyse & Organise Information</td>
<td>Communicate Ideas & Information</td>
<td>Plan & Organise Activities</td>
<td>Work with Others & in Teams</td>
<td>Use Mathematical Ideas & Techniques</td>
<td>Solve Problems</td>
<td>Use Technology</td>
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<td>3</td>
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</tr>
</table>

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

BSZ404A **Train small groups**

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

Element of Competency	Performance Criteria
Prepare for training	• Specific needs for training are identified and confirmed through consultation with appropriate personnel • Training objectives are matched to identified competency development needs • Training approaches are planned and documented
Deliver training	• Training is conducted in a safe and accessible environment • Training delivery methods are selected appropriate to training participant(s) needs, trainer availability, location and resources • Strategies and techniques are employed which facilitate the learning process • Objectives of the training, sequence of activities and assessment processes are discussed with training participant(s) • A systematic approach is taken to training and the approach is revised and modified to meet specific needs of training participant(s)
Provide opportunities for practices	• Practice opportunities are provided to ensure that the participant achieves the components of competency • Various methods for encouraging learning are implemented to provide diverse approaches to meet the individual needs of participants

BSZ404A   **Train small groups**

Element of Competency	Performance Criteria
Review training	• Participants are encouraged to self evaluate performance and identify areas for improvement • Participants readiness for assessment is monitored and assistance provided in the collection of evidence of satisfactory performance • Training is evaluated in the context of self-assessment, participant feedback, supervisor comments and measurements against objectives • Training details are recorded according to enterprise and legislative requirements • Results of evaluation are used to guide further training

---

Range of Variables

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

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

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

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

---

Range of Variables

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

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

Resources may include:
- time
- location
- personnel
- materials and equipment
- OHS and other workplace requirements
- enterprise/industry standard operating procedures
- finances/costs

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

Evidence Guide

Critical aspects of evidence

Assessment requires evidence of the following products to be collected:
- description of the specific training need and required competency outcomes
- outline of the training approach and steps to be followed
- description of training participant(s) and delivery method(s) to be used
- specific resources required
- outline of the evidence to be collected for monitoring training participant progress
- trainer's self assessment of training delivery
- participant evaluation of training delivery
- evaluation of review comments against plan of training
- records/documentation for monitoring progress of training participant(s)

Evidence may be collected using proformas or template

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

Evidence may be provided verbally or in written form.

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

Evidence Guide

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

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Resource implications
Access to records system for training, information, and training participants and supervisory staff (where appropriate).

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

Context for assessment
Assessment may occur on the job or in a simulated workplace. Candidate workplace trainers should use competencies relevant to their area of technical expertise.

BSZ404A   Train small groups

Key Competencies
Utilisation of the Key Competencies required in the performance of this unit

Collect, Analyse & Organise Information	Communicate Ideas & Information	Plan & Organise Activities	Work with Others & in Teams	Use Mathematical Ideas & Techniques	Solve Problems	Use Technology
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

BSZ405A   **Plan and promote a training program**

This unit covers the requirement for persons to plan a training program. This involves the identification of competencies to meet the needs of a target group and the planning and promotion of appropriate training strategies.

Element of Competency	Performance Criteria
Identify the competency needs	• The client, target group and appropriate personnel are identified and required goals and outcomes of the training program are negotiated and confirmed with the client • Relevant competency or other performance standards for the target group are obtained and verified with appropriate personnel • Gaps between the required competencies and current competencies of the target group are determined • Current competencies and any relevant characteristics of each participant in the target group are identified using appropriate investigation methods
Document training program requirements	• Training program goals are identified to specify required knowledge and skill and links to specified units of competency qualification and/or other standards of performance • Training program documentation specifies the range of workplace applications, activities and tasks that must be undertaken to develop the requisite competencies • Available training programs and resources are customised to meet specific client needs, where required • Appropriate grouping of activities is identified to support formative and summative assessments • Overview of training sessions including appropriate timing and costs is prepared and confirmed with appropriate personnel including those relating to language, literacy and numeracy and specified in documentation • Methods of supporting and guiding participants within the target group are identified and specified

Element of Competency	Performance Criteria
Identify program resources	• Resources required for the program are identified and approved by appropriate personnel and allocated to meet training participants' characteristics are allocated • Safe and accessible training environment are identified and arranged to support the development of competencies • Arrangements are made with personnel required to support the training program • A register of training resources is maintained and held in an accessible form
Promote training	• Advice on the development of the training program is provided to appropriate personnel • Information on planned training events is made widely available, utilising a variety of methods • Promotional activities are monitored for effectiveness in collaboration with the client and appropriate personnel

---

Range of Variables

Training program:
- a collection of training activities to develop competencies of a target group
  Clients provide the approvals for expenditure of training resources. Target group may include:
  – employee groups (eg particular classification or work area, female employees)
  – groups or individuals with special training and/or recognition needs

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Training may be:
- on the job
- in a simulated setting
- in a training organisation
- in a combination of locations to suit the units of competency being learned and/or assessed
- in a single site or multi-site operation

Clients may include:
- a department/division
- a work area
- an enterprise or organisation

Clients needs may include:
- increased productivity
- increased enterprise profitability
- attainment of specified industry or enterprise competencies
- achievement of community priorities
- achievement of government priorities

Information on the required competencies may be collected from:
- industry/enterprise competency standards
- licensing requirements
- standard operating procedures
- job descriptions
- discussions with client group
- enterprise skills audit reports
- industry skills audit reports
- benchmarking reports
- industry publications or reports
- government reports
- market needs analysis reports

Range of Variables

Training program may be based on:
- national industry training packages
- enterprise training packages
- agreed curriculum
- international standards

Target group competencies may be identified by:
- matching enterprise/client needs to available national industry training packages
- reports on assessment of competencies
- enterprise training and assessment record keeping system
- self, peer or supervisor reports

Appropriate personnel may include:
- team leaders/supervisors/managers/employers
- participant/employee/learner
- technical and subject experts including, language, literacy, numeracy specialists
- government regulatory bodies
- union/employee representatives
- consultative committees
- users of training information such as training providers, employers, human resource departments State/Territory Training/Recognition Authorities
- assessment / training partners
- trainers/teachers and assessors

Training program delivery may involve:
- enterprise workplace based delivery
- training provider based delivery
- community based delivery
- school based delivery
- international programs
- combination of the above

Range of Variables

Characteristics of participants may include:
- language, literacy and numeracy needs
- cultural language and education background
- educational background or general knowledge
- gender
- age
- physical ability
- previous experience with the topic
- experience in training and assessment
- level of confidence, nervousness or anxiety

Variables for achieving competency may include:
- characteristics of training participants
- resources (time, location , space, people and costs)
- language, literacy and numeracy issues

Training delivery methods may include:
- face to face
- distance learning
- lock step, partly self paced, all self paced
- trainer centred, participant centred
- real time, time independent
- place dependent, place independent
- interactive (eg audio, or video conferencing, computer assisted, discussion)
- mentoring
- active learning
- coaching

Range of Variables
Training support may include: • technical experts (including particular subject and language and literacy specialists) • equipment • team leaders/supervisors/managers/employers • enterprises • assessment/training partners • trainers/teachers and assessors • training and assessment coordinators
Training materials may include: • non-endorsed components of a training package • work books • workshop guides • background reading materials/documents • handouts • industry/enterprise competency standards • supportive policies and legislation • specific language, literacy and numeracy support material

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Evidence Guide

Critical aspects of evidence

Assessment requires evidence of the following products to be collected:
- description of client, target group and appropriate personnel
- analysis of training needs of target group
- documentation on consultations with appropriate personnel throughout the program development phase
- outline of training program goals and supporting documentation including variables which may impact on the achievement of program goals
- documentation on training resources and any other requirements for the training program

Assessment requires evidence of the following processes to be provided:
- how client, target group and appropriate personnel were identified
- how required competencies were determined to meet the client needs
- why there is a need for training as opposed to other non-training alternatives
- how the need for training was verified with appropriate personnel
- how appropriate personnel approved training program resources
- how language, literacy and numeracy issues were taken into consideration in the planning process

---

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

Evidence Guide

Required knowledge and skills
- understanding Assessment and Workplace Training Competency Standards and Assessment Guidelines
- relevant competency standards, including industry or enterprise standards of performance
- relationships of competencies to industrial agreements, classification systems and Australian Qualifications Framework (AQF)
- relevant workplace policies and procedures that apply to that work and (any) related legislation or regulatory requirements(eg OHS and anti-discrimination regulations)
- competency in unit(s) of competency relevant to the training program
- understanding of the principles of adult learning and competency based training as applied to the target group and client
- identification and correct use of equipment, processes and procedures relevant to competencies
- knowledge of methods of training needs analysis and planning
- sources of assistance for participants requiring language or other particular training support
- planning own work including predicting consequences and identifying improvements
- language, literacy and numeracy skills required to:
  – collect, summarise and interpret relevant information to plan a program
  – communicate in spoken and written form with a range of people in the specified training context
  – adjust spoken and written language to suit audience
  – prepare and/or customise training materials and specified documentation using clear and comprehensible language and layout
  – calculate and estimate costs, time and length of training programs
- awareness of language, literacy and numeracy issues relevant to the context of training and assessment, including current theories on the integration of LL&N with technical training
- communication skills appropriate to the culture of the workplace, appropriate personnel and target group

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Resource implications
Access to target group, potential opportunities to identify training needs of a target group, relevant competencies or other standards of performance and resources.

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

Context for assessment
Assessment may occur on the job or in a simulated workplace.

BSZ405A   **Plan and promote a training program**

Key Competencies
Utilisation of the Key Competencies required in the performance of this unit

Collect, Analyse & Organise Information	Communicate Ideas & Information	Plan & Organise Activities	Work with Others & in Teams	Use Mathematical Ideas & Techniques	Solve Problems	Use Technology
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

BSZ406A   **Plan a series of training sessions**

This unit covers the requirement for persons who implement a training program for a target group. This involves planning a series of training sessions to meet the identified competency requirements of the target group.

Element of Competency	Performance Criteria
Identify training requirements	• Current competencies of the target group are identified • Relevant training package documentation or approved training course documentation is obtained where applicable • Qualification requirements, competencies and/or other performance standards to be attained are interpreted • Training requirements are identified from the gap between the required competencies and the current competencies of the target group • Training requirements are confirmed with appropriate personnel

BSZ406A   **Plan a series of training sessions**

Element of Competency	Performance Criteria

Develop outlines of training sessions	• The training program goals, outcomes, performance and underpinning knowledge requirements are identified
	
	• The training program requirements, workplace application, activities and tasks required to develop the requisite competencies are analysed
	
	• A range of training delivery methods are identified which are appropriate for:
	  – the competencies to be achieved
	  – training program's goals
	  – characteristics of training participants
	  – language, literacy and numeracy skill level of training participants
	  – availability of equipment and resources
	  – industry/enterprise contexts and requirements
	
	• Training session outlines are mapped against required competencies and deficiencies are identified and addressed
	
	• Special requirements for resources, particular practice requirements and training experiences are documented
	
	• Methods of supporting and guiding training participants including appropriate training resources, language, literacy and numeracy support are specified

Element of Competency	Performance Criteria
Develop training materials	• Available materials to support the training program are checked for relevance and appropriateness in terms of the language, style, characteristics of training participants and copyright • Existing materials are customised or resources are developed to enhance the learning capability of training participants to achieve in the delivery setting • Instructions for use of learning materials and any required equipment are provided • Copyright laws are observed • Training resource costs are identified and approvals are obtained from appropriate personnel • Clear and comprehensible documentation, resources and materials developed and used

BSZ406A   **Plan a series of training sessions**

Element of Competency	Performance Criteria

Develop training sessions	• Training session plans are developed to meet the goals of the training program
	
	• Training session plans specify session planned outcomes
	
	• Opportunities are created within training session design for participants to manage own competency acquisition and apply the relevant competencies in practice
	
	• Session plans identify delivery methods which are appropriate for:
	  – the competency to be achieved
	  – training program's goals
	  – training participants' characteristics
	  – language, literacy and numeracy skill level of training participants
	  – learning resources and facilities to be used
	  – equipment and consumable resources available
	  – industry/enterprise/workplace contexts and requirements
	  – each outlined training session
	
	• Training sessions are designed to measure participant progress towards the program goals
	
	• Sequence and timing of the training sessions are documented

Arrange resources	• Resources required for the training sessions are identified and, where special access is required, approved by appropriate personnel • Appropriate training locations are identified and arranged • Arrangements are made with (any) additional personnel required to support the training program • The training environment arranged is safe, accessible and suitable for the acquisition of the identified competencies • Learning resources, documentation on required competencies, assessment procedures and information on available support for training participants is organised and held in an accessible form

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Range of Variables

Training program may include:
- a collection of training activities to meet competency requirements and target group and client needs. Clients provide the approvals for expenditure of training resources. Target group is the group for whom training is available and may include:
  - employee groups (eg particular classification or work area, female employees)
  - groups or individuals with special training and/or recognition needs.

Training may be conducted:
- on the job
- in a simulated setting
- in a training organisation
- in a combination of locations to suit the units of competency being learned and/or assessed
- in a single site or multi site operation
- in a work environment.

Appropriate personnel may include:
- trainers/teachers and assessors
- team leaders/supervisors/managers/employers
- participant/employee/learner
- technical /subject experts
- government regulatory bodies
- union/employee representatives
- consultative committees
- users of training information such as training providers, employers, human resource departments
- State/Territory Training/Recognition Authorities
- language, literacy, numeracy specialists
- assessment/training partners.

Training programs may be based on:
- national industry training packages
- enterprise training packages
- national, state and local curriculum
- enterprise based standards, standards of performance or curriculum
- international standards
- international programs.

Range of Variables

Target group competencies may be identified by:
- reports on assessment of competencies
- content analysis of curriculum vitae
- enterprise training and assessment record keeping system
- industry training and assessment recording system
- self, peer or supervisor reports.

Training sessions may involve:
- theory
- demonstration
- combination of the two.

Training programs may involve:
- enterprise based delivery
- provider based delivery
- fee for service
- local, state or national curricula
- community based delivery
- school based delivery
- international programs
- combination of the above.

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

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Range of Variables

Variables for achieving competency include:
- characteristics of training participants
- resources (time, location , space, people and costs)
- language, literacy and numeracy issues.

Training delivery methods include:
- face to face
- distance
- lock step, partly self paced, all self paced
- trainer centred, participant centred
- real time, time independent
- place dependent, place independent
- interactive (eg audio or video conferencing, computer assisted, discussion).

Materials may include:
- non-endorsed components of an industry training package
- work books
- language, literacy and numeracy support/integrated training materials
- workshop guides
- background reading materials/documents
- handouts
- industry/enterprise competency standards
- supportive policies and legislation.

Training support may include:
- technical and subject experts
- language and literacy specialists
- team leaders/supervisors/managers/employers
- specific enterprises
- assessment/training partners
- trainers/teachers and assessors
- training and assessment coordinators.

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Range of Variables

Practice opportunities may include:
- on the job
- off the job but located in participant's workplace
- off the job in a special demonstration area
- off the job in an external training room
- work/field placements
- job rotation
- or a combination of the above.

Training activities and tasks may include:
- oral presentations
- simulation activities
- project work
- group activities
- practical demonstrations
- assignments
- laboratory work
- shadowing, coaching, mentoring
- computer based learning
- role plays
- interviews
- discussion groups
- surveys
- action learning
- on the job learning
- off the job learning
- practical placements.

Evidence Guide

Critical aspects of evidence

Assessment requires evidence of the following products to be collected:
- description of target group, characteristics of training participants and appropriate personnel
- outline of training program requirements to deliver training sessions, including any variables to meet to meet the characteristics of training participants
- training session plans
- samples of training materials
- documentation of resources, assessment procedures and support needed in training delivery.

Assessment requires evidence of the following processes to be provided:
- how appropriate personnel were consulted
- how consultation took place with appropriate how the session plans meet competency requirements and characteristics of training participants
- how the training was made accessible and effective for all training participants
- how training materials and resources were selected
- how training materials were prepared
- why training methods of delivery were selected
- how/why training delivery was modified
- how language, literacy and numeracy issues were taken into consideration in the planning process.

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

Evidence Guide

Required knowledge and skills
• Assessment and Workplace Training Competency Standards
• relevant competency standards, including industry or enterprise standards of performance
• relationships of competencies to industrial agreements, classification systems and Australian Qualifications Framework (AQF)
• relevant workplace policies and procedures that apply to that work and (any) related legislation or regulatory requirements
• competency in unit(s) of competency relevant to the training program
• principles of adult learning and competency based training
• identification and correct use of equipment, processes and procedures relevant to unit(s) of competencies
• appropriate methods of analysis and planning
• sources of assistance for participants requiring language or other particular training support
• planning own work, including predicting consequences and identifying improvements
• language, literacy and numeracy skills to:
  – collect, summarise and interpret relevant information to plan a series of programs
  – communicate in spoken and written form with a range of people in specified training context
  – adjust spoken and written language to suit audience
  – prepare and/or customise training materials and specified documentation using clear and comprehensible language and layout
  – calculate and estimate costs, time and length of training sessions
• awareness of language, literacy and numeracy issues relevant to the context of training and assessment, including current theories on the integration of LL&N with technical training
• application of cultural understanding in the context of training and assessment

Resource implications Access to target group, competency training program including relevant standards and resources.
Consistency in performance may include Competency in this unit needs to be assessed over a period of time, on multiple occasions, and in a range of contexts involving a combination of direct, indirect and supplementary forms of evidence.
Context for assessment Assessment may occur on the job or in a simulated workplace.

BSZ406A   **Plan a series of training sessions**

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Collect, Analyse & Organise Information	Communicate Ideas & Information	Plan & Organise Activities	Work with Others & in Teams	Use Mathematical Ideas & Techniques	Solve Problems	Use Technology
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

BSZ407A   **Deliver training sessions**

This unit covers the requirements for a person to deliver training sessions as part of a training program.

Element of Competency	Performance Criteria
Prepare training participants	• Training program goals and training session outcomes are explained to, and discussed with, training participants • The training program workplace applications, training activities and tasks are explained and confirmed with the training participants • Needs of training participants for competency acquisition are identified • The series of training sessions for the training program are explained to training participants • Ways in which the competencies are to be developed and assessed are explained to, and confirmed with, training participants • Language is adjusted to suit the training participants and strategies / techniques (eg paraphrasing and questioning) are employed to confirm understanding

BSZ407A   **Deliver training sessions**

Element of Competency	Performance Criteria

Present training session	• Presentation and training delivery are appropriate to the characteristics of training participants and the development of the competencies
	
	• Presentation of training and design of learning activities emphasise and reinforce the components of competency
	  – task skills
	  – task management skills
	  – contingency management skills
	  – job/role environment skills
	  – transfer and application of skills and knowledge to new contexts
	
	• Presentation and training delivery methods provide variety, encourage participation and reinforce competencies
	
	• Spoken language and communication strategies / techniques are used strategically to encourage participation and to achieve the outcomes of training sessions
	
	• Training sessions are reviewed and modified as necessary to meet training participants' needs

BSZ407A   **Deliver training sessions**

Element of Competency	Performance Criteria
Facilitate individual and group learning	• The requirements for the effective participation in the learning process is explained • Timely information and advice is given to training participants during training sessions • Training presentations are enhanced with the use of appropriate training resources • Clear and accurate information is presented in a sequence to foster competency development • Language is adjusted to suit training participants • Training participants are actively involved in sessions by being encouraged to ask questions, clarify points of concern and contribute comments at appropriate and identified stages • Training equipment and materials are used in a way that enhances learning • Supplementary information is provided to enhance and clarify understanding as required by individuals or the group • Key points are summarised at appropriate times to reinforce learning • Individual learning and group dynamics are monitored and managed to achieve program goals • Language, literacy and numeracy issues are taken into account to facilitate learning by training participants

BSZ407A   **Deliver training sessions**

Element of Competency	Performance Criteria

Provide opportunities for practice and feedback	• Process, rationale and benefits of practice of competency are discussed with training participants
	
	• Practice opportunities are provided to match:
	  – specific competencies to be achieved
	  – context of the training program
	  – specific outcomes of the training session
	
	• Training participants' readiness for assessment is monitored and discussed with participants
	
	• Constructive feedback and reinforcement are provided through further training and/or practice opportunities

Review delivery of training session	• Training participants review of training delivery is sought • The delivery of training session is discussed with appropriate personnel at appropriate times • Training delivery is evaluated by the trainer against program goals, session plans and Assessment and Workplace Training Competency Standards • The reactions of relevant personnel to the delivery are sought and discussed at appropriate times • Adjustments to delivery, presentation and training are considered and incorporated

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Range of Variables

Training Program:
- A collection of training activities to develop competencies of a target group. Clients provide the approvals for expenditure of training resources. Target groups include:
  - employee groups (eg particular classification or work area, female employees)
  - groups or individuals with special training and or recognition needs.

Appropriate personnel:
- trainers/teachers and assessors
- team leaders/supervisors/managers/employers
- participant/employee/learner
- technical experts
- government regulatory bodies
- union/employee representatives
- consultative committees
- users of training information such as training providers, employers, human resource departments
- State/Territory Training/Recognition Authorities.

Training program may be based on:
- national industry training packages
- enterprise training packages
- national, state and local curriculum
- enterprise based standards, standards of performance or curriculum
- international standards
- international programs.

Training programs may involve:
- enterprise based delivery
- provider based delivery
- fee for service
- local, state or national curricula
- community based delivery
- school based delivery
- international programs
- combination of the above.

Range of Variables

Target group's competencies may be identified by:
- reports on assessment of competencies
- content analysis of curriculum vitae
- enterprise training and assessment record keeping system
- industry training and assessment recording system
- self, peer or supervisor reports.

Training sessions may involve:
- theory
- demonstration
- combination of the two.

Characteristics of participants:
- language, literacy and numeracy needs
- cultural and language background
- educational background or general knowledge
- gender
- age
- physical ability
- previous experience with the topic
- experience in training and assessment
- level of confidence, nervousness or anxiety.

Training delivery methods may include:
- face to face
- distance
- lock step, partly self paced, all self paced
- trainer centred, participant centred
- real time, time independent
- place dependent, place independent
- interactive (eg audio, or video conferencing, computer assisted, discussion).

Training materials may include:
- non-endorsed components of an industry training package
- work books
- workshop guides
- background reading materials/documents
- handouts
- industry/enterprise competency standards
- supportive policies and legislation.

Range of Variables

Practice opportunities may be:
- on the job
- off the job but located in participant's workplace
- off the job in a special demonstration area
- off the job in external training room
- work/field placements
- job rotation
- combination of the above.

Training activities and tasks may include:
- oral presentations
- simulation activities
- project work
- group activities
- practical demonstrations
- assignments
- laboratory work
- shadowing, coaching, mentoring
- computer based learning
- role plays
- interviews
- discussion groups
- surveys
- action learning
- on the job learning
- off the job learning
- practical placements.

Evidence Guide

Critical aspects of evidence

Assessment requires evidence of the following products to be collected:
- delivery of training sessions in a number of contexts using a range of delivery methods to competency requirements
- training materials and resources
- trainers self assessment of their own training delivery
- documentation on reaction of appropriate personnel and training participants to delivery of training sessions
- changes made to subsequent delivery practices based on feedback by training participants and appropriate personnel.

Assessment requires evidence of the following processes to be provided:
- how training participants were informed of the:
  - program's goals
  - competencies to be achieved
  - training session outcomes,
  - on and/or off the job practice opportunities
  - benefits of practice
  - training activities and tasks
  - assessment tasks and requirements
- how the delivery of the training was conducted to ensure that :
  - training participants were involved in the sessions
  - language, literacy and numeracy issues were taken into consideration
- why particular resource materials were selected
- how the characteristics of training participants were identified and addressed
- how readiness for assessment was determined and confirmed with training participants
- how constructive feedback was provided to the target group about their progress toward the program's goals
- how the group operated in terms of processes and dynamics
- how feedback from target group was received and program adjusted.

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

Evidence Guide

Required knowledge and skills
- Knowledge of assessment and workplace training competency standards and assessment guidelines
- relevant competency standards including industry or enterprise standards
- relationships of competencies to industrial agreements, classification systems and the Australian Qualifications Framework (AQF)
- relevant workplace policies and procedures that apply to that work and (any) related legislation on regulatory requirements (eg OHS and anti-discrimination regulations)
- competency in unit(s) of competency relevant to the training program
- identification and correct use of equipment, processes and procedures relevant to unit(s) of competencies
- understanding of the principles of adult learning and competency based training as applied to target group
- design and / or customisation of effective learning resources
- requirements for compliance with copyright law for resources used in training
- skills in facilitating group and individual learning in specific contexts
- knowledge of training delivery methods / strategies
- skills in the design of activities and tasks to facilitate learning in specific contexts
- sources of assistance for participants requiring language or other particular training support
- planning own work including predicting consequences and identifying improvements
- language, literacy and numeracy required skills to :
    - present information in a clear, logical and coherent manner
    - present technical information using language which mirrors the language used to perform the task or skill in the relevant work context
    - adjust spoken and written language to suit audience
    - employ interaction strategies and techniques (eg probing questioning, active listening & constructive feedback) to encourage participation
    - prepare learning resources and materials using language and layout features to suit intended audience
- awareness of language, literacy and numeracy (LL&N) issues and principles in the context of training and assessment, including the integration of LL&N with technical training
- communication skills appropriate to the culture of the workplace, appropriate personnel and target group.

Evidence Guide
Resource implications Access to training program, training session plans, requisite training locations, materials and target groups for training.
Consistency in performance Competency in this unit needs to be assessed over a period of time, in a range of context and on multiple occasions involving a combination of direct, indirect and supplementary forms of evidence.
Context for assessment Assessment should occur in on the job or in a simulated workplace.

BSZ407A   **Deliver training sessions**

Key Competencies						
Utilisation of the Key Competencies required in the performance of this unit						
Collect, Analyse & Organise Information	Communicate Ideas & Information	Plan & Organise Activities	Work with Others & in Teams	Use Mathematical Ideas & Techniques	Solve Problems	Use Technology
3	3	2	3	3	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

BSZ408A   Review training

This unit covers the requirements of persons to record training data and review training.

Element of Competency	Performance Criteria
Record training data	• Details of training program and target group's competency attainment are recorded in accordance with the training system requirements and securely stored • Training records are made available to authorised persons and training participants at the required times, as specified in the training system recording and reporting policy documents

Evaluate training	• Training is evaluated against identified needs and goals of the training program
	
	• Feedback on the training program is sought from training participants and appropriate personnel
	
	• Training participants are encouraged to evaluate how progress towards achieving competency was enhanced by the training sessions
	
	• Trainer's performance is reviewed against:
	  – program goals
	  – the Assessment and Workplace Training Competency Standards
	  – training participants' comments
	  – training participants' competency attainment
	
	• Results of the evaluation are used to improve current and future training
	
	• Suggestions are made for improving any aspect of the recording procedure

Report on training	• Reports on outcomes of the training sessions are developed and distributed to appropriate personnel

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Range of Variables

Training program:
- A collection of training activities to develop competencies. Clients provide the approvals for expenditure of training resources. Target group is the group for whom training is available and may include:
  - employee groups (eg particular classification or work area, female employees)
  - groups or individuals with special training and or recognition needs.

Training may be:
- on the job
- in a simulated setting
- in a training organisation
- in a combination of locations to suit the units of competency being developed and/or assessed
- in a single site or a multi site operation
- a combination of the above.

Clients may include:
- a department/division
- a work area
- an enterprise or organisation.

Client needs may include:
- increased productivity
- increased enterprise profitability
- attainment of specified industry or enterprise competencies
- achievement of community priorities
- achievement of government priorities.

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

Range of Variables

Training system may be developed by:
- the industry
- the enterprise
- the training organisation
- a combination of the above

Reports on training may be:
- on a proforma or template
- written
- verbal
- combination of the above

Training evaluation may include:
- affective (eg. satisfaction with the program)
- cognitive (eg. knowledge or skill gain)
- performance or behaviour (eg. absenteeism from work, productivity)

Appropriate personnel may include:
- trainers/teachers and assessors
- team leaders/supervisors/managers/employers
- participant/employee/learner
- technical experts (eg language and literacy coordinators)
- government regulatory bodies
- union/employee representatives
- consultative committees
- users of training information such as training providers, employers, human resource departments
- State/Territory training/recognition authorities

Record systems may be:
- paper based
- computer based systems using magnetic or optical storage
- combination of both paper and computer based systems

Training session may involve:
- theory
- demonstration
- or a combination of the two

Range of Variables
Training programs may involve: • enterprise based delivery • provider based delivery: • fee for service • local, state or national curricula • community based delivery • school based delivery • international programs • combination of the above
Variables for achieving competency may include: • participant characteristics • resources (time, location, space, people and costs) • language, literacy and numeracy issues
Training delivery methods: • face to face • distance • lock step, partly self paced, all self paced • trainer centred, participant centred • real time, time independent • place dependent, place independent • interactive (eg audio, or video conferencing, computer assisted, discussion)
Training materials may include: • non-endorsed components of an industry training package • work books • workshop guides • background reading materials/documents • handouts • industry/enterprise competency standards • supportive policies and legislation

Range of Variables
Training support may come from: • technical and subject experts (including particular subject and language and literacy specialists) • language and literacy specialists • team leaders/supervisors/managers/employers • specific enterprises • assessment/training partners • trainers/teachers and assessors • training and assessment coordinators
Practice opportunities may be: • on the job • off the job but located in participant's workplace • off the job in a special demonstration area • off the job in external training room • work/field placements • job rotation • a combination of the above

BSZ408A **Review training**

Evidence Guide

Critical aspects of evidence

Assessment requires evidence of the following products to be collected:
- evaluation reports in accordance with performance criteria (trainer, trainees and appropriate personnel)
- training and assessment records
- reports on the outcomes of the training sessions and training program
- plans for current and future training programs and activities
- promotional materials/reports
- costs incurred

Assessment requires evidence of the following processes to be provided:
- how and why evaluation methods were selected
- how evaluation information was gathered and acted upon
- how the report on training sessions/programs was made to appropriate personnel
- how records are maintained, kept confidential and secured

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

Evidence Guide

Required knowledge and skills:
- Assessment and Workplace Training Competency Standards
- relevant competency standards, including industry or enterprise standards of performance
- legal and ethical responsibilities including occupational health and safety regulations and procedures, equal employment and anti-discrimination requirements and other policies relevant to the specified context.
- policies and procedures relating to the organisation's training system including those requirements for recording and maintaining confidential, secure and accurate records
- evaluation and review methodologies including those that produce qualitative and quantitative data
- establishment of criteria to evaluate training programs
- adaptation and use of training record systems for formative and summative assessment
- planning own work including predicting consequences and identifying improvements
- language, literacy and numeracy skills such as those required to :
    - collect, organise and analyse data
    - prepare reports, questionnaires and promotional material
    - present qualitative and quantitative data in a clear and coherent manner
    - use probing questioning and active listening techniques to seek feedback on training
    - adjust spoken and written language to suit audience
- awareness of language, literacy and numeracy issues and principles in the context of training and assessment, including the integration of LL&N with technical training
- application of cultural understanding in the context of training and assessment

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Resource implications
- access to training record systems, programs, and appropriate personnel
- opportunities to discuss training outcomes with appropriate personnel.
- access to unit(s) of competency to be assessed, relevant training programs and materials and resources for the development of training arrangements

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

Context for assessment
Assessment should occur on the job or in a simulated workplace.

BSZ408A   **Review training**

	Key Competencies					

Utilisation of the Key Competencies required in the performance of this unit

Collect, Analyse & Organise Information	Communicate Ideas & Information	Plan & Organise Activities	Work with Others & in Teams	Use Mathematical Ideas & Techniques	Solve Problems	Use 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