



**Australian Government**

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

# **TAATAS401B Maintain information requirements of training and/or assessment organisations**

**Release: 1**

## **TAATAS401B Maintain information requirements of training and/or assessment organisations**

### **Modification History**

Not applicable.

### **Unit Descriptor**

**This unit specifies the competency required to maintain training and/or assessment information requirements.**

### **Application of the Unit**

This unit addresses the timely dissemination of accurate information to learner/s and the recording and reporting of training and/or assessment services data.

In a recognised training and/or assessment environment, this competency reflects the requirements for information management in Registered Training Organisations (RTOs), including the dissemination of critical information and recording and reporting requirements according to Australian Quality Training Framework (AQTF) standards, the Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) and organisational procedures.

In a non-recognised training and/or assessment organisation, the unit relates to the dissemination of critical information and recording and reporting requirements according to legal and organisational requirements.

In smaller training and/or assessment organisations, this unit will typically be used by trainers/facilitators, assessors and consultants. In larger training and/or assessment organisations, this unit will typically be used by personnel where this function would be a major part of their work.

### **Licensing/Regulatory Information**

Not applicable.

### **Pre-Requisites**

Not applicable.

### **Employability Skills Information**

This unit contains employability skills.

## Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.

Performance criteria describe the performance needed to demonstrate achievement of the element. Where **bold italicised** text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.

## Elements and Performance Criteria

### Elements and Performance Criteria

Element	Performance Criteria
1 Provide initial and ongoing information and advice on training and/or assessment services	<p>1.1 Relevant information about the <b>range of training and/or assessment services</b> provided by the <b>training and/or assessment organisation</b> is provided to <b>potential learners</b></p> <p>1.2 Specific <b>learning strategy/learning program</b> content and assessment requirements are explained to learner/s using appropriate <b>communication and interpersonal skills</b></p> <p>1.3 <b>Training schedule</b> is confirmed with <b>relevant personnel</b> and disseminated to learner/s</p> <p>1.4 <b>Relevant organisational policies and procedures</b> relating to training and/or assessment services are accessed, and provided and explained to learner/s in accordance with <b>organisation/legal requirements</b></p> <p>1.5 <b>Learning resources</b> are organised and provided to learners, as required</p> <p>1.6 Further advice and support is provided to learner/s, as required</p>
2 Complete training/assessment records	<p>2.1 <b>Personal learner information</b> is collected, verified and accurately recorded on learner <b>records management system</b></p> <p>2.2 <b>Details of the specific learning strategy/learning program</b> to be undertaken are collected, verified and accurately recorded on the learner records management system</p>

- 2.3 Any **additional requirements** are confirmed and accurately recorded, if relevant
  - 2.4 Learner progress is confirmed and accurately recorded in a timely manner
  - 2.5 Learner assessment outcomes are confirmed and accurately recorded in a timely manner
  - 2.6 **Certification processes** are organised in accordance with national reporting requirements, where appropriate
  - 2.7 **Custody and management requirements** of training and/or assessment information and records are addressed
- 3 Complete reporting requirements
  - 3.1 Final **reporting results and requirements** are completed and forwarded to appropriate personnel for signature, using **systems to support reporting**
  - 3.2 Data for national reporting purposes is finalised, checked and provided to appropriate personnel for signature
  - 3.3 Any **issues/irregularities** in recording and reporting activities are identified, documented and addressed in a timely and effective manner
  - 3.4 Issues/irregularities outside area of responsibility/knowledge are referred to appropriate personnel for resolution, if relevant
  - 3.5 Certification arrangements are finalised, sent to learners and copies stored in accordance with organisational/legal requirements, where appropriate

## Required Skills and Knowledge

Not applicable.

## Evidence Guide

### Evidence Guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

### Overview of Assessment

To demonstrate competency against this unit candidates must be able to provide evidence that they have maintained training/assessment reporting and recording requirements and have applied this knowledge within an established system within a training and/or assessment organisation.

Evidence must also establish that candidates can provide learners with relevant and current learning program information on training and/or assessment services; obtain and collate critical statistical information; record this information using the appropriate information management systems of the training and/or assessment organisation; and complete reporting requirements.

### Evidence Requirements

#### Required knowledge includes:

organisational policies and procedures relating to records and reporting procedures, including internal reporting  
organisational policies and procedures relating to the dissemination of learning strategy/program information to potential/current learner/s  
established training and/or assessment information systems  
training and/or assessment services provided by the organisation  
the collection, recording and reporting of vocational education and training information  
AQTF and AVETMISS requirements, covering:  
records management  
reporting requirements

relevant policy, legislation, codes of practice and national standards including Commonwealth and state/territory legislation, for example:  
copyright and privacy laws in terms of electronic technology  
security of information

recording information and confidentiality requirements  
licensing requirements  
vocational education and training requirements  
duty of care under common law  
anti-discrimination including equal opportunity, racial vilification and disability discrimination  
workplace relations  
industrial awards/enterprise agreements  
OHS responsibilities associated with maintaining training and/or assessment information requirements, including:  
hazards commonly found and preferred risk controls for the specific environment  
OHS procedures to be used in providing information to potential/current learners  
legislative requirements for OHS record keeping and reporting requirements

<b>Required skills and attributes include:</b>	<p>language and literacy skills to:</p> <ul style="list-style-type: none"><li>elicit appropriate and critical information from learners in order to complete recording requirements</li><li>prepare national and state/territory reporting information</li><li>liaise with personnel and managers/supervisors from the training and/or assessment organisation</li><li>liaise with appropriate authority personnel</li><li>interpret a wide range of documents</li></ul> <p>prioritise and self-manage in order to meet reporting deadlines</p> <p>deal with issues within own jurisdiction and authority</p> <p>operate in an established quality system</p>
<b>Products that could be used as evidence include:</b>	<ul style="list-style-type: none"><li>completed AVETMISS/in-house reporting documentation for a learning program</li><li>completed qualification/Statement of Attainment/internal organisational award</li><li>learner progress report</li><li>examples of learning resources organised for a specific learning program</li></ul>
<b>Processes that could be used as evidence include:</b>	<ul style="list-style-type: none"><li>demonstration of personal learner information collected and recorded</li><li>demonstration of learning program information collected and recorded</li><li>demonstration of additional requirements collected and recorded (if relevant)</li></ul>
<b>Resource implications for assessment include:</b>	<ul style="list-style-type: none"><li>access to a range of electronic equipment and/or resources for recording and reporting requirements</li><li>access to supervisors or appropriate personnel</li></ul>
<b>The collection of quality evidence requires that:</b>	<p>assessment must address the scope of this unit and reflect all components of the unit i.e. the Elements, Performance Criteria, Range Statement, Evidence Guide, Employability Skills</p> <p>a range of appropriate assessment methods/evidence gathering techniques is used to determine competency</p> <p>evidence must be gathered in the workplace</p>

wherever possible. Where no workplace is available, a simulated workplace must be provided  
the evidence collected must relate to a number of performances assessed at different points in time and in a learning and assessment pathway these must be separated by further learning and practice  
assessment meets the rules of evidence  
a judgement of competency should only be made when the assessor is confident that the required outcomes of the unit have been achieved and that consistent performance has been demonstrated

**Specific evidence requirements must include:**

provision of initial and ongoing advice on training and/or assessment  
services/programs/specific information requirements to a range of learners  
records management relating to a range of learners  
organisation of certification processes for a range of learners  
completed AVETMISS/in-house reporting documentation for a learning program, covering a range of learners

**Integrated assessment means that:**

this unit can be assessed alone or as part of an integrated assessment activity involving relevant units in the **TAA04 Training and Assessment Training Package**. Suggested units include but are not limited to:  
**TAAASS402C Assess competency**  
**TAADEL402B Facilitate group-based learning**  
**BSBREL402A Build client relationships and business networks**  
**BSBMKG413A Promote products and services.**



## Range Statement

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. **Bold italicised** wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

**Range of training and/or assessment services** may include:

providing recognised training and assessment services leading to a qualification or Statement of Attainment  
providing in-house learning programs  
conducting training needs analysis  
developing endorsed and/or non-endorsed components of a Training Package, including:  
units of competency  
learning resources, assessment materials, professional development resources

**Training and/or assessment organisation** refers to:

a Registered Training Organisation (RTO), i.e. an organisation registered to deliver recognised vocational education and training services; includes TAFE institutes, private commercial colleges/companies, enterprises, community organisations, group training companies and schools  
an organisation working in a partnership arrangement with a RTO to deliver recognised vocational education and training  
an organisation that delivers non-recognised vocational education and training

**Potential learners** are defined as:

potential learners/clients  
current or ongoing learners/clients  
existing industry/enterprise employees  
school leavers/new entrants to the workforce  
apprentices/trainees  
individuals learning new skills/knowledge  
individuals seeking to upgrade skills/knowledge  
individuals changing careers  
individuals who are unemployed  
individuals who have a disability

members of target groups such as Aboriginal

and Torres Strait Islander communities  
overseas learners  
recent migrants  
individuals/groups meeting licensing or other  
regulatory requirements

**A learning strategy** may include:

a nationally endorsed qualification from a  
Training Package or accredited course  
a traineeship or apprenticeship program  
an accredited course which includes Training  
Package outcomes

**A learning program** may include:

a subset of a learning strategy  
a short course/vocational program  
a professional development program  
a community education program  
a workplace learning program  
part of a VET in Schools program  
part of an apprenticeship/traineeship  
a short-term development plan developed by  
a coach  
a short-term induction program

**Communication skills** may include:

using effective and appropriate verbal and  
body language  
building rapport with the learner  
using critical listening and questioning skills  
and techniques  
accurately interpreting verbal messages  
inviting learners to paraphrase  
advice/instructions to the trainer/facilitator  
providing clear and concrete presentations of  
options/advice  
using appropriate terminology and language  
of the industry/profession  
ensuring language, literacy and numeracy  
(LLN) used is appropriate to the learner

**Interpersonal skills** must include:

showing respect for the expertise and  
background of the learner  
demonstrating sensitivity to diversity,  
disability, culture, gender and ethnic  
backgrounds  
engaging in two-way interaction  
encouraging the expression of diverse views  
and opinions

using language and concepts appropriate to  
cultural differences

	accurately interpreting non-verbal messages
<b>Training schedule</b> is defined as:	a calendar of training events for specific learning programs/learning strategies/delivery areas, and may include: start dates and end dates what areas training will address dates and times when training is scheduled venue where training will take place trainers/facilitators, assessors responsible for delivery and/or assessment
<b>Relevant personnel</b> must include:	trainers/facilitators, assessors
<b>Relevant personnel</b> may include:	program coordinator supervisors/managers personnel responsible for analysing statistics and data to ensure the training and/or assessment organisation complies with the relevant standards across all of its operations and training and/or assessment activities users of training information such as finance personnel, human resource personnel, employers contract manager union/employee representatives
<b>Relevant organisational policies and procedures</b> may include:	access and equity grievance and appeals processes enrolment and induction/orientation procedures client services fees and payment schedule mutual recognition obligations support services available assessment procedures/options confidentiality requirements human resources (HR) policies/procedures and legal requirements including anti-discrimination, equal employment, occupational health and safety (OHS)  administrative and records management system, for example: reporting/recording requirements and arrangements maintenance, retention, archiving, retrieval, storage and security of training and/or assessment information and records

privacy and access to training and/or  
assessment information and records  
document version control

**Organisational/legal requirements** may  
include:

registration requirement as defined in the  
AQTF Standards for Registered Training  
Organisations (RTOs)  
state/territory legislation and regulations  
governing registration and accreditation  
requirements of endorsed Training Packages  
requirements set by Commonwealth and  
state/ territory legislation relating to OHS;  
anti-discrimination, workplace/industrial  
relations, workers' compensation;  
apprenticeships/traineeships  
requirements set by awards/enterprise  
bargaining agreements  
requirements set by professional associations  
requirements set by quality systems  
licensing requirements  
organisational requirements

**Learning resources** may include:

Training Package noted support materials,  
such as:  
learner/user guides  
facilitator guides  
how to organise training guides  
example training programs  
specific case studies  
professional development materials  
Assessment Guidelines

other published, commercially available  
support materials for Training Packages or  
accredited courses  
organisational learning resources  
competency standards as a learning resource  
videos  
CDs and audio tapes  
references and texts  
manuals

record/log book  
learning resources and learning materials  
developed under the Workplace English  
Language and Literacy (WELL) program  
learning resources produced in languages  
other than English as appropriate to learner

	group and workplace
<b>Personal learner information</b> may include:	address details contact number date of birth payment details
<b>Learner records management system</b> provides:	an administrative tool to manage the progress of a learner from enrolment to completion
<b>Details of the specific learning strategy/learning program</b> may include:	training and/or assessment organisation details and training and/or assessment location program of training, unit of competency, or module learner information - enrolment form an enrolment, including start date and end date and outcome/results qualification completed (when appropriate) internal/local learning program coding
<b>Additional requirements</b> may include:	fees to be paid payment scheduling legal/contractual agreements training contract information
<b>Certification processes</b> may include:	using the correct certification form accurately entering critical details are, for example: name of learner/candidate name of learning program successfully completed assessment result  dating and signing the qualification/Statement of Attainment/internal organisational award forwarding the completed qualification/Statement of Attainment/internal organisational award to learner sending a copy of the completed qualification/ Statement of Attainment/internal organisational award to the relevant authority  storing a copy of the completed qualification/ Statement of Attainment/internal organisational award in accordance with

	organisational and legal requirements
<b>Custody and management requirements</b> may include:	the secure physical and storage of assessment/training records and information authorised access to assessment/training records and information the secure disposal or return of assessment/training records and information
<b>Reporting results</b> may include:	reporting for apprenticeship/traineeship program delivery reporting for in-house or internal program delivery financial reporting for funding and payments from the funding body availability of all reports and records for audit and monitoring purposes enrolment form performance agreement Training Contract/RTO notification New Apprenticeship Centre (NAC) Incentive Forms/Completion Letter OHS incident reporting systems
<b>Reporting requirements</b> may cover:	AQTF Standards for Registered Training Organisations (RTOs) AVETMISS, nationally consistent standards for the collection, analysis and reporting of vocational education and training organisational documentation
<b>Systems to support reporting</b> may include:	electronic student management system which complies with Student Statistical Collection Guidelines internal organisational recording/reporting systems arrangements for the issuing of qualifications or Statements of Attainment arrangements for recognising and recording current competencies record keeping policies and procedures
<b>Issues/irregularities</b> may include:	inaccuracies or inconsistencies lost information/records not meeting timelines for reporting OHS issues

## **Unit Sector(s)**

Not applicable.

## **Competency Field**

**Training Advisory Services**