



# Clustering units of competency: A guide to how to cluster for delivery and assessment

2nd Edition 2012



Government of Western Australia  
Department of Training  
and Workforce Development

 **TRAINING WA**  
Careers. Skills. Opportunities.

First published 2009  
2<sup>nd</sup> edition 2012

**TITLE:** Clustering units of competency: A guide to how to cluster for delivery and assessment  
(2<sup>nd</sup> edn) 2012

**ISBN** 978-1-74205-825-2

© Department of Training and Workforce Development, Western Australia, 2012

Reproduction of this work in whole or part for educational purposes within an educational institution and on the condition that it is not offered for sale is permitted by the Department of Training and Workforce Development.

This material is available on request in appropriate alternative formats including Braille, audio recording and computer disk.

For further information please contact:

Sector Capability

1 Prospect Place West Perth WA 6005

Telephone: +61 8 9319 5512

Facsimile: +61 8 9229 5486

Email: [pd@westone.wa.gov.au](mailto:pd@westone.wa.gov.au)

Website: [www.westone.wa.gov.au/pd](http://www.westone.wa.gov.au/pd) : [www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au)

## Contents

Introduction .....	5
Definitions of terms.....	6
Section 1 – Why should we cluster units of competency?.....	7
The needs of the student.....	7
Reflecting the workplace .....	7
Assessment and holistic evidence.....	8
To cluster or not to cluster? .....	10
Clustering in high-level AQF qualifications .....	11
Clustering units for delivery .....	12
Clustering for assessment .....	15
Task 1 – Audit project .....	18
Task 2 – Reflective report.....	20
Section 2 – Managing risks when clustering units of competency.....	22
Recognition within clusters .....	22
Qualification structure.....	23
Units from different AQF levels .....	24
Tracking student progress .....	25
Section 3 – Assessment judgements for units of competency within a cluster .....	26
Principles of assessment and rules of evidence .....	26
Mapping clustered units.....	27
Recognition of prior learning.....	27
Section 4 – Case studies .....	38
Case study 1 – Advanced Diploma and Diploma of Music (Western Australian Academy of Performing Arts).....	38
Case study 2 – Coxswain's Restricted Certificate of Competency (Perth Boat School).....	45
Case study 3 – Certificate III in Carpentry and Joinery (Challenger Institute of Technology).....	48

Section 5 – Judging competence in three quality auditing units .....	51
BSBAUD501B Initiate a quality audit – Example of a notated unit.....	51
BSBAUD503B Lead a quality audit .....	57
BSBAUD504B Report on a quality audit.....	61
Employability skills summary for the BSB51607 Diploma of Quality Auditing .....	65
Section 6 – Useful links and resources .....	66

## Introduction

Registered training organisations (RTOs) are tasked with developing learning and assessment strategies, processes and materials that meet the needs of their clients and maximise outcomes. This can include learning and assessment that lead to the award of a statement of attainment or a full qualification.

In order to meet clients' needs and maximise outcomes, RTOs need to develop processes and products that focus on the quality of the learning and assessment experience. It is well established in research that effective strategies involve students:

- making sense of new knowledge and skills and developing understanding rather than simply learning sets of facts and information to be reproduced when required;
- looking for what is significant, such as key concepts and principles, relationships between ideas, lines of reasoning;
- relating new ideas to previous knowledge and experiences;
- finding the link between conceptual knowledge and real-world applications; and
- employing higher order thinking skills through examining issues, clarifying problems, producing their own ideas and thinking critically.

Clustering units of competency for learning and assessment can help RTOs to produce strategies that address the points above as well as realise significant efficiency benefits for their organisation.

This guide provides information about the process of clustering for delivery and assessment and is supported by a worked example of clustering three units from the BSB07 Business Services Training Package related to quality auditing for delivery and assessment. This example is a task-based cluster as it relates to a particular task that would be undertaken by a person who may have one of the following positions:

- quality assurance manager;
- quality facilitator;
- quality and improvement consultant; and
- service quality system support analyst.

Complete copies of the units of competency are included for reference. This guide also provides case studies from three organisations that have effectively used clustering for delivery and/or assessment purposes. The case studies include:

- 1 Advanced Diploma and Diploma of Music (Western Australian Academy of Performing Arts);
- 2 Coxswain's Restricted Certificate of Competency (Perth Boat School); and
- 3 Certificate III in Carpentry and Joinery (Challenger Institute of Technology).

## Definitions of terms

These definitions are taken from the Department's 2012 publication *Guidelines for assessing competence in VET* and support the concepts discussed throughout this guide.

Clustering	The process of grouping competencies into combinations which have meaning and purpose related to work functions and needs in an industry or enterprise.
Competency based assessment	The process of collecting evidence and making a judgement about whether competency has been achieved.
Evidence	<p>Information gathered which, when matched against a unit of competency, provides proof of competence. Evidence can take many forms and be gathered from a number of sources. It is often categorised by assessors in different ways, for example:</p> <ul style="list-style-type: none"><li>• direct, indirect and supplementary sources of evidence;</li><li>• evidence collected by the student or evidence collected by the assessor; and</li><li>• historical and recent evidence collected by the student and current evidence collected by the assessor.</li></ul> <p>'Quality' evidence is valid, sufficient, current and authentic and enables the assessor to make the assessment judgement.</p>
Holistic/integrated assessment	An approach to assessment that covers the clustering of many units/elements from relevant competency standards, it focuses on the assessment of a 'whole-of-job' role or function that draws on a number of units/elements of competency; also integrates the assessment of the application of knowledge, technical skills, problem solving and demonstration of attitudes and ethics.
...	This means that the information continues in the original document but is not included in this publication.

## Section 1 – Why should we cluster units of competency?

Clustering is a process that can be used when developing learning and assessment materials. It involves the development of processes and materials that meet the requirements for groups or clusters of units of competency rather than individual units for a variety of reasons, including the following:

- to meet the required competency profile of the student;
- to reflect the workplace in the learning and assessment experience;
- to maximise the opportunities for holistic evidence gathering in the assessment process;
- to address the co-requisite requirements of the unit of competency; and
- to maximise efficiency of effort for the trainer/assessor and the student.

### The needs of the student

In many circumstances students will need specific competencies rather than a full qualification. Clustering provides an avenue to meet those immediate skill development needs while, if appropriate, building towards a qualification outcome. In some circumstances, these 'clusters' are formally recognised as skill sets. The TAE10 Training and Education Training Package provides the following definition:

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

#### **Wording on statements of attainment**

Skill sets are a way of publicly identifying logical groupings of units of competency which meet an identified need or industry outcome. Skill sets are not qualifications.

Where skill sets are identified in a training package, the statement of attainment can set out the competencies a person has achieved in a way that is consistent and clear for employers and others. This is done by including the wording 'these competencies meet [insert skill set title or identified industry area] need' on the statement of attainment. This wording applies only to skill sets that are formally identified as such in the endorsed training package.

### Reflecting the workplace

The VET system is based on the premise that the learning and assessment experience will lead to vocational outcomes; that is, people who have been assessed as competent will be able to perform consistently to the standard required by the workplace. Learning and assessment materials that reflect the workplace will therefore help to put the knowledge and skills being learned or assessed into a real work context. This approach is more meaningful for the students and increases the likelihood of their being able to transfer the knowledge and skills from the classroom setting to the workplace.

When learning and assessment take place in a workplace, the workplace itself becomes a resource for learning and assessment. The workplace tasks are able to be mapped to the units of competency and a meaningful schedule of knowledge and skills development can

be planned. Successful performance of the job role then provides the evidence required for assessment. This helps to minimise disruption to the workplace and cuts down on over-assessment.

## Assessment and holistic evidence

Assessment and evidence are terms that are sometimes used interchangeably by VET practitioners, when in fact they are quite different.

Assessment is the **process of collecting evidence** then making a judgement about competence based on that evidence. Confidence in the judgement can be improved by collecting holistic evidence. Holistic evidence is representative of job roles and does not take a sub-task by sub-task-based approach. For this reason, holistic evidence is also known as integrated evidence.

Holistic evidence focuses on whole work activities rather than sub-tasks or components of a work activity. In collecting holistic evidence, the assessor develops an image or picture of how a competent worker would perform the activity. Holistic evidence also provides the assessor with the opportunity to see dimensions of competency and employability skills demonstrated in an integrated fashion.

## Co-requisites

Many training packages use unit co-requisites to provide advice to trainers/assessors about which units of competency combine appropriately because they represent a realistic job role or work task or have significant similarities in knowledge, skills and performance requirements. In a selection of training packages, co-requisites must be assessed together; however, the majority of training packages provide suggestions only. Clustering for assessment provides RTOs with the opportunity to attend to co-requisite requirements.

## Efficiency

When RTOs take a unit-by-unit approach, repetitious delivery and over-assessment can be common weaknesses in the quality of delivery and assessment. There are significant efficiencies to be made when units are clustered, as common knowledge, skills and performance requirements can be identified and addressed together, instead of multiple times with each unit.

The table on the next page is an extract from the required knowledge and required skills sections of three auditing units. The requirements are in fact identical, as the same knowledge and skills are used in different ways to achieve the required workplace performances of initiating, leading and reporting on a quality audit.

In this example, significant efficiencies can be realised during the learning process by having common learning sessions addressing knowledge and skills that underpin performance.



## Extract from the required knowledge and skills sections of three auditing units from BSB07 Business Services Training Package

Required skills for BSBAUD501B Initiate a quality audit	Required skills for BSBAUD503B Lead a quality audit	Required skills for BSBAUD504B Report on a quality audit
<ul style="list-style-type: none"> <li>• communication skills to listen to and question clients and other audit team members</li> <li>• culturally appropriate communication skills to relate to people from diverse backgrounds and abilities</li> <li>• interpersonal skills to establish rapport with clients and to liaise with other audit team members</li> <li>• literacy skills to read, write, edit and proofread documents to ensure clarity of meaning, accuracy and consistency of information.</li> </ul>	<ul style="list-style-type: none"> <li>• communication skills to listen to and question clients and other audit team members</li> <li>• culturally appropriate communication skills to relate to people from diverse backgrounds and abilities</li> <li>• interpersonal skills to establish rapport with clients and to liaise with other audit team members</li> <li>• literacy skills to read, write, edit and proofread documents to ensure clarity of meaning, accuracy and consistency of information.</li> </ul>	<ul style="list-style-type: none"> <li>• communication skills to listen to and question clients and other audit team members</li> <li>• culturally appropriate communication skills to relate to people from diverse backgrounds and abilities</li> <li>• interpersonal skills to establish rapport with clients and to liaise with other audit team members</li> <li>• literacy skills to read, write, edit and proofread documents to ensure clarity of meaning, accuracy and consistency of information.</li> </ul>
Required knowledge for BSBAUD501B Initiate a quality audit	Required knowledge for BSBAUD503B Lead a quality audit	Required knowledge for BSBAUD504B Report on a quality audit
<ul style="list-style-type: none"> <li>• auditing codes of practice or ethics</li> <li>• auditing methods and techniques</li> <li>• current audit practices</li> <li>• industry, product and/or service knowledge</li> <li>• quality auditing principles, techniques and systems</li> <li>• requirements of house or other style manual protocols for written communications</li> <li>• terminology relating to quality auditing.</li> </ul>	<ul style="list-style-type: none"> <li>• auditing codes of practice or ethics</li> <li>• auditing methods and techniques</li> <li>• current audit practices</li> <li>• industry, product and/or service knowledge</li> <li>• quality auditing principles, techniques and systems</li> <li>• requirements of house or other style manual protocols for written communications</li> <li>• terminology relating to quality auditing.</li> </ul>	<ul style="list-style-type: none"> <li>• auditing codes of practice or ethics</li> <li>• auditing methods and techniques</li> <li>• current audit practices</li> <li>• industry, product and/or service knowledge</li> <li>• quality auditing principles, techniques and systems</li> <li>• requirements of house or other style manual protocols for written communications</li> <li>• terminology relating to quality auditing.</li> </ul>

## To cluster or not to cluster?

The decision to cluster for delivery and/or assessment will be made based on a number of considerations that relate to the needs of the student, the needs of the workplace, the needs of the RTO and the characteristics of the units of competency. In determining whether clustering is appropriate, RTOs should consider the answers to the following questions.

Questions	Yes	No
<b>Characteristics of the units of competency</b>		
Do the units in your proposed cluster have common knowledge and/or skills and/or performance requirements?	<input type="checkbox"/>	<input type="checkbox"/>
Are they at the same Australian Qualifications Framework (AQF) level?	<input type="checkbox"/>	<input type="checkbox"/>
Do they have common application in tasks?	<input type="checkbox"/>	<input type="checkbox"/>
<b>Student</b>		
Does the student need to be competent in all the units or would it be better if he/she completed an individual unit?	<input type="checkbox"/>	<input type="checkbox"/>
Does the student already have competence in some of the knowledge and skills in the cluster? If so, can this be recognised within a clustered learning program or assessment process?	<input type="checkbox"/>	<input type="checkbox"/>
<b>RTO</b>		
Does the training package allow for these units to be grouped into a cluster?	<input type="checkbox"/>	<input type="checkbox"/>
If the cluster is going to contribute to a qualification, will it meet the qualification packaging rules?	<input type="checkbox"/>	<input type="checkbox"/>
Does the RTO have staff who are vocationally competent in the cluster?	<input type="checkbox"/>	<input type="checkbox"/>
Is the RTO able to effectively timetable a clustered learning program or assessment process?	<input type="checkbox"/>	<input type="checkbox"/>
<b>Workplace</b>		
Do the units reflect the typical tasks for this workplace?	<input type="checkbox"/>	<input type="checkbox"/>
Does the workplace require all the units or would it be better to offer individual units?	<input type="checkbox"/>	<input type="checkbox"/>
Does the workplace have staff who are vocationally competent in the cluster and able to help students in the workplace?	<input type="checkbox"/>	<input type="checkbox"/>
Does the workplace have access to all the equipment and facilities required to deliver and assess the cluster in the workplace?	<input type="checkbox"/>	<input type="checkbox"/>

If the RTO answers 'no' to any of the questions above, then serious consideration should be given to whether clustering is the appropriate approach. If the RTO decides to proceed with clustering, then the risks highlighted in the checklist need to be managed to ensure that a quality product is offered to the student and that valid, reliable judgements of competence are made.

## Clustering in high-level AQF qualifications<sup>1</sup>

The delivery and assessment of high-level qualifications is a workforce development priority in Western Australia as well as in other states and territories. Offering high-level qualifications is seen as one strategy for raising levels of education and skills to enhance national productivity.

Delivering and assessing high-level qualifications poses a range of challenges for RTOs because of the nature of the competencies at higher levels, and special consideration should be given to clustering their delivery and assessment. Units of competency in higher AQF level qualifications are typically more complex and involve implicit understanding and the ability to reflect, predict, analyse, synthesise and evaluate.

In a workplace this most often translates into complex tasks that involve generating designs and ideas, analysing and solving problems, leading teams and developing long-term plans. As a result, learning and assessment of high-level competencies will often be a developmental process involving the workplace. This is likely to take place over an extended period of time and involve a range of people who support the learning and assessment and help with the collection of evidence.

Clustering offers RTOs a valuable opportunity to develop learning and assessment strategies for higher level qualifications based on real work tasks and provides a rich source of evidence for assessment judgements. The challenge for those assessing higher AQF qualifications is to make judgements about competence by cost-effectively collecting valid evidence from many sources over an extended period of time.

It calls for a detailed understanding of the performance requirements and relevant sources of evidence that demonstrate competence. It also requires a capacity to synthesise a wide range of evidence in order to make credible decisions about competence. The processes and tools suggested in this guide will be useful for RTOs which cluster in high-level qualifications.

---

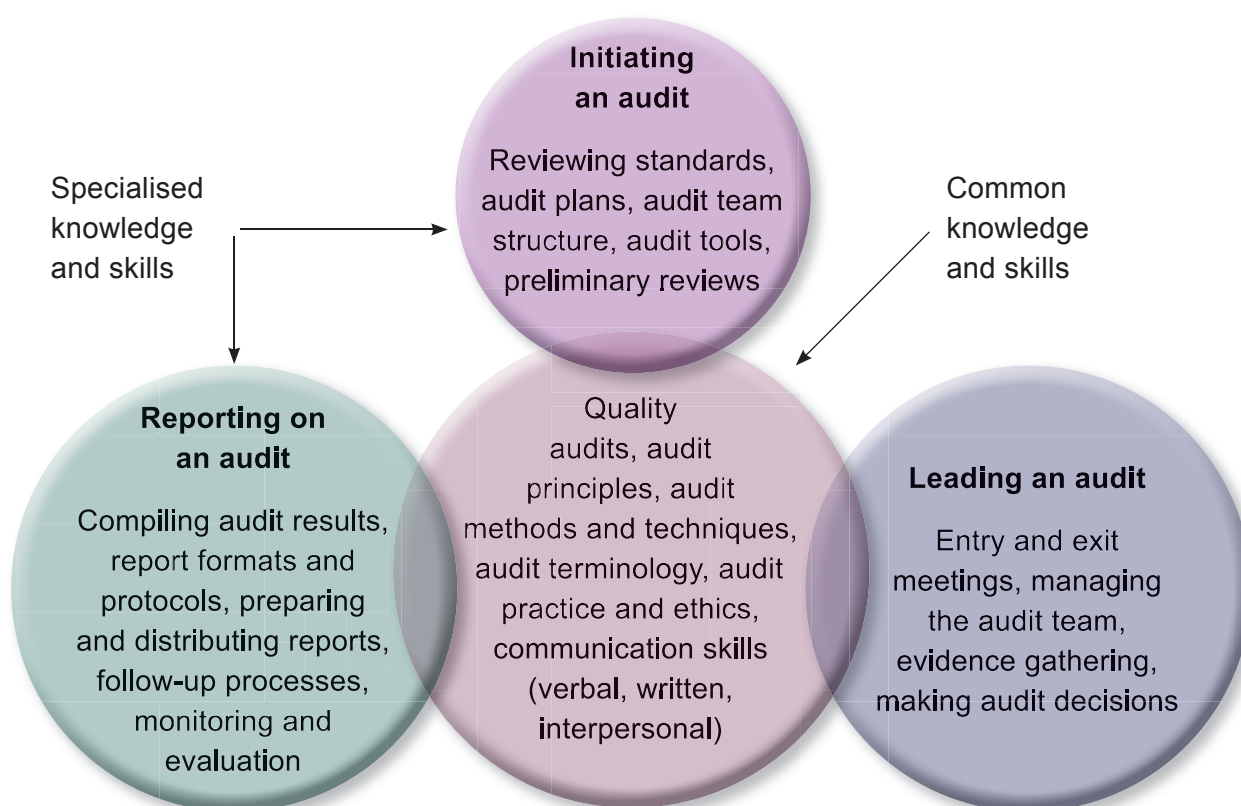
<sup>1</sup> Adapted from *Assessing competencies in higher qualifications*, ANTA 2001.

## Clustering units for delivery

When clustering units, it is possible to do so for delivery, for assessment or for both. Clustering for delivery focuses on identifying the commonalities in what needs to be learned and structuring a program to meet those needs.

The common knowledge and skills requirements for a cluster of three quality auditing units are provided. In this example, the common required knowledge and skills can become a single learning component that is then supplemented by specialised performance knowledge. The diagram below illustrates how a learning program for the three quality auditing units may be structured.

### Clustered learning structure for the quality auditing program



In this structure, the central area is the common knowledge and skills required by all three quality auditing units of competency. In addition to this knowledge and these skills, students must develop a range of specialised knowledge and skills related to particular aspects of the auditing task. These are listed in the outer circles.

If this program were not clustered, RTOs might deliver the common knowledge and skills three times – once for each unit of competency. This would be a very inefficient and ineffective approach.

Once the RTO has established the areas of knowledge and skills that can be clustered, it can proceed to develop learning and assessment strategies followed by delivery plans and materials.

RTOs need to ensure that the delivery plan addresses all the requirements of the units of competency and that any opportunities for formative assessment (if appropriate) are identified.

The extract from the session plan below demonstrates how an RTO might approach the delivery session for one aspect of the quality auditing program and identifies where there is opportunity for formative assessment to occur.

### Day 1 – Quality auditing session 2: Audit terminology

Time/subject	Activity	Resources
0900–1015 Quality	<p><b>Facilitated discussion: Quality audits</b> Group to discuss its understanding of quality, quality systems and a quality audit.</p> <p>Review the quality system diagram on page 12 of the participant's book and highlight key components of a quality system.</p> <p>Complete the audit terminology exercise on pages 15–18 of the participant's book.</p> <p>Clarify any terms that have not been understood by the participants and display these terms on the wall charts.</p> <p>...</p>	<p>Participant's book</p> <p>Terminology wall charts</p>
Morning tea (15 mins)	Scones with jam and cream, fruit platter	

### Day 2 – Quality auditing session 7: Audit planning

Time/subject	Activity	Resources
1030–1130 Audit plans	<p><b>Brainstorm: Audit plans</b></p> <p>What information would you want to be conducted in an audit?</p> <p>What actions would you need to take to prepare for an audit?</p> <p>Discuss the information provided by participants and where necessary, add to the information to ensure that the following has been discussed:</p> <ul style="list-style-type: none"> <li>• audit scope</li> <li>• audit objectives</li> <li>• audit requirements, documentation to review</li> <li>• personnel for audit (audit team and auditee requirements)</li> <li>• roles and allocation of roles</li> <li>• risk analysis</li> <li>• measurement criteria to be used</li> <li>• entry meeting</li> <li>• sampling techniques to be used</li> <li>• resource requirements for the audit.</li> </ul> <p>...</p>	<p>2 audit scenarios</p> <p>2 worked examples of audit plans for the scenarios</p>
1130–1230 Audit plans continued ...	<p><b>Structured discussion: Audit plan examples</b></p> <p>Provide participants with two worked examples of audit plans for audits in different contexts. Discuss the plans and why particular decisions have been taken during the planning process.</p>	

Sessions continue and on Day 2 the common knowledge of audit terminology is now used to support specialised knowledge of audit planning.

Participants are now using some of the audit terminology that was addressed in the common clustered knowledge.

Lunch (30 mins)	Sandwich platters, caramelised onion and goat's cheese tarts, vegetable and chicken rice paper rolls with dipping sauces, green salad, fruit and cheese platter	
1300–1400 Planning exercises*	<p><b>Audit planning group exercises</b></p> <p>Group exercise: Produce an audit plan from the scenario provided. Work in groups of 3–4. Once completed, discuss the plan with the facilitator and make any modifications on the flip chart paper for discussion with the class.</p> <p>In your groups, reflect on the process and make a note of the key points of your group discussion on the flip chart paper for discussion with the class.</p> <p>...</p>	<p>Audit scenarios</p> <p>Audit plan templates</p> <p>Participants are now applying common and specialised knowledge to practise a skill, planning.</p>
1400–1500 Planning exercises*	<p><b>Audit planning individual exercise</b></p> <p>Individual exercise: Produce an audit plan from the scenario provided. Once completed, discuss the plan with the facilitator and make any modifications that are deemed necessary.</p>	<p>Audit scenarios</p> <p>Audit plan templates</p>

\*formative assessment opportunity

## Group exercise

During the group exercise the facilitator could make observations relating to the communication skills and interpersonal skills of the individual participants. The facilitator can also collect evidence that demonstrates understanding of audit terminology and planning practice for the groups.

## Individual exercise

The facilitator can collect evidence of understanding of audit terminology and planning practice for individuals. He/she can also use the evidence (audit plan) to review written communication skills.

The information gathered during the formative assessment can be used to adjust the learning program if necessary either by providing remediation or accelerating the program if appropriate. The formative assessments may also identify students who require further learning and practice before progressing to summative assessment activities.

## Clustering for assessment

When an RTO clusters for assessment purposes, it is aiming to identify evidence that can be used across a number of units to help make a judgement of competence, or to identify units that should be clustered together because they form a holistic work task. This is called task-based clustering and the quality auditing units used as the worked example in this publication form a task-based cluster.

When designing assessment tools, the RTO must establish what evidence is required for each unit of competency in a cluster. This will require the RTO to unpack the units of competency individually.

The RTO will need to examine:

- the elements of the unit(s) of competency, the performance criteria, the required skills and knowledge, the range statement, the evidence guide and assessment guidelines;
- the dimensions of competency – the task, task management, contingency management and job/role environment skills;
- the employability skills;
- the language, literacy and numeracy skill levels;
- the relevant AQF descriptor; and
- related workplace processes, procedures and systems to contextualise the activity to be assessed, including any legislative, OHS or legal requirements that may need to be considered when conducting assessment.

(Source: Department of Training and Workplace Development 2012, *Designing assessment tools for quality outcomes in VET*)

Understanding what evidence is required for each unit is essential for the RTO to make valid judgements for each unit but also to determine whether there is an opportunity to cluster units and use common evidence for assessment decisions. In the worked example, three quality auditing units have been clustered because they form a holistic work task.

## Task-based clustering

The quality auditing units provide an example of units that are appropriate for task-based clustering. The units together form a work task, namely, conducting quality audits of organisations. RTOs can develop assessment tools around the work task which can be simulated or conducted in the workplace as part of normal business activity.

RTOs will need to have a clear understanding of the industry and the practices of a typical workplace so that they can identify opportunities for clustering and design appropriate assessment tools as a result.

When looking at the critical aspects for assessment and evidence required to demonstrate competence in the three quality auditing units, it is clear that the evidence is sequential; that is, it follows the actual sequence of planning, conducting and reporting on an audit in a workplace. It has already been established that there is also a significant overlap of the required knowledge and skills for the units. This information will form the basis for determining the evidence requirements of the cluster.

## Critical aspects for assessment and evidence required to demonstrate competence in three quality auditing units

Required knowledge for BSBAUD501B Initiate a quality audit	Required knowledge for BSBAUD503B Lead a quality audit	Required knowledge for BSBAUD504B Report on a quality audit
<ul style="list-style-type: none"> <li>documented audit plans for auditees across a variety of contexts including the scope and objectives of the audit, proposed audit methods and techniques to be used, required resources and schedules, and allocation of individual audit team member responsibilities for conducting the proposed audit</li> <li>knowledge of relevant legislation, national standards and compliance issues.</li> </ul>	<ul style="list-style-type: none"> <li>demonstration of leadership and management of a quality auditing team across quality audits in a variety of contexts</li> <li>management of the information-gathering process by team members, and analysis, synthesis and reporting of the findings</li> <li>knowledge of auditing methods and techniques.</li> </ul>	<ul style="list-style-type: none"> <li>completion and presentation of audit reports to auditees/clients and stakeholders</li> <li>negotiations for follow-up actions with auditees/clients</li> <li>knowledge of auditing regulations and standards.</li> </ul>

RTOs will need to thoroughly examine the units and the employability skills summary for the qualification to determine the full list of evidence required to make a judgement. RTOs may choose to use an evidence requirements checklist like the example provided in the Department’s 2012 publication *Designing assessment tools for quality outcomes in VET*.

Having an evidence requirements checklist will give the RTO the opportunity to identify common evidence across the units then determine the most appropriate assessment methodology and develop assessment tools.

The table on the next page lists the evidence that will be used to make judgement about competence for the quality auditing cluster. The next four pages have sample assessment tools for the cluster.



## Quality auditing cluster evidence requirements

Evidence	Evidence relationship to BSB units
<b>Clustering for delivery</b> Formative evidence (used during the learning process to determine if the session has been effective and provide the student with an opportunity to practise skills)	
Preparation of two audit plans during the initial training	BSBAUD501B
Conducting two trial audits during the initial training	BSBAUD501B, BSBAUD503B
Reporting on the findings of two trial audits during the initial training	BSBAUD504B
<b>Clustering for assessment</b> Summative evidence (used during the assessment process to make judgement of competence)	
Preparation documents and <u>audit plans for three audits</u>	BSBAUD501B
Working notes from the three audits	<div style="border: 1px solid red; padding: 5px;"> <p>An extract from the audit project is described.</p> <p>An extract from the observation report is provided.</p> <p>An extract from the interview questions is provided.</p> </div>
An audit report for each of the three audits	
Three satisfactory <u>observation reports from the audit observer (a qualified auditor)</u>	
Reflection activity for the audit project	
<u>Interview with the assessor</u>	BSBAUD501B, BSBAUD503B

## Task 1 – Audit project

As part of the assessment requirements for the auditor’s training course, you will be required to participate in an audit project. The project will give you the opportunity to practise, reflect and improve upon your auditing skills.

The project will start after the initial training period and should be completed within 12 weeks. The project will provide evidence for all three units of competency within the course:

- BSBAUD501B Initiate a quality audit;
- BSBAUD503B Lead a quality audit; and
- BSBAUD504B Report on a quality audit.

A copy of each of the units has been attached to this information. You should review the units so that you are aware of the scope and depth of performance required to be deemed competent.

The audit project will require you to lead an audit team from within your organisation. Your team will be required to plan, conduct and report on a series of three audits for a specified area of your organisation. The audits will contribute to your organisation’s internal audit program. The details for your audits are:

	<b>Audit 1</b>	<b>Audit 2</b>	<b>Audit 3</b>
Audit team members			
Area to be audited			
Area contact person			
Contact number			
Audit observer			
Audit observer’s contact number			
Audit dates			
Qualification/activity to be audited			
Standards to be audited			

Please do not contact the area until you have been advised to do so.

Follow these steps for each of the three audits.

### **Audit preparation**

- Do the preparatory work to determine the audit objectives and scope.
- Conduct an initial meeting of the audit team to determine roles and responsibilities.
- Develop a draft audit plan.
- Contact the area/auditee to discuss the audit and gather any information required for the completion of the audit plan.
- Distribute the audit plan to the area/auditee and the audit team.
- Conduct a documentary review to prepare for the audit, listing all documents reviewed and any comments/preliminary observations as part of your working notes.
- Prepare the audit tools including any meeting checklists.
- Contact the area/auditee to confirm audit arrangements.

### **Conducting the audit**

- Conduct the opening meeting with area/auditee using the opening meeting checklist.
- Conduct the audit on the specified qualification and standards using the audit tool.
- Discuss the audit with your team members and formulate the findings for the area/auditee.
- Conduct the closing meeting with the area/auditee using the closing meeting checklist.

### **Reporting**

- Prepare a draft full report for submission to the area/auditee.
- Provide the report to the assessor and make any changes required by the assessor before distribution.
- Distribute the final report to the area/auditee in accordance with the audit plan.

## Task 2 – Reflective report

Follow these steps for each of the three audits.

- Discuss the audit with the audit observer and obtain feedback from the area/auditee, the audit team and the audit observer about your performance.
- Prepare a reflective report of your audit experience concentrating on what you have learned during the audit, what you consider to be your strengths and weaknesses, and what actions you propose to take to improve your skills before the next audit.
- Submit the reflective report to the assessor.

## Audit observation report

Auditor's name: \_\_\_\_\_ Audit date: \_\_\_\_\_

During the audit in the workplace, did the auditor ...		Comments	
B1	... allocate roles utilising strengths of team members?	<p>The report is used by the audit observer to record comments about the auditor's performance leading the audit. The list of behaviours (a sample only) is a prompt for the audit observer. These behaviours should be demonstrated at each audit.</p> <p>The report also provides feedback from the area/auditee and summary comments from the audit observer.</p>	
B2	... provide an effective opening meeting? (use opening meeting checklist?)		
B3	... proceed at an appropriate pace?		
B4	... stay focused on the audit?		
B5	... provide time for questions and answers?		
B6	... synthesise data from team members to formulate findings?		
B7	... provide clear, concise and open feedback?		
B8	... reinforce strengths and opportunities for improvement?		
B9	... establish rapport with the auditees?		
B10	... use a variety of investigative techniques?		
B11	... appear relaxed and pleasant?		
B12	... keep notes that are effective for formulating findings?		
...			
<b>Feedback for the auditor from the area/auditee</b>			
This feedback will be collected by the audit observer and provided to the auditor as part of the debriefing process.			
<b>Feedback for the auditor from the audit observer</b>			
This feedback provides an overall summary of the auditor's performance when leading the audit and may contain suggestions about areas that need improvement or particular strengths of the auditor.			
<b>Audit observer's name</b>		<b>Audit observer's signature</b>	
<b>Auditor's name</b>		<b>Auditor's signature</b>	

## Quality auditing interview questions

Auditor's name: \_\_\_\_\_ Audit date: \_\_\_\_\_

Primary questions		Key points in response	
Q1	How did you determine the audit objectives and scope?	<p>A sample of the questions that may be asked for initiating a quality audit. These questions are used to establish that the auditor has an understanding of the required knowledge and can apply the knowledge in a range of contexts.</p>	
Q2	Who did you consult with when preparing for the audit?		
Q3	How did you use the information from these people to inform the audit objectives and scope?		
Q4	What factors did you consider when allocating responsibilities to your audit team?		
Q5	What risks did you identify during the planning process?		
Q6	What actions did you take to manage the identified risks? Were they effective?		
Q7	What information was provided to the audit team as part of their pre-audit brief?		
Q8	What process did you use to determine the audit findings?		
<b>Feedback for the auditor from the audit observer</b>			
<p>This feedback provides an overall summary of the auditor's performance when initiating the audit and may contain suggestions about areas that need improvement or particular strengths of the auditor.</p>			
<b>Auditor's name</b>		<b>Auditor's signature</b>	
<b>Assessor's name</b>		<b>Assessor's signature</b>	

## Section 2 – Managing risks when clustering units of competency

Clustering units of competency for delivery and assessment has risks associated with it. This section of the guide discusses a range of common risks when clustering and suggests strategies that an RTO may use to manage these risks.

### Recognition within clusters

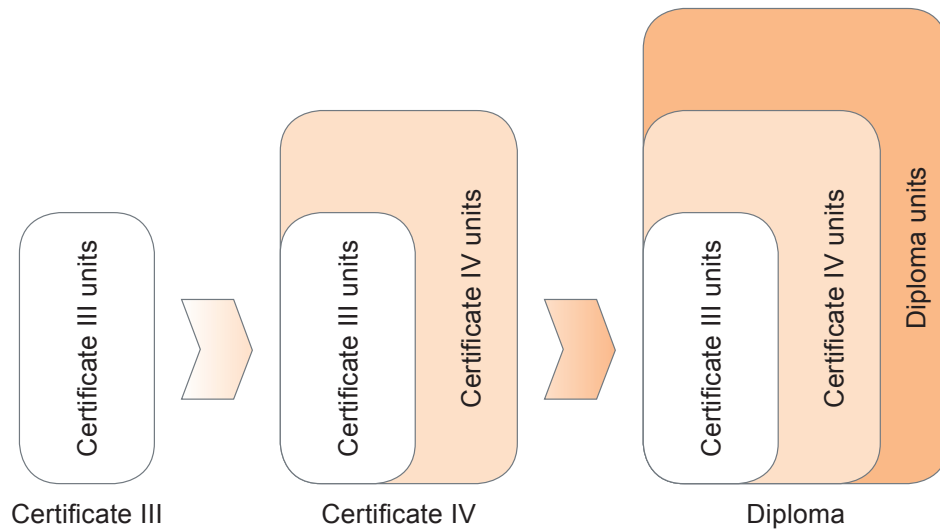
An integral component of the VET system is the concept of recognition. This means that competency is recognised – regardless of how, when or where the learning occurred. When units are clustered, it can be more complex to recognise existing competency for a student. This occurs when students have already been deemed competent in one or more of the units within a cluster or take an RPL approach to one or more units within the cluster.

The process can become complex when RTOs have to ‘unpick’ the clustering that has been done. Using individual checklists to determine evidence requirements and mapping processes will help RTOs in the unpicking process. In some circumstances the degree of recognition may make the use of the planned clusters inappropriate. In these circumstances RTOs may choose to re-cluster (form a smaller cluster) or take a unit-by-unit approach if appropriate. **It is important to remember that judgements of competency are always made for individual units – not clusters of units.**

### Limiting exit points

Clustering units of competency for delivery and assessment has the potential to limit exit points from a qualification. A selection of training packages is structured so that the entry requirements for higher qualifications include the majority of units from the previous level qualification and some additional units. The diagram on the next page demonstrates this type of structure.

## Qualification structure



This approach used to be called 'nesting'. The National Quality Council (NQC), in consultation with the Australian Chamber of Commerce and Industry (ACCI), the Australian Industry Group (AIG), the Australian Council for Private Education and Training (ACPET), TAFE Directors Australia, the State and Territory Training Authorities and Industry Skills Councils (ISCs) have made it clear that the term 'nesting' is redundant and to be removed from training packages as part of the review process (NQC Special Bulletin, October 2007). Training packages will now contain advice on entry requirements.

The Department of Education, Employment and Workplace Relations (DEEWR) *Training Package Development Handbook* provides the following advice on entry requirements.

### Extract from the Training Package Development Handbook

Where entry requirements are identified, these are mandatory and must be clearly justified.

#### Entry requirements:

- do not form part of a qualification for training and assessment purposes;
- must be achieved prior to enrolling in a qualification or being issued a qualification;
- must be specific to the knowledge, skills or experience required to enter a qualification;
- should be specified for the qualification where prior knowledge, skill and experience are considered necessary;
- should be expressed in terms of competency, and may include licensing or industry recognised standards.
- may be expressed as:
  - the core units of competency of a lower AQF level qualification;
  - a significant number of units of competency from a lower level qualification;
  - specialist units of competency from a related stream;
  - vocational expertise, including typical job roles; and
  - a combination of units of competency and vocational expertise.

(Source: *Training Package Development Handbook*)

While specifying entry requirements often provides for a logical learning pathway for students who enter qualifications at the higher levels (Certificate IV or Diploma in this example), the clustering of the units may limit their ability to be awarded a lower level qualification if they are not successful at the enrolled level.

When structuring qualifications, RTOs need to be mindful of the packaging rules for the qualifications and avoid clustering that would prevent the award of lower qualifications. In addition, RTOs should avoid clustering across AQF levels.

## Units from different AQF levels

Clustering units from different AQF levels poses a risk to quality – and validity in particular – as the required outcomes from units at different AQF levels vary significantly. The table below is an extract from the fourth edition of the *AQF Implementation Handbook* and demonstrates the difference in outcomes that would be expected from a Certificate IV level unit or qualification and from a diploma level unit or qualification.

The learning program for, and evidence required to demonstrate, these outcomes would be very different. RTOs that choose to cluster units from different AQF levels must ensure that the evidence required to make a decision about competence for each unit is clearly articulated and at the stated AQF level. An assessment panel or team assessment and moderation are effective approaches to ensuring the validity and reliability of assessment judgements made using evidence from units at different AQF levels.

Distinguishing features of learning outcomes	
Certificate IV	Diploma
<ul style="list-style-type: none"> <li>• demonstrate understanding of a broad knowledge base incorporating some theoretical concepts</li> <li>• apply solutions to a defined range of unpredictable problems</li> <li>• identify and apply skills and knowledge areas to a wide variety of contexts with depth in some areas</li> <li>• identify, analyse and evaluate information from a variety of sources</li> <li>• take responsibility for own outputs in relation to specified quality standards</li> <li>• take limited responsibility for the quantity and quality of the output of others.</li> </ul>	<ul style="list-style-type: none"> <li>• demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas</li> <li>• analyse and plan approaches to technical problems or management requirements</li> <li>• transfer and apply theoretical concepts and/or technical or creative skills to a range of situations</li> <li>• evaluate information using it to forecast for planning or research purposes</li> <li>• take responsibility for own outputs in relation to broad quantity and quality parameters</li> <li>• take limited responsibility for the achievement of group outcomes.</li> </ul>

(Source: *AQF Implementation Handbook*)



## Tracking student progress

When learning and assessment are clustered, it can be more complex to track a student's progress against the individual units of competency within a cluster. Tracking progress becomes a significant risk in the following situations:

- when the student does not complete the cluster; or
- when the program extends over a significant period of time and the clusters change with time.

When the student does not complete the cluster, the RTO must be able to unpick the cluster to determine if the student has achieved competency in any of the units within the cluster. If the student has been successful in some but not all of the units then the RTO is required to issue a statement of attainment for the units in which the student has been assessed as competent. Using a process such as the development of evidence checklists and/or mapping documents described in this guide will help RTOs to manage this process.

If the RTO offers a program that extends over a significant period of time, for example two to three years, then the continuous improvement process in the RTO is likely to identify improvements to the training and assessment that would necessitate the rearrangement of clusters or of the evidence provided for a cluster. In these circumstances it is vital that the RTO:

- has a historical record showing how the units have been clustered and the evidence required for competency;
- has information about the progress of each student for each unit of competency;
- plans for the transition to new clustering arrangements; and
- communicates clearly with its clients any changes and the reasons for the changes.

## Including too many units in one cluster

RTOs should be aware that clusters can become too large for them to manage and more particularly for students to manage. One of the primary purposes of using a unit model in training packages was to ensure that progress could be made in small, achievable steps. When too many units are included in clusters, this advantage is lost. There is no 'golden rule' about how many units to include in a cluster. RTOs need to use their judgement to ensure that clusters are structured to represent realistic work tasks and meet the needs of specific client groups.

## Not clustering

Clustering units of competency for delivery and assessment provides realistic, holistic learning and assessment experiences for students. This approach has significant benefits for the student and also for the RTO in terms of time and cost efficiencies in the learning and assessment processes.

If an RTO chooses not to cluster, it is potentially missing out on an opportunity to improve the quality of training and assessment, and subsequently, the outcomes for the student.

## Section 3 – Assessment judgements for units of competency within a cluster

### Principles of assessment and rules of evidence

When RTOs make assessment judgements, it is important that they meet the principles of assessment and rules of evidence.

Principles of assessment	Rules of evidence
valid	valid
reliable	sufficient
fair	current
flexible	authentic

When clustering, these principles and rules are applied to the judgements for each individual unit of competency – not the cluster. This means that the RTO must be able to identify the evidence that will be used for a judgement for each unit of competency. When conducting assessment, assessors need to ensure the following for each unit of competency.

- The assessment is conducted in accordance with the assessment plan.
- The evidence specified in the assessment procedure is gathered using the agreed tools or materials.
- The evidence is gathered in accordance with reasonable or allowable adjustments where applicable.
- The evidence is evaluated in terms of validity, sufficiency, currency and authenticity.
- The evidence is evaluated according to the unit(s) of competency, all four dimensions of competency, the facets of employability skills, and the ability to transfer and apply skills and knowledge to new contexts if appropriate.
- If appropriate, assistance from more experienced assessors or industry experts is sought.
- The assessment decision is made in accordance with the specified criteria.
- The decision is recorded appropriately in accordance with RTO and other regulating processes.

(Source: Department of Training and Workforce Development 2012, *Guidelines for assessing competence in VET*)

## Mapping clustered units

RTOs will often use mapping to identify what evidence and how much evidence (validity and sufficiency) will be used to make assessment judgements. The examples provided in this section demonstrate how the evidence from the quality auditing cluster will be used to make judgements against two individual units from the cluster.

While mapping matrices are commonly used for this purpose, it is not the only way to show the relationship between evidence and the units of competency. The two matrices demonstrate different ways of mapping units – one including the range statement and the other referring to a notated unit of competency.

The case studies from WAAPA and Perth Boat School also demonstrate alternative mapping approaches. There is also another example of a mapping approach used by Holyoake<sup>2</sup>.

The example from Holyoake is an extract from one unit of competency within a cluster. Each unit in the cluster has a similar mapping document. In this example, Holyoake has chosen to map the unit of competency but also to include other quality checks of the assessment approach in the mapping process. The mapping specifically includes consideration of the principles of assessment, rules of evidence and dimensions of competency.

## Recognition of prior learning

Recognition of prior learning (RPL) is an assessment process aimed at confirming and recognising the competencies a student has obtained outside a formal education and training environment. These competencies might have been gained through informal or non-formal training, or they may have been gained through life or work experience<sup>3</sup>.

As previously mentioned, when an RTO clusters for assessment purposes, the aim is to identify evidence that can be used across a number of units to help make a judgement of competence, or to identify units that should be clustered together because they form a holistic work task.

The same principles apply when clustering for RPL. This section will address two common RPL contexts, namely:

- when a student is an experienced worker but the nature of the work means that the evidence must remain in the workplace, which makes it difficult for him/her to provide evidence for assessment at the RTO. This situation often occurs in qualifications that have very practical outcomes, such as the building trades or mine operations and maintenance; and
- when a student is experienced and is able to provide holistic evidence from a range of contexts.

2 The Department would like to thank Holyoake for providing a sample of assessment mapping for use in this publication, and Ms Louise Moreton and Mr Paul Loseby in particular.

3 Source: Department of Training and Workforce Development 2012, *Recognition of prior learning: An assessment resource for VET practitioners*

Understanding what evidence is required for each unit is essential for the RTO to make valid judgements for each unit but also to determine whether there is an opportunity to cluster units and use common evidence for assessment decisions.

In the first situation above, the RTO has an opportunity to cluster units of competency into typical job tasks and consider evidence gathering based on those job tasks. Discussion with the student about the nature of his/her workplace will help the RTO to cluster units appropriately.

When evidence requirements are represented in this way, the student is more likely to be able to gather quality evidence for assessment, as he/she and his/her supervisors in the workplace will be able to understand the evidence requirements.

In most cases, the evidence gathered will involve testimonies from the workplace and questioning and, in some cases, demonstration of skills. Many of the RPL tools that have been developed in national and state RPL projects<sup>4</sup> use this approach. For example, the RPL Assessment Tool Kit for RII30409 Certificate III in Resource Processing uses five clusters to address elective requirements for the qualification. A student needs to complete three of the five clusters. Each of the clusters represents a typical task from the workplace.

### Cluster 1 – Basic operations

Unit code	Unit title	Core/elective
RIISAM207A	Apply operational maintenance skills	elective
RIIPRO301B	Conduct crushing and screening plant operations	elective

### Cluster 2 – Supporting operations

Unit code	Unit title	Core/elective
RIIPRO302A	Perform process control room operations	elective
RIIPGP302A	Monitor and operate auxiliary plant and equipment	elective

### Cluster 3 – Thickening and grinding

Unit code	Unit title	Core/elective
RIIPHA301A	Conduct milling/grinding	elective
RIIPBE308B	Conduct thickening and clarifying process	elective

<sup>4</sup> RPL Assessment Tool Kits are available from the WestOne online catalogue at [www.westone.wa.gov.au](http://www.westone.wa.gov.au).

## Cluster 4 – Separation processes

Unit code	Unit title	Core/elective
RIIPBE305A	Conduct high tension separation	elective
RIIPBE311B	Conduct magnetic separation	elective

## Cluster 5 – Flotation and wet gravity

Unit code	Unit title	Core/elective
RIIPBE310B	Conduct flotation process	elective
RIIPBE309B	Conduct wet gravity separation	elective

Each cluster then has a series of questions for the student to answer related to the cluster and the tasks the student needs to complete. For Cluster 3, the following two tasks are to be demonstrated:

- Task 5 – Conduct milling/grinding; and
- Task 6 – Conduct thickening and clarifying process.

Using this task-based, holistic approach allows a student – who in the past would have had significant difficulties being successful in a unit-by-unit portfolio approach to RPL – to provide quality evidence for the assessment process.

The second situation (when a student is experienced and is able to provide holistic evidence from a range of contexts) occurs when the nature of a student's work or life experience allows him/her to easily provide evidence for assessment.

In these circumstances, the self-evaluation tool and process are very important. A self-evaluation tool that identifies the common knowledge, skills, job tasks and products needed to be competent will give the student the best opportunity to provide quality evidence. The student will be able to self-determine the evidence he/she wishes to provide for assessment which demonstrates consistent performance in a range of contexts over a period of time.

These clustered, task-based and interactive approaches make RPL an accessible option for students. Further information about task-based RPL is available from the Department's 2012 publication *Recognition of prior learning: An assessment resource for VET practitioners* which can be downloaded from [www.westone.wa.gov.au/pd](http://www.westone.wa.gov.au/pd) or [www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au)

## BSBAUD501B Initiate a quality audit

(Please see the notated unit in Section 5 of this publication for alignment of the range statement with assessment evidence.)

Extracts from the unit requirements		Audit 1	Audit 2	Audit 3	3 Observation reports	Interview
<b>Element 1 – Assess quality audit scope and objectives</b>		<b>Preparatory documents (PD)</b>				
PC1	Determine and discuss audit objectives with the auditee, client and all other relevant parties.	PD	PD	PD		Q1, Q2
PC2	Determine and discuss scope of the quality audit with the auditee, client and all other relevant parties.	PD	PD	PD		Q1
PC3	Determine scope commensurate with identified risks.	PD	PD	PD		Q1, Q5
PC4	Identify relevant standards that impact on the environment in which the audit operates.	PD	PD	PD		Q1, Q3
...						
<b>Element 4 – Develop and submit quality audit plan</b>		<b>Audit plan (AP), Auditee feedback (AF), Observation report behaviour (B)</b>				
PC1	Develop quality audit plan according to established scope and objectives.	PD, AP	PD, AP	PD, AP	B1	Q1
PC2	Assign timing, schedules and responsibilities for implementation of the audit plan.	PD, AP	PD, AP	PD, AP	B1	Q4
PC3	Develop audit priorities and ensure agreement with auditees and audit team members.	PD, AP	PD, AP	PD, AP	B1	Q2, Q7
PC4	Document and submit audit plan to auditee.	PD, AP	PD, AP	PD, AP	AF	
...						
<b>Required skills and knowledge</b>		<b>Observer feedback (OF)</b>				
Communication skills to listen to and question clients and other audit team members.					B9, AF	all
Interpersonal skills to establish rapport with clients and to liaise with other audit team members.					B9, AF	all
Literacy skills to read, write, edit and proofread documents to ensure clarity of meaning, accuracy and consistency of information.		PD, AP	PD, AP	PD, AP		
...						
<b>Critical aspects for assessment and evidence required to demonstrate competence in this unit</b>						
Documented audit plans for auditees across a variety of contexts including the scope and objectives of the audit, proposed audit methods and techniques to be used, required resources and schedules, and allocation of individual audit team member responsibilities for conducting the proposed audit.		AP	AP	AP		
Knowledge of relevant legislation, national standards and compliance issues.		AP, AR	AP, AR	AP, AR		all

## BSBAUD504B Report on a quality audit

Extracts from the unit requirements		Audit 1	Audit 2	Audit 3	3 Observation reports	Interview
<b>Element 1 – Compile audit results</b>		<b>Preparatory documents (PD), Audit checklists (AC), Audit plan (AP), Observation report behaviour (B)</b>				
PC1	Compare results of audit evaluation against audit objectives and criteria.	PD, AC, AP	PD, AC, AP	PD, AC, AP	B6, B12	Q8
PC2	Analyse audit results.	PD, AC, AP	PD, AC, AP	PD, AC, AP	B6, B12	Q8
...						
<b>Element 2 – Prepare report</b>		<b>Auditee feedback (AF), Audit report (AR)</b>				
PC1	Provide objective evidence relating to the need for reduction, elimination and prevention of non-compliance as the basis for the audit report.	AC, AR	AC, AR	AC, AR		
PC2	Produce audit report according to specified audit requirements.	AP, AR	AP, AR	AP, AR		
PC3	Present audit report to auditee and other stakeholders.	AR	AR	AR	AF, B7	
...						
<b>Required skills and knowledge</b>		<b>Observer feedback (OF)</b>				
Communication skills to listen to and question clients and other audit team members.					OF, B9, AF	all
Interpersonal skills to establish rapport with clients and to liaise with other audit team members.					OF, B9, AF	all
Literacy skills to read, write, edit and proofread documents to ensure clarity of meaning, accuracy and consistency of information.		PD, AP, AR	PD, AC, AR	PD, AC, AR		
...						
<b>Range statement</b>						
Corrective actions to reduce, eliminate and prevent non-conformance.		AR	AR	AR		
Examination and evaluation of controls associated with systems, activities and processes.		AR	AR	AR		
Means of improving processes, systems, products and business results.		AR	AR	AR		
Objective evidence of conformance.		AR	AR	AR		
Objective evidence of non-conformance relating to organisational processes, systems, activities, products and/or services.		AR	AR	AR		
...						
<b>Critical aspects for assessment and evidence required to demonstrate competence in this unit</b>						
Completion and presentation of audit reports to auditees/clients and stakeholders.		AR	AR	AR	B7	
Negotiations for follow-up actions with auditees/clients.					OF, AF	
Knowledge of auditing regulations and standards.		AP, AR	AP, AR	AP, AR		all

## Employability skills summary for the BSB51607 Diploma of Quality Auditing

Employability skills	Industry/enterprise requirements for this qualification include:	Demonstrated during:
Communication	<ul style="list-style-type: none"> <li>adjusting interpersonal styles and methods as required;</li> <li>communicating ideas and information to a wide range of persons;</li> <li>consulting, questioning, clarifying and evaluating information;</li> <li>negotiating follow-up action as required; and</li> <li>using excellent verbal and written skills to gather information and present formal audit reports.</li> </ul>	<ul style="list-style-type: none"> <li>minimum of three audits as lead auditor, planning, leading and reporting the audit; and</li> <li>interview.</li> </ul>
Teamwork	<ul style="list-style-type: none"> <li>providing feedback to team members on their performance; and</li> <li>working with others and delegating roles and responsibilities to team members.</li> </ul>	<ul style="list-style-type: none"> <li>minimum of three audits as lead auditor during the full audit process; and</li> <li>observation.</li> </ul>
Problem solving	<ul style="list-style-type: none"> <li>collecting, analysing, comparing and contrasting data;</li> <li>providing strategies on how to address non-compliances; and</li> <li>solving problems in respect to risk and knowledge management systems.</li> </ul>	<ul style="list-style-type: none"> <li>minimum of three audits as lead auditor during the planning and conducting phases.</li> </ul>
Planning and organising	<ul style="list-style-type: none"> <li>identifying risk and developing strategies to deal with it;</li> <li>planning audit schedule and identifying resources required; and</li> <li>planning for contingencies, and monitoring and reviewing systems and activities.</li> </ul>	<ul style="list-style-type: none"> <li>minimum of three audits as lead auditor during the full audit process with particular emphasis on planning.</li> </ul>
Self-management	<ul style="list-style-type: none"> <li>managing own time and performance;</li> <li>reflecting on own performance as an auditor; and</li> <li>working within organisational policies, procedures and legislative requirements.</li> </ul>	<ul style="list-style-type: none"> <li>minimum of three audits as lead auditor; and</li> <li>reflective reports.</li> </ul>
Learning	<ul style="list-style-type: none"> <li>developing and maintaining own professional competency;</li> <li>identifying learning needs and facilitating the management of knowledge; and</li> <li>maintaining currency of knowledge and skills in respect to risk and knowledge management.</li> </ul>	<ul style="list-style-type: none"> <li>formative activities during learning program; and</li> <li>reflective reports.</li> </ul>
Technology	<ul style="list-style-type: none"> <li>aligning data and information systems with the knowledge management system;</li> <li>using technology to assist in the management of information and the planning process; and</li> <li>using word-processing software and risk analysis tools.</li> </ul>	<ul style="list-style-type: none"> <li>audit planning; and</li> <li>audit reporting.</li> </ul>



## Mapping document for newly created or current internal assessments to a unit of competency (UoC)



**Aim:** To determine if newly created or current internal training assessment tools satisfy compliance with the assessment criteria of the nationally recognised unit of competency listed below.

**Note:** On completion of the mapping, the assessment tools may or may not need to have more assessment criteria added.

<b>UoC Assessment tools/ Holyoake workplace training course(s)/other aligned to UoC listed below</b>	<b>Group facilitation skills</b>
<b>Unit of competency (UoC) name</b>	<b>Plan and conduct group activities</b>
<b>Unit code</b>	<b>CHCGROUP403D</b>
<b>Endorsed training package name</b>	Community Services Package
<b>Endorsed training package number</b>	CHC08
<b>Evidence key</b>	Task 1 – Questions (Q)
	Task 2 – Direct observation checklist of group skills (DO)
	Task 3 – Third-party observation report of skills at the workplace (3P)
	Task 4 – Portfolio of documents used and created (PF)

UoC Elements and performance criteria (PC)	PC covered – Holyoake course assessments or UoC assessment tool	Additional assessment required	Type of assessment			
			Q	DO	3P	PF
<b>E1</b>	<b>Address resourcing issues for group activities</b>					
1.1	Plan group activities, including consideration of: <ul style="list-style-type: none"> <li>the purposes, defined according to the identified needs of the client group</li> <li>the human, financial and physical resources required.</li> </ul>	DO – p 1 3P – p 1, 2 PF – Doc 4.1 p 1 Doc 4.2		✓	✓	✓



UoC Elements and performance criteria (PC)		PC covered – Holyoake course assessments or UoC assessment tool	Additional assessment required	Type of assessment			
				Q	DO	3P	PF
1.2	Where required resources are not immediately and readily available, make appropriate submissions to potential sources of assistance and resources.	Q – 18 PF – Doc 4.1 p 4 Doc 4.2, 4.8 3P – p 2		✓		✓	✓
1.3	<i>Ensure formal submissions meet requirements</i> of funding guidelines and organisation principles and practice.	Q – 19 PF – Doc 4.1 p 4 Doc 4.2, 4.8 3P – p 2		✓		✓	✓
<b>E2 Coordinate a group planning process</b>							
2.1	Actively seek opportunities for collaborative planning and promotion of group activities with clients and solicit, analyse and prioritise information about group's needs and expectations.	DO p 2 3P – p 2 PF– Doc 4.1 p 2 Doc 4.2 p 1, 2			✓	✓	✓
2.2	Negotiate the purpose of group activities with the group in a manner that gives sufficient time and space for individuals to articulate their ideas and wishes and create opportunity for input to ownership of the group process.	DO p 2 3P – p 2 PF – Doc 4.1 p 2 Doc 4.2 p 2			✓	✓	✓
...	...						
<b>Essential knowledge (*Critical aspect of evidence)</b>							
1	Dynamics of groups	Q1, DO – p 2–5		✓	✓		
2	Different styles of group leadership and decision making	Q2, DO – p 2–5		✓	✓		
...	...						
<b>Essential skills (*Critical aspect of evidence)</b>							
1*	Support group activities for formal and informal groups.	3P – p 2 DO – p 2–5 PF – Doc 4.1, 4.2, 4.8			✓	✓	✓
2*	Participate in a variety of group activity types identified in the range statement.	3P – p 2 DO – p 2–5 PF – Doc 4.1, 4.2, 4.8			✓	✓	✓
...	...						



Employability skills	ES covered – Holyoake course assessments or UoC assessment tool	Additional assessment required	Type of assessment			
			Q	DO	3P	PF
Communication	DO, 3 <sup>rd</sup> party, all questions, all portfolio documentation		✓	✓	✓	✓
Teamwork	DO, 3 <sup>rd</sup> party, PF case studies			✓	✓	✓
Problem solving	Q26, DO, 3 <sup>rd</sup> party, PF case studies			✓	✓	✓
...						

Rules of evidence	Rules of evidence covered – Holyoake course assessments or UoC assessment tool	Additional assessment required	Type of assessment			
			Q	DO	3P	PF
1 <b>Valid</b> – evidence related directly to the competency.	Observes and facilitates a range of groups over a period of time. All criteria are met more than once.		✓	✓	✓	✓
2 <b>Sufficient</b> – enough evidence to be sure that the student can perform the task/activity correctly on a consistent basis under a range of conditions.	Facilitates a range of groups over a period of time. All criteria are met more than once.		✓	✓	✓	✓
3 <b>Current</b> – recent enough evidence to be sure that the student can perform competency at the time of assessment.	Direct observation and 3 <sup>rd</sup> party reports ensure currency in facilitation skills, questions and portfolio checklist given out during training.		✓	✓	✓	✓
4 <b>Authentic</b> – the assessor can be sure that the evidence is the student's own work.	Direct observation by qualified assessor and declarations of authenticity for 3 <sup>rd</sup> party, questions and portfolio evidence.		✓	✓	✓	✓



Principles of assessment		Principles of assessment covered – Holyoake course assessments or UoC assessment tool	Additional assessment required	Type of assessment			
				Q	DO	3P	PF
1	<b>Valid</b> – evidence relates directly to the competency and is based on realistic workplace practices.	All assessment tasks relate directly to all the criteria in the unit of competency and assessment guidelines. A variety of groups are facilitated and qualified workplace assessors and 3 <sup>rd</sup> party supervisors used.		✓	✓	✓	✓
2	<b>Fair</b> – all students are provided with an equal opportunity to be assessed as competent.	Clear and timely information about the assessments is given. The process is open and transparent, free from discrimination and bias. All students have the right to appeal and be reassessed.		✓	✓	✓	✓
3	<b>Flexible</b> – the assessment process is able to be changed to accommodate the needs and characteristics of the students.	A range of assessment methods is used appropriate to the context and students' characteristics. RCC and RPL are provided for. Assessment timing, readiness and venue are up to the student.		✓	✓	✓	✓
4	<b>Reliable</b> – the same assessment outcome is achieved regardless of the assessor.	Clear assessment checklists and instructions are provided. Processes and tools are trialled and moderated. Regular professional development is undertaken.		✓	✓	✓	✓

Dimensions of competency		Principles of assessment covered – Holyoake course assessments or UoC assessment tool	Additional assessment required	Type of assessment			
				Q	DO	3P	PF
1	<b>Task skills</b>	Plan and support a variety of group activities. Demonstrate effective communication skills.		✓	✓	✓	✓
2	<b>Task management skills</b>	Manage group processes. Identify and demonstrate group models and their purpose. Analyse and report on group outcomes.		✓	✓	✓	✓
3	<b>Contingency skills</b>	Research and use organisation's booking and referral procedures for new resources. Explain how to and/or manage conflict as it arises.		✓	✓	✓	✓
4	<b>Job/role environment skills</b>	Demonstrate application of organisation's policies and procedures. Develop and maintain positive relationships.		✓	✓	✓	✓



Employability skills	ES covered – Holyoake course assessments or UoC assessment tool	Additional assessment required	Type of assessment			
			Q	DO	3P	PF
Communication	DO, 3 <sup>rd</sup> party, all questions, all portfolio documentation		✓	✓	✓	✓
Teamwork	DO, 3 <sup>rd</sup> party, PF case studies			✓	✓	✓
Problem solving	Q26, DO, 3 <sup>rd</sup> party, PF case studies			✓	✓	✓
...						

Rules of evidence	Rules of evidence covered – Holyoake course assessments or UoC assessment tool	Additional assessment required	Type of assessment			
			Q	DO	3P	PF
1 <b>Valid</b> – evidence related directly to the competency.	Observes and facilitates a range of groups over a period of time. All criteria are met more than once.		✓	✓	✓	✓
2 <b>Sufficient</b> – enough evidence to be sure that the student can perform the task/activity correctly on a consistent basis under a range of conditions.	Facilitates a range of groups over a period of time. All criteria are met more than once.		✓	✓	✓	✓
3 <b>Current</b> – recent enough evidence to be sure that the student can perform competency at the time of assessment.	Direct observation and 3 <sup>rd</sup> party reports ensure currency in facilitation skills, questions and portfolio checklist given out during training.		✓	✓	✓	✓
4 <b>Authentic</b> – the assessor can be sure that the evidence is the student's own work.	Direct observation by qualified assessor and declarations of authenticity for 3 <sup>rd</sup> party, questions and portfolio evidence.		✓	✓	✓	✓

## Section 4 – Case studies

### Case study 1 – Advanced Diploma and Diploma of Music (Western Australian Academy of Performing Arts)

The Western Australian Academy of Performing Arts (WAAPA), Edith Cowan University was established to provide performing arts tuition comparable to the highest calibre of national and international training benchmarks to meet industry needs around the globe.

Unique by virtue of its national and international reputation, the overriding objective of WAAPA is to nurture and develop the talents of a select group of emerging artists to standards of excellence. Academic teaching appointments are made not only on the basis of qualifications, but also on recent professional experience, as well as industry profile and reputation. Each year WAAPA also invites many renowned industry professionals to Perth as artists in residence to work with students on productions and performances<sup>5</sup>.


WAAPA uses clustering in a number of the qualifications it offers including the Advanced Diploma of Music. It uses clustering for delivery and assessment to create holistic development opportunities that will reflect workplace practice within the music industry. The clustering provides staff with a broader context in which to assess each student's abilities as he/she works to develop individual and group performance skills over a two-year period. The performance pieces include concert series and individual performances but may also involve providing music for other WAAPA dance or theatre productions.

The clusters used by WAAPA are based on determining what a musician is required to do in industry. Once these key tasks have been determined, the units from the training package are unpacked to determine their alignment to the workplace tasks and to establish what evidence needs to be collected. This allows WAAPA to cluster units together so that the learning opportunities give students the chance to take ownership of the performances and develop independence as performers. This activity produces a range of documents including a high-level cluster mapping that is used by WAAPA staff and students. An extract from the mapping is provided on the next page.


---

<sup>5</sup> Source: WAAPA website, June 2009.

## Extract from the 2<sup>nd</sup> Year Contemporary Performance Program Mapping



waapa  
Western Australian  
Academy of Performing Arts



AUSTRALIA  
**ECU**  
UNIVERSITY  
EDITH COWAN

### Contemporary music – 2009 mapping

### 2nd year Contemporary Performance

Principal study	CUSMPF19A	Use private practice to refine performance technique
	CUSMPF18A	Refine performance technique and expand repertoire
Professional practice	CUSMPF18A	Refine performance technique and expand repertoire
Ensemble	CUSLRN05A	Direct or conduct music in performance
	CUSLRN04A	Prepare for and lead a music rehearsal
	CUSMPF14A	Perform accompaniment
Concert practice	CUSMPF14A	Perform accompaniment

The unpacking of the units of competency provides WAAPA staff with information about the evidence required for competency. WAAPA uses this to develop a range of assessment tools. Two examples are provided which relate to the two clusters in the mapping.

In each of these examples, WAAPA identifies what must be demonstrated by the student and provides links to the units of competency. In some instances, the activities that have to be observed relate to requirements of multiple units within the cluster and others relate to single units from within the cluster (see 'Panel self-assessment 2012'). The performances within the cluster also provide evidence against the critical aspects of evidence for the units that include:

- proficiency in performance on nominated instrument in selected area of specialisation;
- listening effectively for intonation and nuance in performance;
- accurate/innovative interpretation and expression;
- effective musical collaboration and communication in performance;
- musical leadership and communication; and
- developing and expressing musical vision through a range of musical forces.

(Source: CUS01 Music Training Package)

WAAPA assessors are then able to use this evidence, along with other evidence collected during the cluster, to make judgements of competency for individual students. The judgements frequently include evidence from panel assessments. These panels include WAAPA staff as well as visiting industry professionals. This provides WAAPA with rich evidence of the ability of the students to meet workplace requirements, thereby addressing the dimensions of competency and employability skills. The panel assessment approach is also a sound moderation and validation strategy as it promotes a common understanding of the requirements of the units, moderated judgements about competency and provides industry benchmarking.

As the music industry changes and develops, WAAPA also reviews and refines its courses. This has involved changing the units within a cluster. Courses that are provided over a number of years where there is the possibility of RPL and, at times reassessment, require WAAPA to carefully monitor the clustering and the evidence provided by individuals. The mapping and assessment tool approach used by WAAPA is instrumental in allowing this monitoring to occur.

WAAPA has traditionally used performance for assessment purposes and moving to competency based training with a unit approach has proved to be challenging. The adoption of clustered assessment has proved successful and provided clarity and objectivity to the judgement of competency.

WAAPA staff have found it far simpler to say 'yes' or 'no' when assessing against a clear set of criteria. They have also noted that using clustering has produced better musicians as the learning and assessment experience is more cohesive and representative of realistic workplace tasks.



## Panel assessment 2009

CUSMPF14A Perform accompaniment  
CUSLRN05A Direct music in performance

*Ensemble*

*Advanced Diploma*



<b>Student's name</b>		
<b>Assessor's name</b>		
<b>Workplace</b>	Jazz studio (or as advised)	
<b>Date of assessment</b>		
<b>Procedure</b>	Panel assessment of performance technique	
<b>Did the student perform the following skills?</b>	<b>Yes</b>	<b>No</b>
Give clear communication to the ensemble members, showing musical leadership and appropriate communication skills. <b>CUSLRN05A (1.2, 1.3, 1.4, 3.2)</b>	<input type="checkbox"/>	<input type="checkbox"/>
Arrive on time and fully prepared for the recital. Prepare the ensemble for the performance with warm-up and tuning. <b>CUSLRN05A (1.1, 3.1)</b>	<input type="checkbox"/>	<input type="checkbox"/>
Conduct himself/herself in a professional manner at all times. <b>CUSLRN05A (2.1)</b>	<input type="checkbox"/>	<input type="checkbox"/>
Show presentation skills and sustain the audience's attention throughout the performance. <b>CUSLRN05A (4.1, 4.2, 4.4)</b>	<input type="checkbox"/>	<input type="checkbox"/>
Communicate clearly and appropriately to the audience to enhance overall understanding. <b>CUSLRN05A (4.3, 4.5)</b>	<input type="checkbox"/>	<input type="checkbox"/>
Show stage presence skills, including acknowledging audience and performers. <b>CUSLRN05A (2.1–2.7)</b>	<input type="checkbox"/>	<input type="checkbox"/>
Lead warm-up and give notes if required. <b>CUSLRN05A (1.5, 1.6)</b>	<input type="checkbox"/>	<input type="checkbox"/>
Have a clear understanding, through research, of the material, and direct the ensemble in a calm, professional manner. <b>CUSLRN05A (3.1, 3.2, 3.3)</b>	<input type="checkbox"/>	<input type="checkbox"/>
Engage the attention of all performers throughout the performance using body language, eye contact and professional manner. <b>CUSLRN05A (3.5, 3.7)</b>	<input type="checkbox"/>	<input type="checkbox"/>
Make sure the ensemble was balanced, and respond appropriately to any variations that occurred. <b>CUSLRN05A (3.4, 3.6)</b>	<input type="checkbox"/>	<input type="checkbox"/>
Interact with other ensemble members to develop a cohesive musical performance. (This should include giving and taking cues, and listening to and reacting with each instrument within the ensemble.) <b>CUSMPF14A (2.3, 3.2, 3.3, 3.5, 4.5)</b>	<input type="checkbox"/>	<input type="checkbox"/>
Contribute to the ensemble's stage presence. (This should be reflected with a positive attitude on stage, and awareness of own and others' role in developing a positive group performance.) <b>CUSMPF14A (4.1, 4.2, 4.4)</b>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Did the student perform the following skills?</b>		<b>Yes</b>	<b>No</b>
Listen to own part and adjust allowing for the size of the venue, the dynamics of the piece and the balance within the ensemble. <b>CUSMPF14A (3.1, 3.5, 3.6)</b>		<input type="checkbox"/>	<input type="checkbox"/>
Observe OHS principles by ensuring that the performance environment was safe, adequate rest breaks were scheduled if appropriate, using the correct posture and strategies to overcome the effects of performance anxiety, addressing personal health and safety issues in relation to physical/environmental factors of the venue, undertaking psychological/physical warm-up/cool down and maintaining stage fitness to ensure professional technique standard. <b>CUSMPF14A</b>		<input type="checkbox"/>	<input type="checkbox"/>
<b>The student's performance was:</b>	Not yet competent <input type="checkbox"/>	Competent <input type="checkbox"/>	
<b>Process diary</b>	Not yet competent <input type="checkbox"/>	Competent <input type="checkbox"/>	
<b>Feedback to student</b>			
<b>Student's signature</b>			
<b>Assessor's signature</b>			

## Panel self-assessment 2012

### Plan and prepare program

CUSMPF401A Rehearse music for group performances  
 CUSMPF402A Develop and maintain stagecraft skills  
 CUSMPF410A Perform music from written notation  
 CUSMPF501A Prepare a program for performance



*Ensemble*

*Diploma*

<b>Student's name</b>			
<b>Assessor's name</b>			
<b>Workplace</b>			
<b>Date of assessment</b>			
<b>Did the student perform the following skills?</b>	<b>Yes</b>	<b>No</b>	<b>n/a</b>
Understand and confirm the requirements of the semester's rehearsals. <b>CUSMPF401A (1), CUSMPF501A (1)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Understand and plan the requirements of the program and the performances. <b>CUSMPF401A (1), CUSMPF501A (1, 2.1)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Identify areas and strategies to develop stagecraft skills. <b>CUSMPF402A (1)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learn his/her part from written notation. <b>CUSMPF410A (1), CUSMPF501A (2.6, 2.7)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provide and set up equipment correctly. <b>CUSMPF402A (4.1)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Perform and present his/her part of the work to the required standard (reflecting thorough understanding of form, structure, dynamics and musical role). <b>CUSMPF410A (2)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interpret correctly the intention of the songs and develop individual part accordingly. <b>CUSMPF410A (2), CUSMPF501A (3)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interact appropriately with other ensemble members. <b>CUSMPF401A (3), CUSMPF402A (2.7), CUSMPF501A (3)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Respond according to tutor's directions. <b>CUSMPF401A (3), CUSMPF410A (3)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Did the student perform the following skills?		Yes	No	n/a
Identify and discuss areas that require further work. <b>CUSMPF401A (2.5, 3.6, 3.7), CUSMPF402A (3), CUSMPF410A (3)</b>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contribute to the rehearsal culture as a prepared, positive ensemble member. <b>CUSMPF401A (5)</b>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Incorporate feedback into performance. <b>CUSMPF401A (3.8), CUSMPF501A (3.8)</b>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Set up, rehearse and perform using correct posture, safe sound levels and correct warm-ups. <b>CUSMPF402A (4, 5)</b>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>The student's performance was:</b>		<b>Not yet competent</b> <input type="checkbox"/>		<b>Competent</b> <input type="checkbox"/>
<b>Feedback to student</b>				
<b>Student's signature</b>				
<b>Assessor's signature</b>				

Just as the overriding objective of WAAPA is to nurture and develop the talents of a select group of emerging artists to standards of excellence, WAAPA students are overwhelmingly focused on their artistic development. For this reason, the VET curriculum is 'behind the scenes'. The students clearly understand their learning and assessment program and appreciate that the learning and performance program will provide them with the opportunities to be assessed and receive the VET qualification.

WAAPA has been, and continues to be, very successful with graduates who are now household names not only in Australia, but internationally.

Information about the career pathways, experiences and awards that have been won by WAAPA graduates in 2011 can be viewed by visiting [http://waapa.ecu.edu.au/news/inside\\_waapa.php](http://waapa.ecu.edu.au/news/inside_waapa.php)

(The Department would like to thank WAAPA for providing the materials for this case study and Mr Mike Eastman and Mr Ric Eastman in particular.)

## Case study 2 – Coxswain’s Restricted Certificate of Competency (Perth Boat School)

Perth Boat School offers the Coxswain’s Restricted Certificate of Competency. This is an ‘entry level’ commercial qualification allowing skippers to operate with a restriction (size of vessel and operating area).

The qualification is made up of the following three units from the TDM07 Maritime Training Package.

- TDMMC707C Apply seamanship skills and techniques when operating a small vessel within the limits of responsibility of a coxswain;
- TDMMC907C Manoeuvre a domestic vessel within the limits of responsibility of a coxswain; and
- TDMMF3207C Apply domestic regulations and industry practices when operating a small coastal vessel.

Perth Boat School uses a clustered approach for the delivery and assessment of these units as they clearly relate to the workplace task of operating a vessel (under 8 m in length) in coastal waters (within five miles of the coast). The assessment of the units is therefore developed around each phase of operating a vessel in coastal waters.

The assessment tools were developed over a period of time. Perth Boat School initially identified what was required by each of the units within the cluster. This list formed the basis of the original assessment tools and encompassed evidence from classroom scenarios as well as practical evidence collected during practical sessions on the RTO’s vessel. As the tools were used, Perth Boat School was able to identify overlaps and, as a result, refined the tools so that the practical assessment now reflects the key tasks and behaviours that would be demonstrated when operating a vessel in a range of workplace activities. These include:

- pre-voyage inspections, preparation and paperwork;
- un-berthing;
- manoeuvring;
- man overboard;
- mooring;
- anchoring;
- towing;
- beaching;
- breakdowns;
- berthing; and
- shutdown.

Perth Boat School has provided an extract from its current assessment tool that shows the behaviours that would be observed when anchoring a vessel. The tool that follows links the behaviours to performance criteria from the relevant units of competency.

In the example provided, the **bold** criteria address the unit TDMMC907C and the *italicised* criteria address the unit TDMMC707C. Within the complete tool, all criteria – including those specified in the evidence guide – are mapped to the practical tasks and the knowledge tests.

This approach has allowed Perth Boat School to customise the assessment tasks to meet the needs of particular clients. For example, the tasks used for assessment with a university conducting research in the rivers and a water authority inspecting bridges and ocean outlets are different; however, the same criteria can be demonstrated.

The clustered approach has allowed Perth Boat School to realise benefits for the students and the organisation. In particular, the removal of repetition has significant savings in cost and time. In addition, the customisation of the work tasks to suit the client group means that the learning is relevant, as it is a normal workplace task and is more transferable to the workplace.

Perth Boat School continues to refine the delivery and assessment materials used by collecting client and stakeholder feedback.

## Anchoring



Please anchor the vessel.

<b>When anchoring the vessel:</b>	<b>P/C</b>	<b>Yes</b>	<b>No</b>
a) identify correct anchor cables or deck fittings	<b>2a, 2c</b>		
b) ensure the area is safe to anchor	<b>2b, 2c</b>		
c) slowly lower the anchor	<b>2b, 2c</b>		
d) weigh the anchor and vessel proceed	<b>2b, 2d</b>		
e) use a sea anchor to control a specified rate and direction of drift	<b>5e</b>		
f) reverse the boat once anchor reaches the seabed	<b>2b, 2c</b>		
g) lower the correct amount of scope.	<b>2b, 2c</b>		
<b>When using winches, capstans and windlasses:</b>	<b>P/C</b>	<b>Yes</b>	<b>No</b>
a) check and prepare effectively	<b>2e</b>		
b) operate effectively.	<b>2f</b>		
<b>When performing an anchoring:</b>	<b>P/C</b>	<b>Yes</b>	<b>No</b>
a) maintain the vessel's heading within acceptable limits, and as per the requirements of the weather, tide, headreach and stopping distances	<b>1b</b>		
b) control alterations of the heading/power smoothly	<b>1c</b>		
c) communicate clearly and effectively with others/crew	<b>1d</b>		
d) control the propulsion unit to progress the manoeuvre and steer the vessel effectively	<b>1e</b>		
e) stay within safe vessel propulsion and steering limits throughout the manoeuvre	<b>1f</b>		
f) ensure all resources are to hand for the manoeuvre	<b>1g</b>		
g) manoeuvre the vessel with minimal wash and to prevent damage to the marine environment.	<b>1h</b>		

(The Department would like to thank Perth Boat School for providing the materials for this case study, and Mr Michael Beanland and Mr David Lee in particular.)

### Case study 3 – Certificate III in Carpentry and Joinery (Challenger Institute of Technology)



Challenger uses project-based clustering for carpentry and joinery apprenticeships. The move to a clustered approach was driven by the challenge to attract and keep students interested in the trades, keep the quality of training high, and make the training more relevant, flexible and responsive to industry needs.

Traditionally the training component of the carpentry and joinery apprenticeship involved a modular approach that incorporated small scale simulation. The pictures below are typical of this type of simulation but feedback from students and industry suggested that the application to the workplace (in terms of real world competency) was often missed. Challenger also found that when units were delivered end-to-end, there was repetition (wasted training effort and assessment opportunity) and motivation levels for students were lower.

#### Miniature staircase and elementary roof simulations



Photos used with permission from Challenger Institute of Technology.

Challenger's current approach uses project-based delivery, where common and related units of competency are clustered and delivered together, using a single project as a focus. Project-based delivery aims to weave the underpinning theory into a given project, making the choice of project extremely important and, in particular, ensuring the scope and level of complexity are appropriate. Supplementary curriculum support materials have also been developed (in the form of a workbook) to ensure that students are progressing, and lecturers have found that more care needs to be taken when supervising students to ensure that they all are contributing equally and gaining the knowledge and skills required.

The program uses a set text on practical carpentry and a single workbook focused on the construction of a house. The project includes planning, levelling, stumps and bearers, sub-floor frame, flooring, wall and ceiling frames, eaves and elementary roofing.

Staff have also included doors, windows and fixing. As the wall and ceiling lining and roof tiling are separate trades, the house is considered 'complete' at this stage – at least from the perspective of a construction carpenter.



The house construction project has proven to be the most realistic and work-relevant over a number of successive programs, and staff continue to refine the project and workbook. The students complete a basic orientation of the industry, essential OSH, fundamental hand skills and an introduction to power tools before starting on the house project. This induction period usually takes place during the first few weeks of the semester program, with the project consuming the larger portion of the training.

The cost of materials is kept low due to the recycling of materials. The house is displayed as a complete project until the following semester's pre-apprentice group starts. One of their first tasks is to take the building apart, as this is a valuable part of their program of training in terms of safe working practice in the construction industry and demolition.

The demolition phase of the project also emphasises good sustainability practice and wasted materials are therefore minimised. The pictures below demonstrate the outcome of two of the projects completed by students.

### The stair project and house project



Photos used with permission from Challenger Institute of Technology.

Challenger has noted a significant increase in student motivation and sense of achievement since adopting the project-based clustered approach. Challenger lecturers explain that the real world competency is an important outcome, as the project is directly applicable to the workplace.

Students' skill levels have increased due to the 'difficulties' of a project on such a scale where effective problem solving becomes much more important. Students work in a team environment, and peer learning and teamwork are emphasised, strengthening their employability skills.

Feedback from industry has also been excellent with a number of employers donating materials and commenting positively on the excellent practices modelled within the construction design of the structure.

(The Department would like to thank all of the Challenger Construction Department teaching staff for providing the materials for this case study, in particular, Mr Darren Reynolds, Mr Kevin Williams and Mr Brian Wolstencroft.)

## Section 5 – Judging competence in three quality auditing units

### BSBAUD501B Initiate a quality audit – Example of a notated unit

Notated unit: This is an example of how an RTO may use the unit of competency to demonstrate how the evidence it collects will be used to make a judgement about competence.

#### Description

This unit describes the performance outcomes, and the skills and knowledge required to initiate and organise a quality audit with an auditee. It covers assessing the scope and objectives of a quality audit; communicating with the auditee regarding the proposed quality audit; identifying resources required to conduct the audit; and developing and submitting a quality audit plan.

The types of audit may include an external or internal systems audit or process or product/service audit. No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.

#### Employability skills

This unit contains employability skills.

#### Application of unit

This unit applies to individuals with a well-established, sound theoretical knowledge base in quality auditing who are proficient in using a wide range of specialised quality auditing and managerial techniques to plan, carry out and evaluate a quality audit, their own work and that of others working under their direct supervision in a quality audit team.

#### Unit sector

No sector assigned.

Elements	Performance criteria
1. Assess quality audit scope and objectives  Preparatory documents, interview questions 1, 2, 3, 5	1.1 Determine and discuss <b>audit objectives</b> with the auditee, client and all other relevant parties. 1.2 Determine and discuss <b>scope</b> of the quality audit with the auditee, client and all other relevant parties. 1.3 Identify <b>relevant standards</b> that impact on the environment in which the audit operates. 1.4 Determine scope commensurate with identified risks.

Elements	Performance criteria
2. Communicate with auditee regarding proposed quality audit  Preparatory documents, observer's report, interview questions 1, 2	2.1 Determine audit history, organisational structure and culture through consultation with the auditee. 2.2 Negotiate and ensure agreement with auditee the proposed <b>audit methods and techniques</b> to be applied. 2.3 Outline audit processes to establish sequence of audit activities and the roles of the auditors and auditees in the process.
3. Identify resources required to conduct quality audit  Preparatory documents, interview question 4	3.1 Identify <b>resources</b> required to perform the quality audit efficiently and effectively. 3.2 Select audit team members on the basis of relevant expertise. 3.3 Confirm availability of resources required to conduct the audit with auditee. 3.4 Assign roles and responsibilities to audit team members.
4. Develop and submit quality audit plan  Preparatory documents, audit plans, observer's report, interview questions 1, 2, 4, 7	4.1 Develop <b>quality audit plan</b> according to established scope and objectives. 4.2 Assign timing, schedules and responsibilities for implementation of the audit plan. 4.3 Develop audit priorities and ensure agreement with auditees and audit team members. 4.4 Document and submit audit plan to auditee.
5. Prepare audit team  Preparatory documents, observer's report, interview questions 4, 7	5.1 Inform audit team members of their responsibilities, audit objectives and scope. 5.2 Communicate audit plan and schedules to all audit team members. 5.3 Discuss and clarify audit methods and techniques with audit team members.
6. Review auditee documentation  Preparatory documents, interview questions 1, 2, 3, 5	6.1 Review auditee's previous audits to establish possible impact on the conduct of the current audit. 6.2 Review and check relevant organisational documents for accuracy. 6.3 Resolve arising problems with auditee and relevant parties.
7. Identify and prepare checklists and audit-related documentation  Preparatory documents, audit checklists	7.1 Develop checklists to reflect audit scope and objectives. 7.2 Develop or obtain documentation required for the audit. 7.3 Prepare agenda for entry meeting. 7.4 Include value-adding activities in audit-related documentation where required.

## Skills and knowledge

### Required skills

- communication skills to listen to and question clients and other audit team members; (AF, B9, interview)
- culturally appropriate communication skills to relate to people from diverse backgrounds and abilities; (AF, B9, interview)
- interpersonal skills to establish rapport with clients and to liaise with other audit team members; (AF, B9, interview)
- literacy skills to read, write, edit and proofread documents to ensure clarity of meaning, accuracy and consistency of information; (PD, AP)
- organisational, planning and time management skills to sequence tasks, meet timelines, conduct inspections and arrange meetings; (AP, B, interview)
- problem-solving skills to overcome any issues which may potentially affect the auditing process or outcome; (interview Q5, Q6)
- teamwork skills; (observer's report) and
- technology skills to use equipment required to conduct quality auditing activities. (PD, AP)

### Required knowledge

- auditing codes of practice or ethics; (Q1, Q2, Q3, observer's report)
- auditing methods and techniques; (Q4, AP, observer's report)
- auditing regulations and standards, including:
  - AS/NZS ISO 9000:2006 *Quality management systems – Fundamentals and vocabulary*
  - AS/NZS ISO 19011:2003 *Guidelines for quality and/or environmental management systems auditing*; (observer's report)
- current audit practices; (observer's report)
- industry, product and/or service knowledge; (Q2, Q3, ... )
- quality auditing principles, techniques and systems; (observer's report, Q1–8)
- requirements of house or other style manual protocols for written communications; (Q8, AP)
- relevant legislation affecting business operations, including appropriate occupational health and safety, environmental and privacy legislation; (PD, Q5, Q6, Q7)
- software applications relevant to conducting quality auditing activities; (PD, AP)
- terminology relating to quality auditing. (all)

## 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. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the student, accessibility of the item, and local industry and regional contexts) may also be included.

- Audit objectives may include:
- compliance with contractual and/or legislative requirements; ✓
  - evaluation of follow-up corrective action since previous audit; ✓
  - evaluation of level of compliance of auditee's activities, systems, processes, products or services with quality system's objectives; ✓
  - identifying areas of potential improvement; ✓ and
  - measuring performance in achieving quality objectives and confirming the effectiveness of the implemented quality system in meeting specified objectives.
- Scope may include:
- depth and focus of audit; ✓
  - industry-specific issues, for example seasonal factors; ✓
  - legal and regulatory issues; ✓
  - organisational customs and protocols; ✓
  - products, services, processes and/or activities to be audited; ✓
  - sites; ✓ and
  - standards to be applied. ✓
- Relevant standards may include:
- industry standards; ✓
  - professional standards; ✓
  - regulations; ✓ and
  - relevant legislation. ✓
- Audit methods and techniques may include:
- analysis; ✓
  - determining information flows; ✓
  - evaluating the effectiveness of system controls; ✓
  - questioning; ✓
  - sampling; ✓
  - scanning; ✓
  - tracing; ✓ and
  - trend analysis. ✓

Resources may include:

- auditee-provided resources; ✓
- experience and technical expertise of auditors; ✓
- facilities; ✓
- financial requirements; ✓
- number of auditors required; ✓
- reference materials; ✓
- time; ✓ and
- travel and accommodation. ✓

Quality audit plan may include:

- audit requirements and/or identification of relevant quality system documentation; ✓
- auditee provision of personnel for audit; ✓
- confidentiality requirements; ✓
- contingency actions; ✓
- distribution of reports; ✓
- entry meeting; ✓
- exit interview; ✓
- follow-up procedures; ✓
- measurement criteria; ✓
- reporting procedures; ✓
- resource requirements; ✓
- roles and responsibilities of auditors; ✓
- safety of auditors; ✓
- sampling techniques; ✓
- scope and objectives of audit; ✓ and
- timelines and schedules. ✓

## Evidence guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, the required skills and knowledge, the range statement and the assessment guidelines for the training package.

### Overview of assessment

#### Critical aspects for assessment and evidence required to demonstrate competence in this unit

Evidence of the following is essential:

- documented audit plans for auditees across a variety of contexts including the scope and objectives of the audit, proposed audit methods and techniques to be used, required resources and schedules, and allocation of individual audit team member responsibilities for conducting the proposed audit; and ✓ **three audit plans**
- knowledge of relevant legislation, national standards and compliance issues. ✓ **three audit plans and interview**

#### Context of and specific resources for assessment

Assessment must ensure:

- access to workplace documentation, including previous quality audit reports, checklists, risk management plans and audit plans. ✓

#### Method of assessment

A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:

- direct questioning combined with review of portfolios of evidence by third-party workplace reports of on the job performance by the student; ✓
- review quality auditing documentation; ✓
- demonstration of quality auditing techniques in a workplace; ✓
- observations of interactions with team members and colleagues; ✓
- observations of presentations of audit plans; ✓
- oral or written questioning to assess knowledge of auditing codes of practice or ethics; ✓ and
- assessment of audit plan. ✓

#### Guidance information for assessment

Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example:

- other quality auditing units. ✓



## BSBAUD503B Lead a quality audit

### Description

This unit describes the performance outcomes, and the skills and knowledge required to lead an audit team as it undertakes a quality audit. It covers conducting entry and exit meetings; identifying and gathering relevant information; managing audit team resources; and providing feedback to audit team members on their performance.

The types of quality audit that may be covered by this unit include an external or internal systems audit or process or product/service audit. No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.

### Employability skills

This unit contains employability skills.

### Application of unit

This unit applies to individuals with a well-established, sound theoretical knowledge base in quality auditing who are proficient in using a wide range of specialised quality auditing and managerial techniques to carry out their own work and to supervise the quality audit team. The unit is relevant to audits where a lead auditor is responsible for a quality audit team.

### Unit sector

No sector assigned.

Elements	Performance criteria
1. Conduct entry meeting	1.1 Organise entry meeting in advance at a mutually agreed time. 1.2 Prepare agenda for audit. 1.3 Confirm objectives and scope of audit at entry meeting. 1.4 Confirm schedules and logistical arrangements at entry meeting. 1.5 Make changes to plan, schedules and arrangements where required.
2. Identify and gather information	2.1 Identify a range of potential <b>sources of information</b> . 2.2 Interview <b>appropriate persons</b> . 2.3 Gather relevant information and <b>sample documentation</b> .
3. Manage audit team resources	3.1 Supervise activities of audit team members. 3.2 Assess and review audit team findings in line with audit scope. 3.3 Re-assign team members as required. 3.4 Instigate contingency actions as required. 3.5 Seek and reach agreement on corrective action reports.

Elements	Performance criteria
4. Conduct exit meeting	<p>4.1 Make preparations for exit meeting.</p> <p>4.2 Examine results and findings against audit objectives and present to auditee.</p> <p>4.3 Ensure reporting arrangements are agreed upon.</p> <p>4.4 Explain context and consequences of audit and discuss during follow-up.</p>
5. Guide team members in continuously improving their performance	<p>5.1 Provide feedback on performance to audit team members.</p> <p>5.2 Encourage and support audit team members to critique their own work.</p> <p>5.3 Provide and document advice for individual improvement.</p>

## Skills and knowledge

### Required skills

- communication skills to listen to and question clients and other audit team members;
- culturally appropriate communication skills to relate to people from diverse backgrounds and abilities;
- interpersonal skills to establish rapport with clients and to liaise with other audit team members;
- literacy skills to read, write, edit and proofread documents to ensure clarity of meaning, accuracy and consistency of information;
- organisational, planning and time management skills to sequence tasks, meet timelines, conduct inspections and arrange meetings;
- problem-solving skills to overcome any issues which may potentially affect the auditing process or outcome;
- teamwork skills; and
- technology skills to use a range of equipment required to conduct quality auditing activities.

### Required knowledge

- auditing codes of practice or ethics;
- auditing methods and techniques;
- auditing regulations and standards, including:
  - AS/NZS ISO 9000:2006 *Quality management systems – Fundamentals and vocabulary*
  - AS/NZS ISO 19011:2003 *Guidelines for quality and/or environmental management systems auditing*;
- current audit practices;
- industry, product and/or service knowledge;

- quality auditing principles, techniques and systems;
- requirements of house or other style manual protocols for written communications;
- relevant legislation affecting business operations, including appropriate occupational health and safety, environmental and privacy legislation;
- software applications relevant to conducting quality auditing activities; and
- terminology relating to quality auditing.

## 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. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the student, accessibility of the item, and local industry and regional contexts) may also be included.

- |                                     |  |
|-------------------------------------|--|
| Sources of information may include: | <ul style="list-style-type: none"> <li>• examination of internal documentation;</li> <li>• examination of reports from external sources, for example, external laboratory reports and vendor ratings;</li> <li>• inspection of records, for example, meeting minutes, reports or logbooks;</li> <li>• interviews; and</li> <li>• observation of activities.</li> </ul> |
| Appropriate persons may include:    | <ul style="list-style-type: none"> <li>• persons from different levels within the auditee's organisation, for example, management, administrative personnel and work floor personnel; and</li> <li>• persons performing activities or tasks under consideration in the audit process.</li> </ul>   |
| Sample documentation may include:   | <ul style="list-style-type: none"> <li>• documented procedures;</li> <li>• logbooks;</li> <li>• meeting minutes;</li> <li>• previous audit reports;</li> <li>• reports;</li> <li>• reports from external sources;</li> <li>• systems specifications;</li> <li>• test results;</li> <li>• user requirements definitions; and</li> <li>• work instructions.</li> </ul>   |

## Evidence guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, the required skills and knowledge, the range statement and the assessment guidelines for the training package.

### Overview of assessment

#### **Critical aspects for assessment and evidence required to demonstrate competence in this unit**

Evidence of the following is essential:

- demonstration of leadership and management of a quality auditing team across quality audits in a variety of contexts;
- management of the information-gathering process by team members, and analysis, synthesis and reporting of the findings; and
- knowledge of auditing methods and techniques.

#### **Context of and specific resources for assessment**

Assessment must ensure:

- access to workplace documentation, including previous quality audit reports, checklists, risk management plans and audit plans.

#### **Method of assessment**

A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:

- analysis of information gathered in the information-gathering process;
- review of audit plans;
- direct questioning combined with review of portfolios of evidence by third-party workplace reports of on the job performance by the student;
- observations of application of audit techniques;
- observations of interactions with team members, colleagues and auditees;
- oral or written questioning to assess knowledge of current audit practices; and
- review of documentation advising team members about improving their performance.

#### **Guidance information for assessment**

Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example:

- other quality auditing units.

## BSBAUD504B Report on a quality audit

### Description

This unit describes the performance outcomes, and the skills and knowledge required to report on the outcomes of a quality audit and to take appropriate follow-up action. It covers compiling audit results; preparing a report for the auditee/client; negotiating follow-up action with the auditee/client; and monitoring and reviewing auditing system and activities.

The types of quality audit that may be covered by this unit include an external or internal systems audit or process or product/service audit. No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.

### Employability skills

This unit contains employability skills.

### Application of unit

This unit applies to individuals with a well-established, sound theoretical knowledge base in quality auditing who are proficient in using a wide range of specialised quality auditing and managerial techniques to carry out their own work and to supervise the quality audit team. The unit addresses the function performed by either an auditor having sole responsibility for the audit or a lead auditor of a quality audit team.

### Unit sector

No sector assigned.

Elements	Performance criteria
1. Compile audit results	1.1 Compare <b>results</b> of audit evaluation against audit objectives and criteria. 1.2 Analyse audit results.
2. Prepare report	2.1 Provide objective evidence relating to the need for reduction, elimination and prevention of non-conformance as the basis for the <b>audit report</b> . 2.2 Produce audit report according to specified audit requirements. 2.3 Present audit report to auditee and other stakeholders.
3. Negotiate follow-up process with auditee	3.1 Determine and initiate any corrective action required to deal with non-conformance, in consultation with auditee. 3.2 Provide suggestions for improvements where applicable. 3.3 Ensure timelines are agreed upon for completion of corrective action activities. 3.4 Ensure corrective action follow-up procedures are agreed with auditee.

Elements	Performance criteria
4. Monitor and review audit system and activities	<p>4.1 Evaluate effectiveness and suitability in achieving audit objectives.</p> <p>4.2 Investigate possible <b>improvements in audit methods</b>, economy and efficiency.</p>

## Skills and knowledge

### Required skills

- communication skills to listen to and question, clients and other audit team members;
- culturally appropriate communication skills to relate to people from diverse backgrounds and abilities;
- interpersonal skills to establish rapport with clients and to liaise with other audit team members;
- literacy skills to read, write, edit and proofread documents to ensure clarity of meaning, accuracy and consistency of information;
- organisational, planning and time management skills to sequence tasks, meet timelines, conduct inspections and arrange meetings;
- problem-solving skills to overcome any issues which may potentially affect the auditing process or outcome;
- teamwork skills; and
- technology skills to use a range of equipment required to conduct quality auditing activities.

### Required knowledge

- auditing codes of practice or ethics;
- auditing methods and techniques;
- auditing regulations and standards, including:
  - AS/NZS ISO 9000:2006 *Quality management systems – Fundamentals and vocabulary*
  - AS/NZS ISO 19011:2003 *Guidelines for quality and/or environmental management systems auditing*;
- current audit practices;
- industry, product and/or service knowledge;
- quality auditing principles, techniques and systems;
- requirements of house or other style manual protocols for written communications;
- relevant legislation affecting business operations, including appropriate occupational health and safety, environmental and privacy legislation;
- software applications relevant to conducting quality auditing activities; and
- terminology relating to quality auditing.

## 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. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the student, accessibility of the item, and local industry and regional contexts) may also be included.

Results may include:

- corrective actions to reduce, eliminate and prevent non-conformance;
- examination and evaluation of controls associated with systems, activities and processes;
- means of improving processes, systems, products and business results;
- objective evidence of conformance; and
- objective evidence of non-conformance relating to organisational processes, systems, activities, products and/or services.

Audit report may include:

- agreed objectives and scope of audit;
- audit results;
- distribution list for the audit report;
- follow-up required;
- identification of audit team members;
- identification of the auditee's representatives;
- information on confidentiality;
- outline of the auditing process, including obstacles encountered;
- retention of auditing records, including work documents;
- specified audit requirements; and
- timeframe in which audit was conducted.

Improvements in audit methods may include:

- assessment of audit results;
- evaluation of auditor's performance;
- evaluation of the effect of the quality audit outcomes on the auditee's activities, products and/or services;
- examination of complaints, appeals and other feedback received from auditee;
- examination of mechanisms by which consistency of audits is achieved;
- overall evaluation of the methods and effectiveness of the audit organisation; and
- review of the audit reporting process and records.

## 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

#### **Critical aspects for assessment and evidence required to demonstrate competence in this unit**

Evidence of the following is essential:

- completion and presentation of audit reports to auditees/clients and stakeholders;
- negotiations for follow-up actions with auditees/clients; and
- knowledge of auditing regulations and standards.

#### **Context of and specific resources for assessment**

Assessment must ensure:

- access to workplace documentation, including quality audit reports, checklists, risk management plans and audit plans.

#### **Method of assessment**

A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:

- analysis of objective evidence provided in relation to the need for reduction, elimination and prevention of non-conformance;
- review of audit reports;
- direct questioning combined with review of portfolios of evidence by third-party workplace reports of on the job performance by the student;
- analysis of documentation outlining possible improvements in audit methods;
- observations of interactions with team members, colleagues and auditees;
- observations of presentations of audit reports to auditees and their organisation;
- oral or written questioning to assess knowledge of audit report contents; and
- review of corrective action follow-up procedures agreed with auditee.

#### **Guidance information for assessment**

Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example:

- other quality auditing units.



## Employability skills summary for the BSB51607 Diploma of Quality Auditing

Employability skills	Industry/enterprise requirements for this qualification include:
Communication	<ul style="list-style-type: none"> <li>• adjusting interpersonal styles and methods as required;</li> <li>• communicating ideas and information to a wide range of persons;</li> <li>• consulting, questioning, clarifying and evaluating information;</li> <li>• negotiating follow-up action as required; and</li> <li>• using excellent verbal and written skills to gather information and present formal audit reports.</li> </ul>
Teamwork	<ul style="list-style-type: none"> <li>• providing feedback to team members on their performance; and</li> <li>• working with others and delegating roles and responsibilities to team members.</li> </ul>
Problem solving	<ul style="list-style-type: none"> <li>• collecting, analysing, comparing and contrasting data;</li> <li>• providing strategies on how to address non-compliances; and</li> <li>• solving problems in respect to risk and knowledge management systems.</li> </ul>
Initiative and enterprise	<ul style="list-style-type: none"> <li>• adopting innovative approaches to learning and improving team members' skills;</li> <li>• identifying areas for improvement and recommending value adding activities; and</li> <li>• leading an audit and offering flexible approaches to suit client's business.</li> </ul>
Planning and organising	<ul style="list-style-type: none"> <li>• identifying risk and developing strategies to deal with it;</li> <li>• planning audit schedule and identifying resources required; and</li> <li>• planning for contingencies, and monitoring and reviewing systems and activities.</li> </ul>
Self-management	<ul style="list-style-type: none"> <li>• managing own time and performance;</li> <li>• reflecting on own performance as an auditor; and</li> <li>• working within organisational policies, procedures and legislative requirements.</li> </ul>
Learning	<ul style="list-style-type: none"> <li>• developing and maintaining own professional competency;</li> <li>• identifying learning needs and facilitating the management of knowledge; and</li> <li>• maintaining currency of knowledge and skills in respect to risk and knowledge management.</li> </ul>
Technology	<ul style="list-style-type: none"> <li>• aligning data and information systems with the knowledge management system;</li> <li>• using technology to assist in the management of information and the planning process; and</li> <li>• using word-processing software and risk analysis tools.</li> </ul>

## Section 6 – Useful links and resources

AS/NZS ISO 19011:2003 *Guidelines for quality and/or environmental management systems auditing*

AS/NZS ISO 9000:2006 *Quality management systems – Fundamentals and vocabulary*

Australian Skills Quality Authority (ASQA)

[www.asqa.gov.au](http://www.asqa.gov.au)

ASQA is the national regulator for Australia's vocational education and training sector. This government authority regulates courses and training providers to ensure that nationally approved quality standards are met. Western Australian RTOs which deliver courses interstate or overseas are required to register with ASQA.

Australian National Training Authority 2001, *Assessing competencies in higher qualifications*

Australian Qualifications Framework Advisory Board 2007, *AQF Implementation Handbook*, 4<sup>th</sup> edn.

CUS01 Music Training Package [http://www.vetinfonet.det.wa.edu.au/course/packagedetails.aspx?hTraining\\_Product\\_ID=1365557](http://www.vetinfonet.det.wa.edu.au/course/packagedetails.aspx?hTraining_Product_ID=1365557).

Department of Education, Employment and Workplace Relations 2011, *Training Package Development Handbook*.

[www.deewr.gov.au/Skills/Overview/Policy/TPDH/QualificationsFramework/Pages/PolicyQuals.aspx#entry\\_requirements](http://www.deewr.gov.au/Skills/Overview/Policy/TPDH/QualificationsFramework/Pages/PolicyQuals.aspx#entry_requirements))

Department Training and Workforce Development 2012, *Designing assessment tools for quality outcomes in VET* available in PDF from [www.westone.wa.gov.au/pd](http://www.westone.wa.gov.au/pd) or [www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au).

Department of Training and Workforce Development 2012, *Guidelines for assessing competence in VET* available in PDF from [www.westone.wa.gov.au/pd](http://www.westone.wa.gov.au/pd) or [www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au).

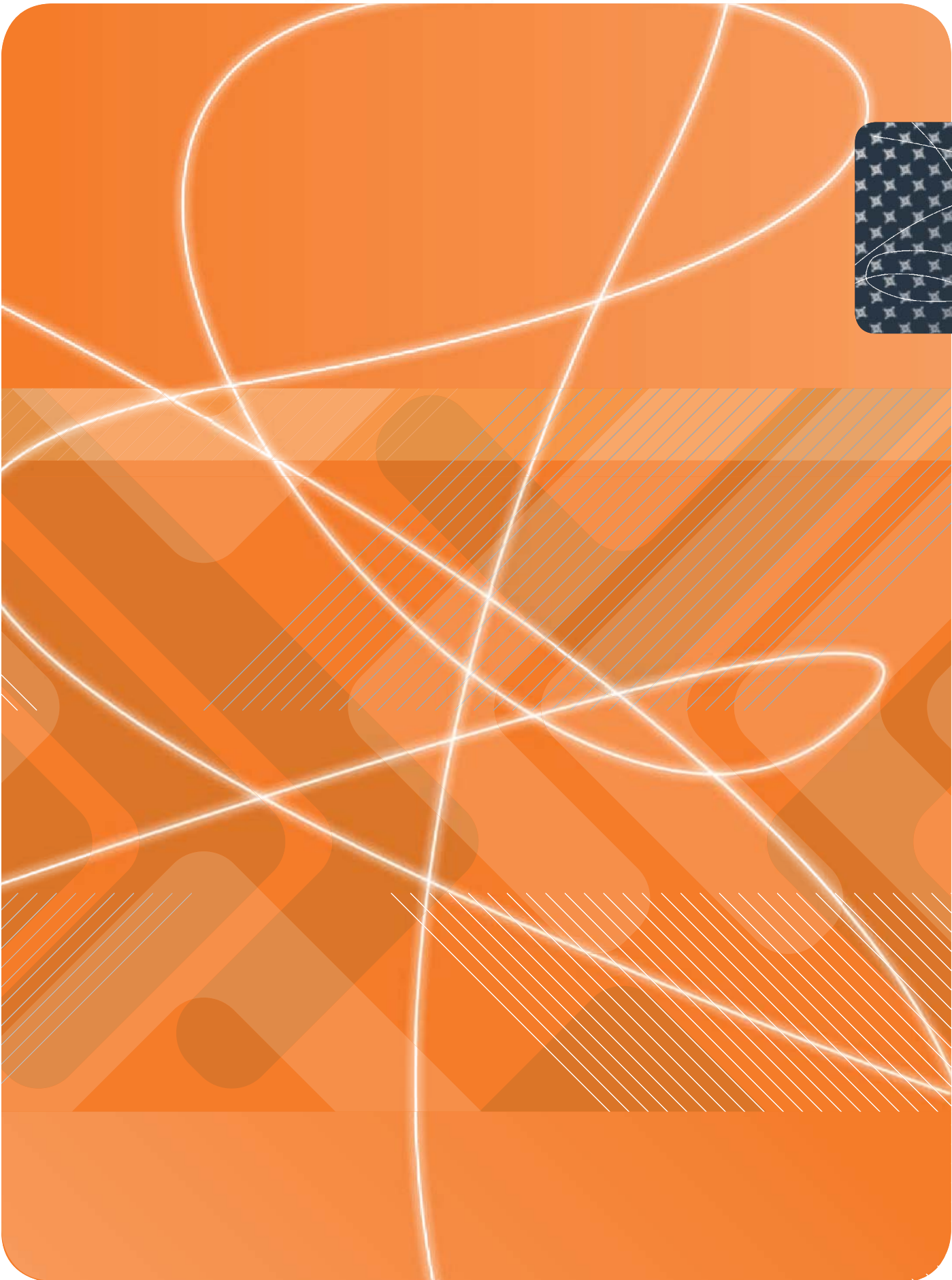
Department of Training and Workforce Development 2012, *Recognition of prior learning: An assessment resource for VET practitioners* available in PDF from [www.westone.wa.gov.au/pd](http://www.westone.wa.gov.au/pd) or [www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au).

Innovation and Business Skills Australia 2008, BSB07 Business Services Training Package Version 1.0 available at [www.training.gov.au](http://www.training.gov.au).

Innovation and Business Skills Australia 2010, TAE104 Training and Assessment Training Package, Version 2.1, available at [www.training.gov.au](http://www.training.gov.au)

Transport and Logistics Industry Skills Council 2007, TDM07 Maritime Training Package Version 1.1 available at [www.training.gov.au](http://www.training.gov.au)





Department of Training and Workforce Development  
1 Prospect Place, WEST PERTH WA 6005  
T: (08) 9319 5512  
[www.westone.wa.gov.au/pd](http://www.westone.wa.gov.au/pd) : [www.vetinfonet.det.wa.edu.au](http://www.vetinfonet.det.wa.edu.au)

DTWD1923  
CLUSTERING UNITS OF  
COMPETENCY  
ISBN 978-1-74205-825-2



9 781742 058252