Table of Contents

Pre-Enrolment

Potential candidates of ABC Training and Consulting are informed about:

- what recognition of prior learning (RPL) is about
- what RPL means
- that it's available to everyone
- the likely costs
- the support available
- timelines
- initial qualification-related information
- Units of Competency delivery
- Credit Transfers

This information supplies them with enough details to make an informed decision about the training and assessment during the qualification process.

This information is provided:

- On our web site (https://www.abconsulting.edu.au/)
- In our marketing materials and course brochures

Information includes:

- what RPL is and its benefits to potential candidates
- course outcomes
- recognition process
- pathways specific to the course/s
- costs and timeframes
- contact person/support available (RTO staff member who can provide more detailed recognition information)
- how to get started

1. Recognition of Prior Learning

Candidates who identify themselves as potential applicants for RPL receive guidance from a workplace trainer/assessor. This guidance is provided in a number of ways, for example, on a one to one basis, via email, or through supporting documentation.
Information provided at this point includes:

- detailed course outcomes/interpretation of competency units (competency summary)
- suggested evidence – observation in the workplace, documents, demonstrations, completion of projects
- self-assessment guidance and/or tools (may be verbal or involve the use of self-assessment checklists/documents)

This interaction should enable the potential candidate to make a decision about whether or not to apply for recognition. If the candidate chooses not to pursue recognition you should provide advice which might include:

- the candidate deferring and taking time to gather evidence for future submission
- further development of skills in the workplace
- training in selected units of competency or a full qualification
- alternative career or qualification options

a) Candidate and Assessor

Discuss and agree on ways to gather evidence. A workplace site tour pre-determines the extent to which RPL will be used throughout the qualification and in which units RPL will apply.
While the candidate is gathering or producing evidence, provision is made for ongoing liaison with workplace assessors regarding evidence and presentation.

This process involves one or more of the following (or other methods not described here):

- the candidate collects, mapping, documents, videos, software or other forms of evidence
- the assessor observes the candidate in the workplace (**skills assessment**)
- the candidate undertakes a project or task or provides authenticated work samples
- the assessor interviews the candidate
- the assessor interviews the candidate's supervisor/manager
- a simulation of work activities (**skills assessment**)
- records of non-formal learning completed (such as workplaces)

The RPL process is specific to the qualification and includes as a minimum:

- RPL roles and responsibilities (client information handbook)
- what constitutes quality evidence with specific examples
- how to present evidence
- appeal process
- what happens if they are successful/unsuccessful
- feedback mechanisms (2-way)

b) Completed Assessments Are Submitted for Review

Where documentary evidence is the main form of evidence, candidates present this in the appropriate form.
Other forms of evidence may already be in the assessor's possession, eg, observation checklists, project assessment tools, initial interview information, third party reports, etc.

Assessors record the evidence presented and the time it was submitted by the candidate.

c) Assessor Reviews Evidence and Interviews Candidate

The assessor reviews the evidence as a 'whole' using the assessment tools.
An interview, whether face-to-face, by telephone or other means is a recommended part of the recognition process. This allows assessors to:

- ask questions to further explore the extent of knowledge of the candidate
- seek clarification about items of evidence, eg, asking questions to ensure understanding by candidates
- ensure the components/dimensions of competency are demonstrated, eg, ask
- conducts skills assessment

d) Assessor Makes Assessment Decision on a Per Unit Basis and Provides Feedback to the Candidate

The credential issuing process is explained to successful candidates. Options for unsuccessful candidates are explored. Options could include:

- enrolment in the required units for training and assessment
- enrolment in flexible pathway
- completion of work based projects

e) Assessor Completes Paperwork, Record Keeping Requirements and Issues a Qualification

Assessors complete records of the recognition assessment as per RTO policy and procedures for assessment record keeping and data updated in our student management system to ensure compliance with AVETMISS data.

Overview of the Six Stages

This table provides a brief overview of the work involved in each stage of the framework. The framework is not necessarily linear, and you may need to revisit stages as you work through the process.

1 Establish the context	Establishing the environment in which RPL takes place – the industry, the location, whether in a workplace or a training organisation, the level of qualification sought, the degree of employer or systems support and so on.
2 Provide information	How everyone involved is informed about the process of recognition in consistent ways, and how candidates understand the expectations of the assessment process.
3 Gather evidence	The proof of competence - negotiated between the assessor, candidate and supervisor/employer representative (within guidelines). How does the candidate demonstrate their competence? What rules are applied to this evidence?
4 Assess the evidence	Measuring the evidence against the standards of performance required - using the assessment tools and recording the evidence.
5 Make an assessment decision	Once all evidence is collected and measured, the assessor aggregates/evaluates this and makes a decision about competence which is communicated to the candidate.
6 Issue credentials and/or plan the next step	The candidate is helped to decide "where to next?" This may include gap training to complete a qualification, advice about the next level of qualification available, or the development of an action plan if not yet competent.

Making decisions

While you are working through the framework you may need to make decisions such as:

- how much information is provided before a fee is paid or a candidate is enrolled?
- will you conduct information sessions for groups or discuss recognition on a one to one basis with potential candidates?

Unpacking the Six Stages – 1 Context

Stage 1	What to consider	Our expected role as an RTO	How we comply
Establish the context	What industry areas are the candidates involved in?	Ensure there are documented policies and procedures for recognition that are accessible to: • candidates • assessors • administrative staff Ensure all relevant staff are trained in recognition procedures Ensure the recognition process: • is easy to follow • is in plain English • is illustrated in a flow chart • allows for clear stages	Candidates: Are provided general information initially and RPL packs provide full information required. Assessors: have access to the guidelines in our RPL policy and continued compliance with the Vet Quality Framework (*VQF*) - validation/moderation Admin: Only minimal understanding is required as training staff provide the majority of support Assessors: continued compliance with the *VQF.* RPL is administered in conjunction with a structured training plan through consultation between assessors, candidates and employers Client information is provided in our student handbooks

	What qualifications and units of competency are relevant to them?
	
	What legislation and regulations pertain to that industry?
		Ensure all assessors, staff and candidates are well informed about recognition requirements relating to their specific qualifications and industry, including:
		• legislative requirements
		• licensing requirements
		• training package requirements:
		  ○ assessment guidelines
		  ○ qualification framework/s
		  ○ units of competency
			Each competency unit is de-constructed from the training package to provide a pathway for both assessors and candidates alike. This includes legislative, licensing and training package requirements.
			T&A currency is maintained through continued compliance with VQF.

	Who is/are the candidate/s? Individuals or groups? What relevant experience/training have they had? Are they currently working in a relevant job? What tasks do they perform in their job? At what level? What is the environment they work in – high risk, customer focused, privacy issues? How could this affect the collection of evidence?	Interview candidates and/or conduct information sessions • Who conducts these? • Do you document this-if so how? • Do you have 'generic' questions set to be asked of the candidate? Provide the candidate with a self assessment or self refection activity (could be provided here or in the next Stage)	Induction checks are carried out and recorded with all prospective clients by workplace assessors with currency in the field in question An evidence register is created A resume, job check is conducted during the induction to check the correlation with the training package being undertaken

Unpacking the Six Stages – 2 Provide Information

Stage 2	What to consider	Our expected role as an RTO	How we comply
Provide information	What information does the potential candidate need and how can we best provide it?	Ensure your Assessment packs/information guides include: • information & advice to candidates including support • a flow chart of the RPL process (including an appeal mechanism) • roles and responsibilities of the RTO, assessors and candidates • evidence rules & requirements • tools for recording the quality of evidence submitted • guidelines on evidence gathering • guidelines on evidence submission, including pro-forma documents information to enable the candidate to self assess	Assessment Packs in conjunction with client information books contain information, advice and support guidance All Assessment packs contain an appeal mechanism on the front page A flow chart is included in the client information book Roles and responsibilities are covered during induction and included in client information books Evidence rules and requirements are covered in each assessment pack Staff: Continued compliance with VQF RPL policy in place accessible to all staff
	Is our information in plain English? Would other languages also be appropriate? Who is the best person to help the candidate? How can we help candidates undertake a self-assessment?	Customise the Assessment Pack to include: • specific information regarding any licensing and regulatory requirements • examples of the types of evidence relevant to the candidate's context • specific support mechanisms eg who the support person will be to ensure accuracy and currency of information Ensure staff: • have the required knowledge and skills • know the referral process • know the communication process	Evidence rules and requirements are covered in each assessment pack Training plans contain all relevant pathways and support mechanisms Staff: Continued compliance with VQF

Unpacking the Six Stages – 3 Gathering Evidence

Stage 3	What to consider	Our expected role as an RTO	How we comply

Gathering evidence	Suggested types of evidence to be submitted.
	
	How to gather or create the evidence.
	
	How to ensure evidence provided is of good quality.
	
	Provide candidate with suggested types of evidence they may have
	
	Involve the candidate in identifying evidence
	
	Support candidate in collecting evidence
	
	Offer candidate the opportunity to have a mentor
	
	Be flexible in approach to types of suitable evidence
	
	The evidence collected being used as part of a validation process
		To ensure assessors:
		• are fully briefed on all aspects and requirements of:
		  ○ your recognition policy/ procedures specific qualification/ industry requirements
		  ○ have a mutual understanding of the rules of evidence and specific evidence requirements
		• communicate effectively with candidates
		• review and compare their recognition assessments regularly
		• work with and sign off consistent assessment tools
		• undertake professional development in relation to assessment and recognition
		• keep up to date with their specific industry requirements
		• understand the role of Employability Skills
		• participate in validation activities regarding evidence
		
		Do you allow your assessors:
		• flexibility in types of evidence collected
		• the option to offer the candidate a mentor/support person to support the candidate during the evidence collecting stage?
			Staff: Continued compliance with VQF
			
			RPL policy in place accessible to all staff

Reflecting on Gathering Evidence

This stage is about your assessor discussing and agreeing with the candidate the forms of evidence to be collected in the assessment process.
Types of Evidence

Identifying evidence can be a challenge. RPL is a form of competency based assessment and is therefore based on collecting evidence of competency. It is bound by the same rules as other types of assessment.

Do you know if and how your assessors apply the following rules and requirements of evidence consistently?

Validity: evidence relates directly to the unit of competency; demonstrates relevant underpinning skills & knowledge; reflects the four components or dimensions of competence and is appropriate to the relevant AQF descriptor

Sufficiency: evidence includes all the critical aspects of evidence in the Unit Evidence Guide, particularly any specific evidence requirements if listed in units of competency; covers the entire scope of the unit; demonstrates competency over a period of time and in different contexts; includes different forms of evidence

Authenticity: each piece of evidence is clearly identifiable as the candidate's own work and is dated and referenced; where candidate's evidence is part of teamwork, the candidate's specific role is clearly defined; qualifications, references, licenses etc presented by the candidate are certified documents; candidate's verbal or written accounts about what they can do are verified by a credible third party and/or supported by documented evidence.

Currency: evidence demonstrates the candidate can apply the competencies in their current work

Unpacking the Six Stages – 4 Assessing the Evidence

Stage 4	What to consider	Our expected role as an RTO	How we comply

Gathering evidence	Transparency of the process
	
	The need to review the evidence as a whole
	
	How to ensure rules of evidence are adhered to
	
	The quality of sufficiency, authenticity and validity evidence
	
	Whether there is need for a bank of prepared assessment tools
		Ensure:
		• *assessors are fully briefed on all aspects and requirements of:*
		  ○ *your RPL policy/procedures*
		  ○ *specific qualification/industry requirements*
		• *assessors have support*
		• *assessors have a mutual understanding of the rules of evidence and specific evidence requirements*
		• *assessors have and can complete prepared, validated assessment tools*
		• *assessors participate in assessment validation*
			Staff: Continued compliance with *VQF*
			
			RPL policy in place accessible to all staff

Unpacking the Six Stages – 5 Making the Assessment Decision

Stage 5	What to consider	Our expected role as an RTO	How we comply
Make the assessment decision	Adhere to assessment process Provide adequate feedback Review the assessment process	*Do you ensure:* • *your assessors conduct interviews that are collaborative* • *questions are prepared based on the evidence gathered* • *this stage is used to give and receive feedback* • *assessor asks candidates about the recognition process* • *assessors participate in assessment validation?*	Staff: Continued compliance with *VQF* RPL policy in place accessible to all staff

Reflecting on Decision Making

Assessment decision making usually includes an interview with the candidate to provide and receive feedback. This interview does not have to be face to face but could occur via telephone, video link or other suitable methods.
Your process should ensure that appropriate feedback is provided to the candidate as well as the candidate having the opportunity to provide you with feedback on the process

Decision Making and Professional Judgement

At some point the assessor needs to review the evidence against the criteria, units of competency or accredited course, and make a decision on the person's competence. Often the term 'professional judgement' is used amongst assessors.

Professional judgement is decision making which flows from the whole process of assessment. Decision making can be enhanced by:

- Having skilled, experienced assessors
- Supporting assessors in the process of assessment
- Providing professional development
- Ensuring assessors actively participate in assessment validation

Unpacking the Six Stages – Issuing Credentials and/or Next Steps

Stage 6	What to consider	Our expected role as an RTO	How we comply
Issue credentials and/or plan next step	Include candidate in any further development/support Complete documentation Organise validation activities	Do you ensure: • all assessors have the documentation to complete • assessors know about referral services • assessors are provided with feedback • candidates have the opportunity to provide feedback • validation activities are planned	Staff: Continued compliance with *VQF* RPL policy in place accessible to all staff

Reflecting on Providing Further Support and Follow Up

This Stage of the framework provides ongoing support to candidates where required. For candidates who are not yet competent in all units required this may include:

- developing a learning/assessment action plan
- providing additional services, eg, counselling and/or referral
- completing necessary documentation

For candidates who have completed all required units successfully, this will include:

- finalising records of results
- issuing statements of attainment or qualifications

All candidates should be asked to provide feedback to the RTO on the recognition process as part of the RTO's continuous improvement process

Documentation

Records of student progress and results and the qualifications/units of competency achieved need to be kept but the exact nature of records will vary.
There are a number of factors that impinge on what is kept and for how long it is kept. Factors include:

- Regulatory requirements
- Licensing requirements
- Legislative requirements
- Contract requirements

These records need to be kept securely for the required period of time.

Check and Review of Our RPL Documents, Templates and Procedures

1. Information for potential candidates
2. Information on enrolment that is relevant to candidates
3. Information for assessors
4. Information for other staff involved such as administrative staff
5. An Assessment pack includes:
   - explanation of what RPL is
   - a flow chart of the RPL process (including an appeal mechanism)
   - roles and responsibilities of the RTO, assessors and candidates
   - outcomes of the units of competency
   - evidence rules & requirements – contained in each competency unit pack
   - tools for recording the quality of evidence submitted – Validation tools
   - guidelines on evidence gathering – contained in each competency unit pack/Validation
   - guidelines on evidence submission
   - support guidelines – client information book
   - how results will be recorded – assessment process
   - what happens if not yet competent?
6. Monitoring and review mechanisms including validation.

Pre- enrolment information

Could include:

- Brief details of units (competency unit summary)
- Explanation of RPL/diagram/flow chart
- Time commitment
- Brief outline of the process
- Contact person for further information
- Enrolment information
- Initial self assessment (outlined)

General information for employer

Could include:

- Explanation of RPL/diagram/flow chart including timeframes
- Time commitment
- What's in it for the employer?

- The role of the employer and any other stakeholders who may be involved eg supervisor
- What's in it for the candidate?
- The candidate's role
- The RTO's role
- Course information
- Contact details
- Links to relevant web sites

Content of an Assessment Pack

The Assessment pack provides information for a number of people:

- The candidate
- Employer
- Support person
- Assessor

The kit should contain a minimum information and advice to candidates that includes:

- explanation of what recognition is
- a flow chart of the recognition process (including an appeal mechanism)
- roles and responsibilities of the RTO, assessors, candidates and employers/supervisors where applicable
- outcomes of the units of competency
- evidence rules & requirements
- tools for recording the quality of evidence submitted
- guidelines on evidence gathering, including what is not evidence
- guidelines on evidence submission, including proforma documents
- support guidelines
- how results will be recorded
- what happens if Not Yet Competent

2. Competency Based Training

On vocational education and training, people are considered to be competent when they are able to apply their knowledge and skills successfully to complete work activities in a range of situations and environments, to the standards of performance expected in the workforce.

Both on the job and off the job training and assessment aim to make sure that the individual participating in the training and assessment has the competence to undertake their work role to the standards expected in the relevant workplace.

Candidate and Assessor

After identification on the training delivery method, a workplace visit will be arranged with the candidate and the assessor to determine competency for a unit of competency.

This process involves the following steps:

- the assessor contacts the student and supervisor (where applicable) to arrange a time for the assessor to visit the workplace
- the assessor will complete a theory based session with the student to train and delivery the unit of competency
- the assessor will also complete a practical assessment with the student to cover the performance criteria for the unit of competency
- the assessor may also carry out simulated activities to observe competency

- the assessor may gather supplementary evidence to contribute to an assessment outcome

Completed Assessments Are Submitted for Review

It is the responsibility of the assessor to determine what and how evidence is required to make the assessment judgement by using the evidence as a “whole” as an assessment method.
Assessors record the evidence presented and the time it was submitted.

A COMPETENT PERSON CAN:	A PERSON WHO IS NOT YET COMPETENT MAY:
Plan training programs based on: • a set of standards • identified training needs Deliver training: • using a range of appropriate delivery methods and learning materials which will facilitate learning • actively involving participants in the session • providing opportunities for practice in skills development • taking into consideration the characteristics of learners, particularly language and literacy needs • informing learners about the nature of the training and assessment • providing constructive feedback to learners about progress toward competence. Use feedback from learners, other stakeholders and self-evaluation to improve delivery.	Plan training programs that are not based on an analysis of training needs or a set of standards. Deliver training using a limited range of delivery methods and learning materials which may not: • take into account student or trainer needs or availability of resources • provide opportunities for skills development through practice • inform students about the purpose of the training or assessment • give students feedback on progress Get feedback from learners but not use it to improve the program or to recommend changes to program developers. Engage in limited self-evaluation but not use it to improve planning or delivery.

Assessor Makes Assessment Decision and Provides Feedback to the Candidate

The credential issuing process is explained to successful candidates. Options for unsuccessful candidates are explored. Options could include:

- re-assessment
- enrolment into flexible pathways

Assessor Completes Paperwork, Record Keeping Requirements and Issues a Qualification

Assessor completes all units of competency as per RTO policy and procedures for assessment record keeping and data updated in our student management system to ensure compliance with AVETMISS data.

3. Credit Transfer

A key pillar of the national VET system is that nationally endorsed qualifications, skill sets and units of competency are recognised and portable across the country—regardless of where they were issued. Students must not be required to repeat any unit or module in which they have already been assessed as competent, unless a regulatory requirement or licence condition (including an industry licensing scheme) requires this. If a student provides suitable evidence they have successfully completed a unit or module at any RTO, your RTO must provide credit for the unit or module.

Before providing credit on the basis of a qualification, statement of attainment or record of results, you should either authenticate the information by directly accessing the USI transcript online (see tips for compliance later in this section) or by contacting the organisation that issued the document to confirm the content is accurate

Pre-Enrolment

Upon completing ABC enrolment form, the candidate is asked about previous qualifications held and asked to supply a statement of attainment or a certificate as proof of evidence.

Candidate and Assessor

Discuss with the candidate findings from the enrolment regarding credit transfers during the candidate's unit selection to be used to generate the students training plan. Discussion about the training plan with student and employer outlining information on training and assessment.

Completed Unit Selection submitted by Assessor

Assessor to submit the candidate's unit selection to ABC administration for data entry into the student management system so that the Training Plan can be generated with units selected and credit transfers that may apply to ensure compliance with AVETMISS data.