Training and assessment strategy

FNS10120 – Certificate I in Basic Financial Literacy

Centenary Heights SHS

Approval School RTO training and assessment strategy			
School RTO name	Centenary Heights SHS	**QCAA number**	270
Qualification code	FNS10120	**National provider number**	30258
RTO Manager		**Principal**	
Name	Dave McMillan	**Name**	Dan Lindenmayer
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Date	24/01/2022	**Date**	8/07/2024

Queensland Government | Queensland Curriculum & Assessment Authority

200060

For all Queensland schools

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About this template

Every qualification on a registered training organisation's (RTO's) scope of registration must have documented training and assessment strategies and practices. This training and assessment strategy (TAS) document is a dynamic document that is updated whenever strategies and practices change. It must be of an auditable standard, containing verifiable information that meets the requirement of the *Standards for Registered Training Organisations (RTOs) 2015*.

Who should use it

The Queensland Curriculum and Assessment Authority (QCAA) has provided this standardised document for use in Queensland school RTOs.

Other people or organisations who want to use QCAA materials must obtain permission, as stated in the QCAA copyright notice available from www.qcaa.qld.edu.au/copyright.html.

Queensland school RTOs may use this document to assist with their quality assurance processes and systematic monitoring of RTO operations as outlined within the *Standards for Registered Training Organisations (RTOs) 2015*. These standards form part of the VET Quality Framework.

How to use it

Customise the information in this TAS to represent the RTO's current policies and practices, involving RTO manager/s (RTOM), the Principal, trainers/assessors and industry representatives.

For all sections, replace sample or grey text with information representative of the RTO's ongoing practices. Follow the notes below to complete the TAS. Detailed guidance is provided in each section.

Section	Notes for completion
1 Program overview	All input fields must be amended to reflect current RTO policies and practices for the delivery of the qualification.
2 Core and elective components	Must always include sufficient units to be awarded a qualification. Optional delivery arrangements for units must be clearly explained in table 2.2.
3 Program assessment details	Must include the complete proposed learning program. This may be amended at any time.
4 Work experience	When work experience is a requirement, it is mandatory to enter a summary of the work experience arrangements.
5 Trainers and assessors	This checklist is a summary of information already held by the RTO supporting trainer and assessor suitability and must always be completed. Assessment-specific requirements must be clearly explained in the subsection.
6 Physical resources and environment	Must be a summary statement identifying access to assessment resources.
7 Industry engagement	All input fields must be populated. Engagement must include a meaningful summary of the industry representatives' comments and/or recommendations.
8 Register of assessment tools	Before validation, list and briefly describe the total population of assessment tools that were used to make judgments of competency for this qualification.
9 Systematic validation	Validation processes, arrangements, criteria and outcomes must be recorded.
10 TAS implementation checklist	Checklist must be used to confirm TAS is ready for implementation.
11 Systematic monitoring	Checklist and notes must be used at intervals determined by the RTO to confirm monitoring outcomes and actions.

Section 1 Program overview

1.1 National requirements

Qualification code	FNS10120		
Qualification title	Certificate I in Basic Financial Literacy		
Relevant Standards	1.1–1.7, 1.8(a), 1.9–1.19, 1.26, 2.2, 5, 8.4		
Training package code	FNS		
Current release date	As per TGA	**Release number**	1
Training package title	*Financial Services Training Package*		
National register	https://training.gov.au/Training/Details/FNS10120		
Companion volume	https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=c7200cc8-0566-4f04-b76f-e89fd6f102fe		
Qualification status	Current	Where a qualification is **no longer current and has not been superseded**, all students' training and assessment must be completed and the relevant AQF certification issued **within a period of two years** from the date the qualification was removed or deleted from the National Register. Where a qualification on the RTO's scope of registration is **superseded**, all students' training and assessment must be completed and the relevant AQF certification issued or students are transferred into its replacement **within a period of one year** from the date the replacement qualification was released on the National Register.	
Superseded, deleted or no longer current date	Choose change of status date		
Latest date for student completion and AQF certification (Complete only if qualification status ≠ current)	Not applicable or choose date		
TAS has been developed through industry engagement	☑ Yes ☐ No (See Section 7)	**Total number of proposed assessment tools for this qualification**	6 (See Section 3)
Delivering and assessing information (Complete this remaining part of Section 1.1 only when the qualification is on scope)			
TAS implementation date (See **Section 10**)	31/05/2023	**TAS monitoring date** (See **Section 11**)	29/01/2024
Developed for: (Select one only)	☐ individual student/s	**Name/s of individual student/s**	
	☑ class cohort	**Current number of students enrolled**	~14
A representative sample of assessment tools has been validated	☐ Yes ☐ No ☑ Pending (See Sections 8 & 9)	**Delivery period for this cohort or individual** **Start** **End**	 22/01/2024 8/11/2024

RTO's Assessment and/or TAS policies and procedures have been followed when implementing this TAS	☑ Yes ☐ No	**RTO has checked other printed and electronic student information/data for compatibility with TAS**	☑ Yes ☐ No

1.2 Qualification

Requirement	Packaging rules	Confirmed by RTOM
Qualification description and job roles	This qualification is designed to facilitate an understanding of the Australian financial services marketplace and personal financial situations to address the need of increased nationwide financial literacy. The qualification provides learners with the basic skills and knowledge to pursue further learning in a variety of sectors in the financial services industry. It has wide application and may be used in workplaces, schools, adult and community learning organisations or registered training organisations to build the financial literacy of learners. It may also be used as part of pre-vocational or new apprenticeship programs, or as part of services provided by counselling or advisory organisations. It does not have an industry employment outcome.	☑ Yes ☐ No
Packaging rules	**Total number of units = 6** **6 core units** **This qualification has no elective units.**	☑ Yes ☐ No

1.3 Delivery and assessment

Requirement	Pre-enrolment information			Confirmed by RTOM
General entry requirements (Adjust as appropriate)	General entry requirements for this program include the student's agreement and ability to undertake the following: • demonstrate evidence of language, literacy and numeracy skills at the requisite ACSF level • attend and participate in scheduled training and assessment • participate in workplace tasks to employer expectations • be able to work in an industry environment and handle industry standard equipment • comply with the RTO code of conduct requirements, directions on work, and health and safety matters.			☑ Yes ☐ No
Commonwealth or state regulations (Add additional enquiries or adjust as appropriate)	Did enquiries have to be made concerning the need to meet a government regulation?	☐ Yes ☑ No	Date of initial contact Example response: 29/10/2020	☐ Yes ☑ No
	Which government department was contacted?	Example response: *WorkSafe Queensland.*		

1.3 Delivery and assessment

Requirement	Pre-enrolment information		Confirmed by RTOM
	What questions did the RTO ask?	Example response: *Some of our students do unpaid minor construction, maintenance and repair work at school as part of their competencies in CPC10120. Do they need a white card?*	
	What answers did the department give?	Example response: *Students working on construction, installation and renovation services or maintaining and repairing buildings and other structures need to complete a general construction induction training course and be issued a white card by an authorised WHSQ RTO. They must keep the card on them whenever they are on site.*	
	What decisions did RTO management make?	Example response: *Principal approves requiring students obtain a white card for enrolment and participation in this qualification.*	
Specific entry and/or completion requirements (Adjust as appropriate)	Specific entry requirements exist ☐ Yes ☑ No Requirements to commence/complete some units within this qualification: • successfully obtain a **Blue Card** (eligibility to work with children and young people) • successfully obtain a **White Card** (general construction induction card • **mandatory work experience** with an organisation or employer (this will include a minimum number of hours, e.g. hospitality service periods, structured volunteer program) • other (include details). **Prior to enrolment the RTO has provided advice in print or electronically to students on participation requirements and application processes.** ☑ Yes ☐ No		☑ Yes ☐ No
Access and reasonable adjustments (Adjust as appropriate)	**The RTO has advised students in print or electronically that reasonable adjustments may be available**. ☑ Yes ☐ No When appropriate, reasonable adjustments will be applied by the RTO to take into account the individual student's needs. Reasonable adjustments may include: • accessible class rooms • note-taking support • course material in alternative formats — electronic, large print • use of laptop for assessments • an Auslan (Australian Sign Language) interpreter • extra time or extensions for assessments or alternative assessment tasks • ergonomic chair/desk		☑ Yes ☐ No

1.3 Delivery and assessment

Requirement	Pre-enrolment information		Confirmed by RTOM
		• use of assistive technology • other adjustments.	
Mode of delivery (Adjust as appropriate)	The mode of delivery includes any combination of the following: • face-to-face in a simulated workplace environment for required performance and knowledge evidence • work experience in commercial work site — third party report • online for some components of training for knowledge evidence • in a classroom ('off the job') for some components of training for knowledge evidence.		☑ Yes ☐ No
Delivery location (Adjust as appropriate)	Multiple delivery locations are used. ☑ Yes ☐ No	Locations of additional campuses where training or assessment services are provided.	☑ Yes ☐ No
	The delivery location is the principal place of business of the RTO.		
	Centenary Heights Main Campus – 60 Ramsay Street Toowoomba. Toowoomba Flexi School – 1 Chalk Drive Toowoomba.		
Program duration	Total program duration for delivery and assessment is: ☑ **6 months** ☑ **1 year** ☐ **2 years** ☐ **3 years** Other: Two delivery options are followed, depending on the needs of the cohort of students. The course is either completed within 6 months or over the course of a year.	This means that after the expiry of the program duration, no further assessment evidence will be accepted and no further training conducted.	☑ Yes ☐ No
Amount of training and volume of learning	The 'amount of training' relates to formal teaching and learning activities. The nominal amount of scheduled training for this program is: ☑ **55 hours** ☐ **110 hours** ☐ **220 hours** ☐ **330 hours** ☐ **440 hours** The 'volume of learning' identifies the notional duration of all activities required for the achievement of the learning outcomes of this program. The total volume of learning for this program is: ☑ **600–1200 hours** (Certificate I and II) ☐ **1200–2400 hours** (Certificate III and IV)		☑ Yes ☐ No
Learning resources	There are sufficient learning resources, equipment and facilities to: • enable students to meet the requirements for each unit of competency • support the number of students undertaking the training and assessment.		☑ Yes ☐ No

1.3 Delivery and assessment

Requirement	Pre-enrolment information	Confirmed by RTOM
Assessment resources (Adjust as appropriate)	• Assessments will be formative and conducted so that skills, knowledge and understanding may be demonstrated in the simulated workplace environment. Assessment of knowledge and skills will be integrated with assessment of their practical application. • Projects/tasks and work evidence will be progressively gathered by the assessor for units of competency until sufficient valid evidence is gathered to make assessment decisions on competency. Evidence of skills and knowledge will be gathered simultaneously.	☑ Yes ☐ No
Fee-paying students from other schools (Adjust as appropriate)	• Students not enrolled with the school but seeking enrolment for this VET program delivered by the RTO may not become fee-paying students. • The fee for this program is: $000.00 • The fee includes: – **The RTO charges fees for students not enrolled with the school.** ☐ Yes ☑ No	☑ Yes ☐ No
Fee-paying students from the school (Adjust as appropriate)	• Students enrolled with the school will not have to pay fees for this VET program. Where this is the case, students have been advised in writing or electronically. • The fee for this program is: $000.00 • The fee includes: – **The RTO charges fees for students enrolled with the school.** ☐ Yes ☑ No	☑ Yes ☐ No
Early termination or withdrawing from the program **Fee refund**	In the event that the RTO loses suitably qualified trainers and assessors and is unable to deliver this program or students withdraw from the VET program: • students will be issued with a Statement of Attainment for any successfully completed units of competency • any fees paid toward the program will be refunded on a pro rata basis or as explained in the RTO refund policy.	☑ Yes ☐ No
	The RTO has provided students with information in print or electronically concerning arrangements in the event of early termination or withdrawal from the program. ☑ Yes ☐ No	☑ Yes ☐ No
Evidence-gathering conditions (Adjust as appropriate)	• Will be progressively gathered for groups of units simultaneously. • Methods will confirm consistency of performance over time and in a range of workplace-relevant contexts, rather than a single assessment event. • Will be by observation of relevant tasks with questioning on underpinning knowledge and, where applicable, training journals and reviews of work products/folios and third party reports. • Will be done under the specific assessment conditions required by the units.	☑ Yes ☐ No

1.3 Delivery and assessment

<table>
<tr><th>Requirement</th><th colspan="3">Pre-enrolment information</th><th>Confirmed by RTOM</th></tr>
<tr><td>Work placement requirements
(Adjust as appropriate)</td><td colspan="3">Work placement or experience.
The RTO may require students to undertake work placement or work experience. When this is the case, a summary of the requirements will be recorded in Section 4 of the TAS. Students have been advised in writing or electronically.

Work placement or experience is required for this program.
☑ Yes ☐ No</td><td>☑ Yes
☐ No</td></tr>
<tr><td rowspan="6">Notifiable third party arrangements
(Adjust as appropriate)</td><td>Services are delivered on behalf of the RTO.</td><td>☐ Yes
☑ No</td><td rowspan="6">• ‘Third party’ means any party that provides services on behalf of the RTO, but does not include a contract of employment between an RTO and its employee.
• Where services are provided on the RTO’s behalf by a third party, the provision of those services must include a written agreement.
• The RTO must disclose to the student the name</td><td rowspan="6">☐ Yes
☑ No</td></tr>
<tr><td>Some services are provided by a third party on behalf of the RTO.</td><td>☐ Yes
☑ No</td></tr>
<tr><td>QCAA has been notified of the third party arrangement.

A written agreement has been provided to QCAA.</td><td>☐ Yes
☐ No

☐ Yes
☐ No</td></tr>
<tr><td colspan="2">Third party name</td></tr>
<tr><td colspan="2">Third party RTO number</td></tr>
<tr><td colspan="2">Third party phone number</td></tr>
</table>

1.3 Delivery and assessment

Requirement	Pre-enrolment information		Confirmed by RTOM
	Summary of services provided in relation to specific units of competency	and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on the RTO's behalf. • When the RTO offers a qualification on its scope to students and in order to achieve the qualification the RTO requires students to undertake training for one or more units with a different RTO, this is considered a third party arrangement. Record the RTO's details and arrangements summary.	
Educational and support services	• Learners in this cohort are school students in Years 10 to 12. The RTO will schedule supervised training and assessment sessions based on the timetable. Students may negotiate support in addition to scheduled hours to develop the required skills and knowledge. • Unmet educational needs of young persons aged 10–17 in the juvenile justice system — school RTOs within youth detention centres may deliver training and assessment to these students even if not in detention. **The RTO delivers services to students in the juvenile justice system.** ☐ Yes ☑ No		☑ Yes ☐ No
Transition	This qualification's status on TGA is current at the time of this strategy's expected start date. If this qualification is superseded with a new version before the end of the expected duration of the program, then: • if practical, students will complete training and assessment and receive any appropriate certificates in the old qualification within 12 months of the release of the new version • if this is not practical, students will transition to the new qualification within 12 months and complete their training and assessment in the new version within the expected duration of the program. Credit will be arranged for units completed and deemed as equivalent.		☑ Yes ☐ No

1.4 Certification

Requirement	Pre-enrolment information	Confirmed by RTOM
Certificates and Statements of Attainment	If a student is assessed as meeting the requirements of the qualification, and all agreed fees the student owes to the RTO have been paid, then within 30 calendar days* of all conditions being met: • an **AQF certificate and record of results** will be issued if the qualification in which the learner is enrolled is complete • a **Statement of Attainment** will be issued if the qualification in which the learner is enrolled is partially complete. * unless there is a written agreement with students and parents that the RTO will issue certification on exit or request.	☑ Yes ☐ No
Unique Student Identifier (USI)	• The school RTO will not issue an AQF certificate, record of results or Statement of Attainment to a student without having a verified USI for that individual. • The consequences of not providing the RTO with a USI have been explained to the student. • Each student's USI will be recorded by the RTO in SLIMS or Student Management and reported to QCAA in the same year that the certification was issued.	☑ Yes ☐ No
	A student may access their training records and results (transcript) using their online USI account. For more information, see usi.gov.au/Students/pages/default.aspx	☑ Yes ☐ No
Credit arrangements	**Transitioning from an old version to a new version of a training product** If the National Register (training.gov.au) deems a superseded unit of competency to be equivalent to its replacement, students may claim credit for a successfully completed superseded unit.	☑ Yes ☐ No
	If a student already holds a unit of competency If a student has a Statement of Attainment for a unit of competency and it has the same code as a unit of competency making up this program, the student may make a claim for a credit transfer.	☑ Yes ☐ No
Recognition of prior learning (RPL) arrangements	Students may request recognition of prior learning (RPL) assessment. Students are advised of the opportunity to apply for RPL and, if requested, will be provided with an RPL document allowing them to provide verifiable details of prior learning. The evidence will be assessed for currency and against requirements of the units of competency, and an amended program strategy will be prepared, taking into account the student's prior learning.	☑ Yes ☐ No
	The RTO has advised students in print or electronically of RPL arrangements. ☑ Yes ☐ No	☑ Yes ☐ No

1.4 Certification

Requirement	Pre-enrolment information		Confirmed by RTOM
Replacement of Certificates and Statements of Attainment	The RTO maintains an auditable-quality register of all AQF qualifications (including Statements of Attainment) issued and authorised to issue. The register contains sufficient information to identify correctly the holder of the qualification, the AQF qualification by its full title, and date of issue/award/ conferral.	The Standards require compliance with the AQF Register and Issuance policies. All RTOs will: • maintain an auditable-quality register of AQF qualifications issued (including Statements of Attainment) containing sufficient information to identify correctly – the holder of the qualification – the AQF qualification by its full title – date of issue/award/conferral • have a policy that permits replacement of certification documentation • be responsible for authentication and verification of any replacement certification documentation. See www.aqf.edu.au/aqf-policies.	☑ Yes ☐ No
	The RTO has a policy that permits the replacement of certification documentation and maintains responsibility for authentication and verification of any replacement certification documentation.		
	The RTO has advised students either in print or electronically about arrangements and fees related to obtaining replacement AQF certification. ☑ Yes ☐ No		☑ Yes ☐ No

1.5 Reporting

Requirement	Pre-enrolment information	Confirmed by RTOM
Recording results (Adjust as appropriate)	• RTO management records student enrolment data in QCAA approved software within the first term of the student's commencement of the VET program. • Evidence-gathering tools are used to make decisions about a student's progress toward competency. • The interim outcome descriptors of 'Satisfactory' or 'Unsatisfactory' will be used on students' projects and evidence documents. • Students may continue to submit evidence until they exit the program or the end of the program's duration period. • Assessor may determine final outcomes for units of competency at any time, but only after sufficient valid evidence has been gathered and assessed and any pre-requisite units have been successfully completed. • RTO management will record final outcomes (usually using the descriptors Competent, Not Competent, Credit Transfer, Superseded or Withdrawn) in Student Management software approved by QCAA. • All final outcomes must be entered into a QCAA approved software program before the end of the last term of the VET program or immediately after a student exits the program.	☑ Yes ☐ No

1.5 Reporting

Requirement	Pre-enrolment information	Confirmed by RTOM
Student profiles (Adjust as appropriate)	• Student profiles are updated by the assessor and are accessible to students on request. • Assessors update the profile to confirm an individual student's submission of evidence and record interim and final outcomes. • RTO management uses final outcomes recorded in student profiles to update Student Management.	☑ Yes ☐ No
Projects and evidence-gathering instruments	• All assessment activities, including projects and evidence-gathering tools, are identified by a code and listed in this document. • A mapping document provides evidence of how assessment activities, projects and evidence-gathering tools meet the requirements for each unit of competency.	☑ Yes ☐ No
Data privacy and reporting	**The RTO has provided students with information in print or electronically concerning privacy, use of personal data and reporting.** ☑ Yes ☐ No • Students are informed that personal information will be collected and reported on their behalf.	☑ Yes ☐ No
Use of personal email addresses	**The RTO has provided students with information in print or electronically concerning use of personal email addresses on assessment materials and evidence.** ☑ Yes ☐ No • Agreed email addresses provide the same acknowledgment as a signature. • The RTO has recorded students and assessors email addresses.	☑ Yes ☐ No
Complaints	**The RTO has advised students either in print or electronically that complaints received by the RTO will be acknowledged in writing and finalised as soon as practicable.** ☑ Yes ☐ No • A complaint may involve the conduct of the RTO's officers, students or third-party service providers of the RTO. • Any RTO officer may receive a complaint verbally, in writing or electronically.	☑ Yes ☐ No
Appeals	**The RTO has advised students either in print or electronically that all appeals received by the RTO will be acknowledged in writing and finalised as soon as practicable.** ☑ Yes ☐ No • There are two types of appeals that can be lodged: – appeal of final assessment decision – appeal of any other RTO decision. • Appeals must be submitted to the RTO in writing using the RTO's appeal form.	☑ Yes ☐ No
Publicly availability (Adjust as required)	The complaints and appeals policy and procedure may be accessed via the publicly accessible school RTO website. For more information, see: https://centheigshs.eq.edu.au/SupportAndResources/FormsAndDocuments/Documents/Career%20Pathways%20Resources/complaints-and-appeals-policy.pdf#search=complaints%20and%20appeals	☑ Yes ☐ No

Section 2 Core and elective components

List the units that are going to be delivered and assessed as part of this strategy. Engage with industry to confirm the relevance of elective units selected, and record this in Section 7.

Relevant Standards: 1.1, 1.2, 1.4, 1.7, 1.8(a), 1.12, 3.5, Schedule 5

Note: A prerequisite unit may be delivered through an integrated approach with the secondary unit — it does not have to be fully completed before starting the secondary unit. However, to satisfy formal requirements, the prerequisite unit must be signed off prior to the secondary unit.

2.1 Core and elective units being offered

Enter the unit code and title Hyperlink to unit on TGA is recommended	**Unit type**	**Pre-requisite unit required?**	**Potential higher risk unit**
FNSFLT211 – Develop and use personal budgets	Core Unit	☐	☐
FNSFLT212 – Develop and use savings plans	Core Unit	☐	☐
FNSFLT213 – Develop knowledge of debt and consumer credit	Core Unit	☐	☐
FNSFLT214 – Develop knowledge of superannuation	Core Unit	☐	☐
FNSFLT215 – Develop knowledge of the Australian financial system and markets	Core Unit	☐	☐
FNSFLT216 – Develop knowledge of taxation	Core Unit	☐	☐

2.2 Optional units and flexibility

Nil

2.3 Higher risk units

Do any units have potentially higher risks?	☐ Yes ☑ No
When units of competency offered to students include potentially higher risks, the RTO has identified these units and conducted a documented risk assessment to mitigate risks, enable the activity to be conducted safely and comply with any state government regulations.	
Has a risk assessment been conducted?	☐ Yes ☑ No
A risk assessment may be conducted by the RTO even for lower risk units.	

The following table includes some potentially higher risk categories. This is not an exhaustive list.

Type of unit	Trainer/assessor might require one or more of the following:	Students might require one or more of the following:
Welding Chemicals Animals Vehicles First aid Chainsaws Coaching Construction Training minors Child care Aged care Quad bikes Retail/Sales Providing advice Edged equipment or tools	• Statement of attainment • Trade certificate • VET AQF certification • Licences • Verifiable evidence of currency • First aid currency • Industry recognised certificate • White card A high risk work licence	• Blue card • White card • Yellow card • First Aid Statement of attainment • Relevant level maturity • Industry-specific training • Work under a licenced supervisor
Specific industry experience Hospitality Civil construction Sport and recreation Agriculture	• Verifiable details in staff profile to support length of time in industry relevant to the skills and knowledge requirements. • Risk assessment evidence from the RTO	• Ability to demonstrate skills in a specific environment/ context.

Section 3 Program assessment details

Relevant Standards: 1.1, 1.2, 1.3(c), 1.8, 2.1, 2.2, 5.2

Use this section to record an outline of the proposed learning program for this qualification. Provide a brief summary of each intended assessment activity, its duration and the units it is fully or partially drawn from, and list the evidence-gathering tools to be used. Detailed mapping does not have to be recorded here. Update this section as you improve or change the program. Engage with industry to confirm the program's relevance and briefly summarise this in Section 7.

Before you start developing assessment tools, consider how learning and assessment are usually integrated, with assessment evidence being collected and feedback provided to the student throughout the learning and assessment process. Holistic training and assessment brings together a number of units of competency — relevant to the industry sector, workplace and job role — into a cluster (group) that reflects actual workplace practices. Any units that relate to a job function can be combined, and assessment tools designed to gather evidence in an efficient and effective assessment process. Industry sees this approach as realistic and essential for both delivery and assessment.

3.1 Developing assessment tools

Use these six steps to develop your assessment tools.

1. Read through the units of competency making up the qualification to understand all their requirements. Make notes on any specific requirements like foundation skills not explicit in the performance criteria, assessment conditions, and performance frequencies and knowledge evidence.
2. Develop and document a series of assessment activities that reflect the performance and knowledge demonstrated by a competent person in this industry. In the document describe the context of the activities and include clear and comprehensive instructions to the trainer, assessor and student. A casual reader of the activity document should easily identify what has to be done, when, where and to what standard.

   Summarise each of these assessment activities in Section 3.4.
3. Develop a set of evidence-gathering tools for each assessment activity. Include instructions to the assessor and student on how they are to be used. All assessment techniques basically fall into the following categories:
   - direct observations of student activity
   - questions — written, online or direct (verbal)
   - reviews of things a student produces (e.g. project work, folios, artefacts, online materials, services).

   In addition, there may be third party written reports.

   List these assessment tools in Section 3.4.
4. Develop a single mapping or benchmarking tool to establish validity for all assessment tools identified in this TAS. It will indicate the relationship between the requirements of the unit/s of competency, the activities and evidence gathered.

   Record the unit/s for which partial or complete evidence will be gathered in Section 3.4.

5. Develop a student profile. Each student must have their own profile that has provision to record outcomes for units of competency. As a minimum the profile must include:
   - student and assessor identification
   - dates or date ranges for completions
   - all units of competency the student is enrolled in, including code and title of qualification
   - a relevant final outcome on exit, e.g. Competent, Not Competent, Credit Transfer, Recognition of Prior Learning (RPL), Withdrawn
   - name of RTO
   - student year level.

   You may optionally include a relevant interim outcome while gathering evidence, e.g. sufficient/insufficient or satisfactory/unsatisfactory.

   The final outcome is used when updating student management records. Outcomes are recorded toward the end of the program when the assessor is satisfied there is enough valid evidence.
6. When this qualification is due for validation, ensure that Section 8 is completed and the assessment tools, including the mapping tool, are available for validators.

3.2 Student work

The assessment tools may not result in the production of tangible student work. This should not concern validators or assessors. Competency-based assessment is substantially reliant on direct observation and questioning evidence being gathered while an assessment task is being undertaken.

The principle of validity includes the requirement that assessment of knowledge and skills is integrated with their practical application. Assessment by practical application results in assessment tools that may produce both tangible and intangible evidence of students' skills and knowledge. Observations and direct questions do not produce tangible evidence, whereas products, artefacts and folios do. Assessment tools producing both types of evidence should be validated.

For both types of evidence, validators must analyse the decision-making rules. The decision-making rules are the lists of observations, acceptable answers and product/artefact/folio specifications used by the assessors to make judgments on evidence that is seen, heard or produced.

3.3 Program details sample

3.4 Program details

3.4 Program details						
Project 1	**Develop and Use Personal Budgets**					
Estimated duration	2-4 weeks	**Outcome type**	☐ Interim ☑ Final	**Assessment tools mapped on separate document**		☑ Yes ☐ No
Assessment activity		**Unit/s for which partial or complete evidence will be gathered**		**Evidence-gathering tools used**		**Tool code**
During this project, students will step into the future to prepare a weekly personal budget reflective of their current. This will include calculation of average wage, tax, rent, car costs and living expenses using the template provided. Students are to ensure that they have a positive cash position and the end of the week facilitating saving taking place. This project becomes the key 'discussion starter' for the remaining projects. Assessors will make observations, ask direct questions and review completion of folio of work. Evidence is recorded in the student profile as 'satisfactory' or 'unsatisfactory' with final unit outcomes being awarded.		• FNSFLT211 – Develop and use personal budgets		Observation checklist	☑	FNSOBS1
				Questions checklist	☑	FNSQUES1
				Review of product/service against specifications	☑	
				Review folio of work against specifications	☑	FNSFOW1
				Third party report	☐	
				Safety induction checklist	☐	

3.4 Program details

Project 2	**Develop and Use Savings Plans**				
Estimated duration	2-4 weeks	**Outcome type**	☐ Interim ☑ Final	**Assessment tools mapped on separate document**	☑ Yes ☐ No

Assessment activity	**Unit/s for which partial or complete evidence will be gathered**	**Evidence-gathering tools used**		**Tool code**
During this project, students will utilise their previously completed budget as a tool to develop a savings plan. This will be developed through the consideration of a set of SMART goals before determining which goals are achievable and in what order. Assessors will make observations, ask direct questions and review completion of folio of work. Evidence is recorded in the student profile as 'satisfactory' or 'unsatisfactory' with final unit outcomes being awarded.	• FNSFLT212 – Develop and use savings plans	Observation checklist	☑	FNSOBS2
		Questions checklist	☑	FNSQUES2
		Review of product/service against specifications	☑	
		Review folio of work against specifications	☑	FNSFOW2
		Third party report	☐	
		Safety induction checklist	☐	

3.4 Program details

Project 3	**Develop Knowledge of Debt and Consumer Credit**					
Estimated duration	2-4 weeks	**Outcome type**	☐ Interim ☑ Final	**Assessment tools mapped on separate document**		☑ Yes ☐ No
Assessment activity		**Unit/s for which partial or complete evidence will be gathered**		**Evidence-gathering tools used**		**Tool code**
After discovering that it is generally not possible to save for everything buy upfront, students will investigate the world of debt through examining options for purchasing items via a credit card and also a used car via a car loan. Students will compare available products to select the best option, examine the impacts on their personal budget along with the implications of failing to make repayments by the due date. Assessors will make observations, ask direct questions and review completion of folio of work. Evidence is recorded in the student profile as 'satisfactory' or 'unsatisfactory', with final unit outcomes being awarded.		• FNSFLT213 – Develop knowledge of debt and consumer debt		Observation checklist	☑	FNSOBS3
				Questions checklist	☑	FNSQUES3
				Review of product/service against specifications	☐	
				Review folio of work against specifications	☑	FNSFOW3
				Third party report	☐	
				Safety induction checklist	☐	

3.4 Program details

Project 4	**Develop knowledge of Superannuation**				
Estimated duration	2-4 weeks	**Outcome type**	☐ Interim ☑ Final	**Assessment tools mapped on separate document**	☑ Yes ☐ No

Assessment activity	**Unit/s for which partial or complete evidence will be gathered**	**Evidence-gathering tools used**		**Tool code**
Following on from the savings plan for a specific item, students will investigate the power of long-term saving through the use of Superannuation calculators to appreciate the purpose and benefits of superannuation. Students will then gain an understanding of key terminology before exploring products available and comparing fund options considering returns, costs and insurance attributes. Assessors will make observations, ask direct questions and review completion of folio of work. Evidence is recorded in the student profile as 'satisfactory' or 'unsatisfactory', with final unit outcomes being awarded.	• FNSFLT214 – Develop knowledge of superannuation	Observation checklist	☑	FNSOBS4
		Questions checklist	☑	FNSQUES4
		Review of product/service against specifications	☐	
		Review folio of work against specifications	☑	FNSFOW4
		Third party report	☐	
		Safety induction checklist	☐	

3.4 Program details

Project 5	**Develop Knowledge of the Australian Financial System and Markets**				
Estimated duration	2-4 weeks	**Outcome type**	☐ Interim ☑ Final	**Assessment tools mapped on separate document**	☑ Yes ☐ No

Assessment activity	**Unit/s for which partial or complete evidence will be gathered**	**Evidence-gathering tools used**		**Tool code**
Students will consolidate their understanding of Australian Financial markets and the role of the RBA, including their ability to modify interest rates to influence economic activity. Assessors will make observations, ask direct questions and review completion of Australian financial system folio of work. Evidence is recorded in the student profile as 'satisfactory' or 'unsatisfactory', with final unit outcomes being awarded.	• FNSFLT215 – Develop knowledge of the Australian financial system and markets	Observation checklist	☑	FNSOBS5
		Questions checklist	☑	FNSQUES5
		Review of product/service against specifications	☐	
		Review folio of work against specifications	☑	FNSFOW5
		Third party report	☐	
		Safety induction checklist	☐	

3.4 Program details

Project 6	**Develop Knowledge of Taxation**				
Estimated duration	2-4 weeks	**Outcome type**	☐ Interim ☑ Final	**Assessment tools mapped on separate document**	☑ Yes ☐ No

Assessment activity	**Unit/s for which partial or complete evidence will be gathered**	**Evidence-gathering tools used**		**Tool code**
After determining the amount of tax required to be paid in Project 1, students will identify investigate taxation is Australia to identify why it is paid, how it is collected while gaining an understanding of key terminology. Assessors will make observations, ask direct questions and review completion of folio of work. Evidence is recorded in the student profile as 'satisfactory' or 'unsatisfactory' with final unit outcomes being awarded.	• FNSFLT216 – Develop knowledge of taxation	Observation checklist	☑	FNSOBS6
		Questions checklist	☑	FNSQUES6
		Review of product/service against specifications	☐	
		Review folio of work against specifications	☑	FNSFOW6
		Third party report	☐	
		Safety induction checklist	☐	
		Questions checklist	☐	
		Review of product/service against specifications	☐	

Section 4 Work experience

Use this section to outline any work experience arrangements. The RTO must disclose to the student before enrolment, in print or electronic copy, whether work experience is a requirement to successfully complete the qualification. Under the legislation, a work experience arrangement must be in writing and 'must be made before the student starts a work experience placement' (*Education (Work Experience) Act 1996*, effective as of November 2014). Engage with industry to confirm the relevance of work experience and record this in Section 7.

Whether work experience is compulsory or not, are the following conditions met:

- Is there a written agreement between the work experience provider and the RTO?
- Will the work experience provider offer realistic workplace experience relevant to this program?
- Has the work experience provider agreed to complete written third party reports for each student?

Relevant Standards: 1.1, 1.5, 1.6(a), 1.8, 2.1, 5.2, 8.5

4.1 Work experience arrangements

On what basis is work experience provided?		**For all employers providing work experience relevant to this qualification:**	
Not provided (go to Section 5)	☑	Written agreements are in place.	☐
VET program/course requirement	☐	Realistic workplace experience	☐
RTO requirement	☐	Third party report included in Section 3.4	☐
Student wants work experience	☐	Student information in Section 1 of TAS is accurate.	☐
Optional	☐	Completed risk assessment	☐
File location of work experience agreements	Enter the pathway for the drive/file location of electronic copy of work experience arrangements.		

4.2 Register of employers with written agreements in place

Enter name and location of each business, company or industry providing work experience	
e.g. Robert Tsu Smallgoods, Brisbane	*e.g. Fast Eats Cafe, Paddington*

Section 5 Trainers and assessors

Summarise the verifiable information from the staff profiles of your trainers and assessors. They must have relevant vocational competency at least to the level being delivered and assessed; relevant, current industry skills; current knowledge and skills in vocational teaching and learning; and hold the required training and assessment qualification. The RTO must hold verifiable evidence that each of its trainers and assessors meet the requirements. Engage with industry to confirm the relevance of their skills, and record this in Section 7.

For any units that are completed with the assistance of a third party, also identify the name of the third party against these units in Section 5.1.

In Section 5.2:

- detail how any supervision arrangements are implemented and systematically monitored
- include details of any specialised trainer and/or assessor qualifications or experience requirements identified by the units of competency
- describe any arrangements made for this RTO's trainers/assessors to work with another RTO or any other third party in order to provide training and assessment services to students.

Relevant Standards: 1.3(a), 1.6(b), 1.13, 1.14, 1.17–1.20, Schedule 1

5.1 Trainers and assessors

The RTO is required to have 'evidence to demonstrate that each trainer and assessor has the necessary TAE training and assessment competencies and the relevant vocational competency and industry currency for each VET unit of competency that they deliver and assess. This is a summary — details must be recorded in the staff profile document of each trainer and assessor.		Individual delivers under supervision and holds skill set	Holds TAE40116 or successor	Trainer/assessor currency held	Relevant vocational competency held for each unit	Relevant industry currency held
Unit of competency code and title	**Trainer/assessor names**					
FNSFLT211 – Develop and use personal budgets	Jordi Hogan	☐	☑	☑	☑	☑
	Mel Lawry	☐	☑	☑	☑	☑
	Eliza O'Brien	☐	☑	☑	☑	☑
FNSFLT212 – Develop and use savings plans	Jordi Hogan	☐	☑	☑	☑	☑
	Mel Lawry	☐	☑	☑	☑	☑
	Eliza O'Brien	☐	☑	☑	☑	☑
FNSFLT213 – Develop knowledge of debt and consumer credit	Jordi Hogan	☐	☑	☑	☑	☑
	Mel Lawry	☐	☑	☑	☑	☑
	Eliza O'Brien	☐	☑	☑	☑	☑
FNSFLT214 – Develop knowledge of superannuation	Jordi Hogan	☐	☑	☑	☑	☑
	Mel Lawry	☐	☑	☑	☑	☑

5.1 Trainers and assessors

The RTO is required to have 'evidence to demonstrate that each trainer and assessor has the necessary TAE training and assessment competencies and the relevant vocational competency and industry currency for each VET unit of competency that they deliver and assess. This is a summary — details must be recorded in the staff profile document of each trainer and assessor.		Individual delivers under supervision and holds skill set	Holds TAE40116 or successor	Trainer/assessor currency held	Relevant vocational competency held for each unit	Relevant industry currency held
Unit of competency code and title	**Trainer/assessor names**					
	Eliza O'Brien	☐	☑	☑	☑	☑
FNSFLT215 – Develop knowledge of the Australian financial system and markets	Jordi Hogan	☐	☑	☑	☑	☑
	Mel Lawry	☐	☑	☑	☑	☑
	Eliza O'Brien	☐	☑	☑	☑	☑
FNSFLT216 – Develop knowledge of taxation	Jordi Hogan	☐	☑	☑	☑	☑
	Mel Lawry	☐	☑	☑	☑	☑
	Eliza O'Brien	☐	☑	☑	☑	☑

5.2 Program-specific trainer and assessor requirements

Supervision	Level of supervision and monitoring arrangements (must be completed if 'Individual delivers under supervision' is selected in Section 5.1)
Only an individual with vocational competency and industry currency and holding one of the Trainer Skill Sets of Schedule 1 Item 4 of the Standards is permitted to deliver training under the supervision of a person who also holds competency, currency and formal trainer qualifications.	For all cases where an individual (with vocational competency and industry currency) is training under supervision, identify which Trainer Skill Set is held; describe the level of supervision and how assessment outcomes are determined. Name the trainer/assessor accountable for monitoring and assessment. This person must also hold competency, currency and formal trainer/assessor qualifications.
Specialisations	Unit of competency specified trainer and/or assessor requirements
List the names of the trainer and assessor and explain how they meet any of the specialised trainer/assessor requirements. Describe any program-specific requirements and detail how the named trainers/assessors meet these. The unit of competency 'assessment requirements' section identifies industry, qualification, experience or other trainer/assessor requirements.	*Example of assessor requirements for:* *MEMPE003A Use oxyacetylene and soldering equipment — Name of trainer and assessor holds MEM05022 Perform advanced welding using oxyacetylene welding process, date issued and RTO code. Details recorded in the trainer and assessor profile.* *SITHIND003 Use hospitality skills effectively — Name of trainer and assessor has worked in industry for xx years, date/date ranges, name of company/business, contact details. Details recorded in the trainer and assessor profile.*
Industry experts and others	Trainer/assessor working with another RTO or third party, or details of the services being provided for delivery or assessment of units by engaging a third party
Summarise this RTO's obligations under the agreement, for example, setting out which party will provide the training and assessment materials, resources and facilities, and who will issue the certificates or statements of attainment.	Describe any arrangements made for this RTO's trainers/assessors to work with another RTO or a third party to provide specific training and assessment services to students.

Section 6 Physical resources and environment

Detail the provision of and access to specific resources to meet the delivery and assessment requirements of the units of competency and training package. Engage with industry to confirm the relevance of resources and record this in Section 7.

Relevant Standards: 1.1, 1.3(c), 1.4, 1.6(a), 1.7, 1.8, 2.1, 2.2

6 Resources	
Does the RTO have the essential operating conditions as specified in the range statements for each unit of competency for this program?	☑ Yes ☐ No
Does the assessment environment and context accurately reflect performance conditions of a real workplace setting?	☑ Yes ☐ No
File location of detailed resource inventory	\\eqdds2121007\Data\Coredata\Curriculum\VET\aaFaculty Folders\Cert I Basic Financial Literacy (FNS10120)
Summary statement identifying assessment resources **Details and explanation** of program-specific resources required by the units of competency or training package to successfully complete the program **Range of conditions** or other specifically named resources or conditions for training and assessment **Learning resources** to enable learners to meet the requirements for each unit of competency **Assessment conditions** resources identified by the units of competency	Assessment will take place within an environment where each student has individual access to a computer, a key tool in today's environment for building, maintaining and executing financial literacy. Supportive learning tools and resources from the real-world organisations such as the ATO, Money Smart, Bank websites etc. will be utilised extensively with the intention of educating students on the benefits of accessing such tools in life after school, which is particularly important for students with lower levels of literacy and numeracy who may not have the skills required to develop tools such as a budget themselves. A suite of PowerPoints covering each unit of competency have been developed to cover all aspects of the course.

Section 7 Industry engagement

Use this section to briefly summarise each industry representative's comments and/or recommendations used in developing this strategy. Check each of the industry relevance statement boxes. Record what the RTO has done/will do to implement the recommendations from industry engagement. Engagement can be through emails, phone conversations, personal visits or online. More than one industry representative should be engaged, and three for qualifications at AQF 3 or higher. Re-engage with industry when major changes have been made to this TAS and record the event.

Relevant Standards: 1.5, 1.6, 1.8, 1.13(b), (c), 1.17(c), 2.1, 4.1(j)

7.1 Industry engagement strategy 1

Industry representative's details			
Business name	DC Advice		
Contact name	Nikki Szprinc	**Position**	Financial Adviser
Relevance of contact to this industry area	Licenced Financial Adviser – provides advice to clients regarding their cashflow, superannuation, insurance, investment and taxation requirements.		
Phone/Mobile	07 4616 9000	**Length of time in industry**	15 years
Email	nikki@dcadvice.net.au	**Date of engagement**	27/03/2023

Check outcome box for each industry relevance statement		**Briefly summarise the industry representative's comments and/or recommendations**	**Actioned by RTO?**
Training and assessment practices are relevant. TAS sections 1, 2 & 4	☑ Yes ☐ No	The suggested timeframe of 6 months is sufficient for the course. As the intention of the course if to build financial literacy skills, work experience is not relevant. This is a great course though – it should be compulsory for all school students.	☑ Yes ☐ No
Projects, tasks and activities are relevant to industry. TAS section 3	☑ Yes ☐ No	The assessment activities are appropriate to assess the knowledge gained within the course and are relevant to the course material. It is suggested that topic of finding lost super is also covered – this is a key issue that I come across which can significantly impact a person's final super balance later in life. Further, guidance on dealing with complaints about your super provider should also be covered – another key issue which I find my clients have very little knowledge of. Also, there is a question relating to non-preserved super benefits. This needs to be clarified further into the two options: - Restricted non-preserved benefits and - Non-restricted non-preserved benefits, as there is a significant difference between the two.	☑ Yes ☐ No

7.1 Industry engagement strategy 1

Trainers and assessors have relevant and current industry skills. TAS section 5	☑ Yes ☐ No	Yes, trainer's degree in Commerce and 15 years' experience as a Business teacher provides the skills well above what is required for this course.	☑ Yes ☐ No
Resources are sufficient and at industry standard. TAS section 6	☑ Yes ☐ No	Again, as the intention of the course is to build financial literacy skills, it does not need to reflect workplace conditions. Delivery is supported with appropriate resourcing – computer and internet access to a range of supportive tools such as MoneySmart, Bank website etc.	☑ Yes ☐ No

RTO implementation of industry recommendations for strategy 1

Summary of actions taken to implement any appropriate recommendations	**Additional resourcing and also assessment questions have been added into Project 4 covering:** **- How to find lost super** **- How to lodge a complaint about your super provider.** **- Restricted vs non-restricted non-preserved benefit funds**		
Name of person approving recommendations	Dave McMillan	**Date recommendations finalised**	24/04/2023

7.2 Industry engagement strategy 2

Industry representative's details

Business name	Counted		
Contact name	Jo-Anne Gehrke	**Position**	Client Services Coordinator
Relevance of contact to this industry area	Enter information supporting industry skills and currency of the contact. What work are they doing relevant to the units of competency identified in this TAS?		
Phone/Mobile	07 4616 9000	**Length of time in industry**	6 years
Email	jo@counted.com.au	**Date of engagement**	30/03/2023

Check outcome box for each industry relevance statement		**Briefly summarise the industry representative's comments and/or recommendations**	**Actioned by RTO?**
Training and assessment practices are relevant. TAS sections 1, 2 & 4	☑ Yes ☐ No	This course is highly relevant to life in the real-world and dealing with the challenges of managing money. As the course has 6 core units, there was no choice with units.	☑ Yes ☐ No
Projects, tasks and activities are relevant to industry. TAS section 3	☑ Yes ☐ No	I like that the resources involve the use of resources which students can continue to access post school. There are so many tools out there. Also, as the rules with tax change so frequently, being able to research and find things is a key skill. It is suggested to place an emphasis on recommending that students seek assistance and advice if they are	☑ Yes ☐ No

7.2 Industry engagement strategy 2

		unsure of things. While these services may have a cost, the benefits of doing so more often than not well exceed these costs. Also, clients are often not aware that they do not need to pay for such services up front e.g. completion of tax returns can be taken out of their tax return, and mortgage broker doesn't charge the individual a fee.	
Trainers and assessors have relevant and current industry skills. TAS section 5	☑ Yes ☐ No	Trainer is suitably qualified. It is worth noting that there are a lot of great financial podcasts available that discuss current financial issues such as interest rate rises etc.	☑ Yes ☐ No
Resources are sufficient and at industry standard. TAS section 6	☑ Yes ☐ No	Yes.	☑ Yes ☐ No

RTO implementation of industry recommendations for strategy 2			
Summary of actions taken to implement any appropriate recommendations	Additional resourcing added covering financial advice recommending to students that if they get stuck or don't understand to seek assistance. The resourcing clarifies that this advice may not attract any up-front fees as the cost is key barrier that holds people back from doing this.		
Name of person approving recommendations	Dave McMillan	**Date recommendations finalised**	24/04/2023

Section 8 Register of assessment tools

This section should be completed prior to the qualification being validated. It is not required when applying to add a qualification to scope. All RTOs must have a five-year validation plan that covers all qualifications on scope. List and briefly describe the total population of assessment tools that contribute to making judgments for this qualification. Validators will use a selection from this list. Check the validated 'Yes' box in Section 8 after a tool has been validated.

The sample size selected for validation must be large enough to enable reasonable judgments to be made on the quality of the assessment tools used to gather evidence of competency for this qualification. Individual assessment tools usually map to multiple units, but the RTO must validate sufficient tools to fully cover a minimum of two units of competency. Record these two units by code and title in Section 9.2. This is an audit requirement.

Validators will need to review the mapping tool and a sample of the assessment project/activity/ task documents, the related evidence-gathering tools and the student profile documents in order to successfully complete validation for this qualification. The review questions are found in Section 9.3.

Validators also analyse the methods — that is, the documented assessment projects/activities/ tasks undertaken by the students — used to obtain evidence. The assessment methods must align with the performance criteria of the units of competency making up the qualification. The evidence gathered while the student was undertaking the activity must meet the Rules of Evidence and the requirements of the units of competency, and must ensure consistent application by assessors.

The qualification's benchmarking or mapping tool should be analysed by validators to determine whether the assessment tool content and decision-making rules are mapped to the performance criteria (and foundation skills when not implicit) and other assessment requirements of the units of competency. Mapping tools can be used to determine whether sufficient assessment was undertaken to enable judgments to be made on student competency. Assessment tools can map to parts or all of a cluster of units or a single unit. It is likely that validation of assessment tools will cover multiple units of competency.

8.1 Register of assessment tools sample

8.1 Register of assessment tools — *a completed example of Section 8.2*			
Type	**Evidence-gathering tool code**	**Concise description of assessment tools**	**Used as validation sample**
Mapping tool/s	*MSFMAP*	*Mapping tool includes all units of competency.*	☐ Yes ☐ No
Student profile	*MSFSPROF*	*Individual student profiles. Profile records interim and final outcomes.*	☐ Yes ☐ No
File locations	*G:\coredata\VET\MSF10113\Assessment*		

8.1 Register of assessment tools — *a completed example of Section 8.2*			
Type	**Evidence-gathering tool code**	**Concise description of assessment tools**	**Used as validation sample**
Project 1 ***8 weeks***	*MSFPRO1*	*Coffee table — joining solid timber assessment activity.* *Project document with detailed instructions for teaching and assessing. Includes a workshop, tool and machine safety induction. Provides student with details on specifications and methodology of constructing a coffee table to industry standards. Mapped to parts of a cluster of units of competency.*	☐ Yes ☐ No
Direct observation checklist	*MSFOBS1*	*Contains 20 observations covering WHS, power and hand tool use, creating solid timber joints, job planning, layout and communication skills. Observations conducted in the workplace.*	☐ Yes ☐ No
Oral or written questions and scenarios	*MSFQUES1* *MSFQANS1*	*Contains 15 WHS questions and 15 joining timber questions that can be answered orally or in writing.* *Contains two WHS scenarios with five questions each. Answers must be by oral commentary using a walkthrough method in the workplace. There are assessor answer sheets for all items.*	☐ Yes ☐ No
Product specification checklist	*MSFPROD1*	*Contains a 15 point finished product checklist based on the job specifications as given in the project document. An image of the student's job is dated, initialled and attached to the checklist.*	☐ Yes ☐ No

8.2 Register of assessment tools

8.2 Register of assessment tools			
Type	**Evidence-gathering tool code**	**Concise description of assessment tools**	**Used as validation sample**
Mapping tool/s		Mapping tools show how assessment activities and evidence-gathering tools meet the requirements of part or all of one or more units of competency. A single comprehensive tool maps all units to all assessment tools. Specify here the type of mapping evidence used for this qualification's assessment tools.	☐ Yes ☐ No
Student profile		Student profiles are used to track progress in submitting assessable evidence. They can record both the submission of sufficient satisfactory evidence and the final outcomes for the unit of competency. Each student must have an individual profile (see TAS Section 1.5). Explain here the type of profile used for students enrolled in this qualification.	☐ Yes ☐ No

8.2 Register of assessment tools

Type	Evidence-gathering tool code	Concise description of assessment tools	Used as validation sample
File locations	Enter the pathway for the drive/folder location of the electronic copies of assessment tools, including the mapping tool and student profiles for this qualification.		
Project 1			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Project 2			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Project 3			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Project 4			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No

8.2 Register of assessment tools

Type	Evidence-gathering tool code	Concise description of assessment tools	Used as validation sample
Project 5			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Project 6			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Project 7			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Project 8			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No

8.2 Register of assessment tools

Type	Evidence-gathering tool code	Concise description of assessment tools	Used as validation sample
Project 9			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Project 10			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Project 11			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Project 12			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No

8.2 Register of assessment tools

Type	Evidence-gathering tool code	Concise description of assessment tools	Used as validation sample
Project 13			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Project 14			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Project 15			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Project 16			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No
Evidence-gathering tool			☐ Yes ☐ No

Section 9 Systematic validation

This section explains how to conduct validation and systematically record auditable-quality information on the outcomes and resulting actions. The table below is a summary of the five validation steps. Validation of a sample of assessment tools is done at least once every five years.

Relevant Standards: 1.8, 1.9, 1.10, 1.11, 2.2(a), (b)

9 Systematic validation sections		
Subsection	**Validation activity**	
9.1 Validation approach	Record evidence that the individuals involved in validation meet the requirements. Retain detailed and verifiable evidence for audit.	
9.1a Approach 1	Single validator	☐ Yes ☐ No
9.1b Approach 2	Validation team	☐ Yes ☐ No
9.2 Instructions for RTOM and validators	Follow these instructions to ensure you approach validation systematically. Assessments tools covering at least two units (most likely more) must be validated.	
9.3 Assessment tool analysis questions	Use analysis questions to check that each assessment tool validated complies with the Principles of Assessment and Rules of Evidence	
9.4 Validation record sample	This table is a sample of a completed Section 9.5 validation record, with explanatory text to assist in recording the validation process.	
9.5 Validation record	Record either a pass or fail for each assessment tool validated and record why an assessment tool passed or failed validation. Record recommendations and comments for each assessment tool validated. Record the persons responsible and action taken for each recommendation.	

9.1 Validation approach			
Validation plan location	Enter the pathway of the RTO's master validation plan		
Date validation began	Click here to enter a date.	**Date validation completed**	Click here to enter a date.
Name of person monitoring implementation of the recommendations	Record the name of the person/s (usually the RTOM) responsible for ensuring implementation of the validation recommendations		

9.1 Validation approach

9.1a Approach 1 — Single validator		
Name and contact details	Name of validator	
	Contact details of validator (email address and mobile number)	
RTOM confirms suitability of the single validator	Validator holds all required skills and qualifications.	☐ Yes ☐ No
RTOM has sighted verifiable evidence supporting the suitability of the validator	Validator was not directly involved in delivery and assessment.	☐ Yes ☐ No
	Validator meets the requirements Item 2 or 5 of Schedule 1 of the Standards (required from 1 July 2019).	☐ Yes ☐ No
	Validator has vocational competency for assessments and units included in validation.	☐ Yes ☐ No
	Validator has current knowledge and skills in vocational learning and teaching.	☐ Yes ☐ No
	Validator has industry currency relevant to the qualification assessment tools being validated.	☐ Yes ☐ No

9.1b Approach 2 — Validation team		
Validators collectively hold all requirements		☐ Yes ☐ No
RTOM confirms the suitability of the validation team	Participants are not directly involved in delivery and assessment, and the evidence has been sighted in support of suitability of validation team.	☐ Yes ☐ No
Lead validator — name and contact details	Name of lead validator	☐ Yes ☐ No
	Email and mobile number of lead validator	
Name and contact details of person meeting requirements of Item 2 or 5 of Schedule 1 of the Standard (required from 1 July 2019)	Name of TAE holder (if lead validator, write ‘as above’)	☐ Yes ☐ No
	Email and mobile number of TAE holder	
Name of person/s with vocational competencies and current industry skills relevant to the assessment being validated	Record the name/s of the person/s whose who have vocational competency for the assessments and units included in the validation.	☐ Yes ☐ No
Name of person/s with current knowledge and skills in vocational teaching and learning	Record the name/s of the person/s who have current knowledge and skills in vocational teaching and learning included in the validation.	☐ Yes ☐ No
Name of person/s with industry currency relevant to the qualification assessment tools being validated	Record the name/s of the person/s who have industry currency for the assessments and units included in the validation.	☐ Yes ☐ No
All other validation team members	Names of other team members	☐ Yes ☐ No

9.2 Instructions for RTOM and validators

The RTOM confirms which assessment tools will be validated, verifies the suitability and credentials of the validators and ensures that validation records are completed. The completed validation records should be archived for audit. Student work may or may not be available for validation (see Section 3.2 Student work). The mapping tool should be used to confirm the minimum validation requirement that assessment tools map to at least two units of competency.

9.2 Validation instructions for RTOM and validators	
#	**Description**
1	Complete Section 9.1 to record the validation approach details and the names of validator/s. Supplementary information, such as validator profiles and the Validation Plan, should be kept.
2	Select from Section 8 of the TAS a sample of assessment tools of sufficient size and type to be representative of all assessments tools used for this qualification.
3	Provide the TAS, selected assessment tools (and relevant student work if available), mapping tool/s and student profiles for the validators. Any assessors directly involved in the use of the tools must not undertake the validation of those assessment tools.
4	The mapping tool/s must confirm that assessment tools selected for validation cover at least two complete units of competency. For audit purposes, record the two units in the table below.
5	Use Section 9.3 as a guide when analysing and evaluating the effectiveness of each type of assessment tool for gathering evidence, making judgments and compliance with the Principles of Assessment and Rules of Evidence.
6	Check ‘Yes’ (pass) or ‘No’ (fail) in Section 9.5 for each assessment tool selected for validation.
7	For every assessment tool, record comments supporting the decision as well as any recommendations for improvement. See Section 9.4 as an example of how to complete Section 9.5.
8	Complete Section 9.5 by recording the person/s involved, action taken and dates recommendations were implemented.
9	Archive the completed validation records for this qualification in preparation for audit.

Recommended requirement:
Validate assessment tools fully covering at least two complete units of competency.

Unit code	Unit title

9.3 Assessment tool analysis questions

9.3 Assessment tool analysis questions

Numbered analysis questions below will help validators to decide whether to check 'Yes' or 'No' in Section 9.5, and to explain any issues identified and frame recommendations for improvement.

Validation requirements	Check assessment tools against the following questions:
Validity in principle and by rule	1. Are the assessment tool decision making rules mapped to the performance criteria (and foundation skills when not implicit) and assessment requirements of the units of competency? [Rules of Evidence] 2. Does the assessment tool gather evidence of skills and knowledge through integration with their practical application? [Principles of Assessment] 3. Does the assessment tool clearly describe and comprehensively explain how the project/activity/task is to be undertaken? [Principles of Assessment] 4. Does the assessment project/activity/task require competent performance across a range of situations? [Principles of Assessment]
Reliability	5. Does the assessment tool provide sufficient instructions to the assessor on how to manage the project/activity/task assessment requirements? 6. Are the decision-making rules used when gathering evidence unambiguous and not open to interpretation? 7. Does the project/activity/task document provide sufficient instruction and guidance to the student? 8. Has a review of student work (where available) indicated consistency of assessment judgment outcomes?
Fairness	9. Does the assessment tool provide clear information for the student on the project/activity/tasks to be undertaken and how evidence will be gathered? 10. Does the assessment tool include advice to the student on how to provide additional evidence to address performance and knowledge gaps? 11. Is there an assessor feedback provision included in the assessment tools? Feedback includes provision to identify for the student performance and knowledge gaps and how to address them. 12. Does the assessment tool provide advice to students on how to appeal decisions through direct feedback to the assessor?
Flexibility	13. Is there provision for reasonable adjustments and is it simply explained in the assessment tools? 14. Have a range of projects/activities/tasks been used and are they identified in the mapping tool and TAS? 15. Is the context of the project/activity/task relevant to the units of competency as identified by mapping to the performance criteria and assessment requirements? 16. Has RPL has been offered to students and any appropriate credit taken into account as stated in the TAS?
Sufficiency	17. Does the mapping tool identify that sufficient assessment tools are being used to gather evidence to enable a judgment to be made on student competency? 18. Is only relevant evidence for assessment being gathered? 19. Has the quality of decision making rules been confirmed by mapping to units' requirements?
Authenticity	20. Is provision made on the assessment tool to identify the student and assessor? 21. Is provision made on the assessment tool to confirm that the evidence is authentically the students?
Currency	22. Are there date ranges on all assessment tools identifying when the projects/activities/tasks were undertaken by the student as well as the date ranges when evidence was gathered by the assessor? 23. Does the date evidence confirm evidence is from the present or very recent past?

9.4 Validation record sample

9.4 Validation record — *a completed example of Section 9.5*

Validated assessment tool 1

Tool code	***CUAPROJ2***

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☑ Mapping	☑ Assessment activity document	☐ Observation	☐ Questioning	☑ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☑ Yes ☐ No	Reliability ☐ Yes ☑ No	Fairness ☑ Yes ☐ No	Flexibility ☑ Yes ☐ No	Validity ☑ Yes ☐ No	Sufficiency ☐ Yes ☑ No	Authenticity ☐ Yes ☑ No	Currency ☐ Yes ☑ No	Has outcomes ☑ Yes ☐ No	Is accurate ☑ Yes ☐ No

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and action taken	Date completed
Some picture/image/graphic evidence has insufficient information to confirm authenticity and currency of student work or relevance to what is being assessed. *Actions required. The picture/image/graphic evidence does not have an assessor checklist of specifications. Assessment is accurately mapped and appears on the student profile as interim outcomes.*	*Include student full name, dates evidence was gathered and assessor name and signature with picture/image/graphic. Develop a checklist indicating how the picture/image/graphic contributes/meets the expected evidence requirements. Map the tool to the requirements of the cluster of units of competency for which it gathers evidence. Ensure all similar types of assessment items are reviewed and updated.*	*Tom Smith, trainer/assessor* *All recommendations implemented and documents updated.* *Documents approved by RTOM and old documents archived.*	*9/10/2018*

Validated assessment tool 2

Tool code	***ICTPJ3QUE***

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☑ Mapping	☐ Assessment activity document	☐ Observation	☑ Questioning	☐ Review of product/folio	☐ Third party report

9.4 Validation record — *a completed example of Section 9.5*

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☑ Yes ☐ No	Reliability ☐ Yes ☑ No	Fairness ☑ Yes ☐ No	Flexibility ☑ Yes ☐ No	Validity ☑ Yes ☐ No	Sufficiency ☑ Yes ☐ No	Authenticity ☑ Yes ☐ No	Currency ☑ Yes ☐ No	Has outcomes ☑ Yes ☐ No	Is accurate ☑ Yes ☐ No

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and action taken	Date completed
Actions required. *The written question assessment tool did not include a sample of acceptable answers/responses.*	*Develop an assessor answer page. Map the tool to the requirements of the cluster of units of competency for which it gathers evidence.* *Ensure all other written question assessment tools have a sample of acceptable answers/responses.*	*Tom Smith, trainer/assessor* *ICTPJ3QUE includes benchmark answers and is correctly mapped. Not yet applied to other project tools.*	*Choose date.* *Still pending*

Validated assessment tool 3

Tool code	***BSBPOJ1OBS***

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☐ Mapping	☑ Assessment activity document	☑ Observation	☑ Questioning	☐ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☑ Yes ☐ No	Reliability ☑ Yes ☐ No	Fairness ☑ Yes ☐ No	Flexibility ☑ Yes ☐ No	Validity ☑ Yes ☐ No	Sufficiency ☑ Yes ☐ No	Authenticity ☑ Yes ☐ No	Currency ☑ Yes ☐ No	Has outcomes ☑ Yes ☐ No	Is accurate ☑ Yes ☐ No

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed
Good example of direct observation tool and questioning. Reflects applied knowledge that enables competent performance as standardised by the relevant units of competency.	*Direct observations of tasks conducted in a simulated workplace environment. Mapping aligns decision making rules to required performance in relevant tasks, roles, and skills.*	*N/A* *No actions required.*	*N/A*

9.4 Validation record — *a completed example of Section 9.5*

Validated assessment tool 4												
Tool code	***MSFPJ2-FOL***											
Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.				☐ Mapping	☑ Assessment activity document	☑ Observation	☐ Questioning	☑ Review of product/folio	☐ Third party report			
Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool			
Validity ☑ Yes ☐ No	Reliability ☑ Yes ☐ No	Fairness ☑ Yes ☐ No	Flexibility ☑ Yes ☐ No	Validity ☑ Yes ☐ No	Sufficiency ☑ Yes ☐ No	Authenticity ☑ Yes ☐ No	Currency ☑ Yes ☐ No	Has outcomes ☑ Yes ☐ No	Is accurate ☑ Yes ☐ No			
Comments supporting decision				Reasons for validation decision; recommendations				Person/s implementing and actions taken			Date completed	
Good example of folio checklist. Clear decision-making rules for observations and product specifications.				*Student folio evidence aligned to portfolio checklist specifications and observations. Checklist decision making rules are accurately mapped to a cluster of units' evidence requirements.*				*N/A* *No actions required.*			*N/A*	
Validated assessment tool 5												
Tool code	***CPCQUEPJ2***											
Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.				☐ Mapping	☑ Assessment activity document	☐ Observation	☑ Questioning	☑ Review of product/folio	☐ Third party report			
Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool			
Validity ☑ Yes ☐ No	Reliability ☑ Yes ☐ No	Fairness ☑ Yes ☐ No	Flexibility ☑ Yes ☐ No	Validity ☑ Yes ☐ No	Sufficiency ☑ Yes ☐ No	Authenticity ☑ Yes ☐ No	Currency ☑ Yes ☐ No	Has outcomes ☑ Yes ☐ No	Is accurate ☑ Yes ☐ No			

9.4 Validation record — *a completed example of Section 9.5*

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed
Good example of direct question tool use being integrated with practical application.	*Direct questioning and range of acceptable answers mapped to a cluster of units' performance and evidence requirements. Evidence of knowledge is gathered using a 'walk through' method and is integrated with practical application.*	*N/A* *No actions required.*	*N/A*

9.5 Validation record

9.5 Validation record										
Validated assessment tool 1										
Tool code										
Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.				☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report	
Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool	
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No	
Comments supporting decision				Reasons for validation decision; recommendations			Person/s implementing and actions taken		Date completed	
Validated assessment tool 2										
Tool code										
Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.				☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report	
Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool	
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No	

9.5 Validation record

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 3

Tool code	

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 4

Tool code	

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

9.5 Validation record

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 5

Tool code	

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 6

Tool code	

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

9.5 Validation record

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 7

Tool code							
Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.				☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report
Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 8

Tool code							
Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.				☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report
Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

9.5 Validation record

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 9

Tool code	

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 10

Tool code	

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

9.5 Validation record

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 11

Tool code	

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 12

Tool code	

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

9.5 Validation record

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 13

Tool code	

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 14

Tool code	

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

9.5 Validation record

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 15

Tool code	

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Validated assessment tool 16

Tool code	

Assessment tool Check a box for each evidence-gathering method included in this tool. The tool being validated may cover one or more methods. In each case the mapping tool must be reviewed.	☐ Mapping	☐ Assessment activity document	☐ Observation	☐ Questioning	☐ Review of product/folio	☐ Third party report

Principles of Assessment				**Rules of Evidence**				Student profile	Mapping tool
Validity ☐ Yes ☐ No	Reliability ☐ Yes ☐ No	Fairness ☐ Yes ☐ No	Flexibility ☐ Yes ☐ No	Validity ☐ Yes ☐ No	Sufficiency ☐ Yes ☐ No	Authenticity ☐ Yes ☐ No	Currency ☐ Yes ☐ No	Has outcomes ☐ Yes ☐ No	Is accurate ☐ Yes ☐ No

9.5 Validation record

Comments supporting decision	Reasons for validation decision; recommendations	Person/s implementing and actions taken	Date completed

Section 10 TAS implementation checklist

#	Description	Trainer/ Assessor	Confirmed by RTOM	Principal
10.1	**Management delegation** The Principal has approved this TAS for implementation and monitoring by the RTOM.			☑ Yes ☐ No
10.2	**Student information** Before students are enrolled in this program, the RTOM arranges for advice regarding the appropriateness of the qualification for the student.		☑ Yes ☐ No	
10.3	**Student pre-enrolment information (general)** The RTOM has arranged information to be provided to prospective students about the training, assessment and support services to be provided, and about students' rights and obligations, including any fees charged or additional requirements, as required by the Standards.		☑ Yes ☐ No	
10.4	**Student pre-enrolment information (work experience)** The RTOM confirms that any work experience requirements are recorded in this TAS and advice is given to students before enrolment in the program.		☑ Yes ☐ No	
10.5	**Units of competency (Section 2)** The RTOM has checked that the units being offered meet packaging rules and any higher risk units have been considered.	☑ Yes ☐ No	☑ Yes ☐ No	
10.6	**Assessment tools (Section 3)** Prior to assessment being conducted, assessment tools are approved by the delegated officer.	☑ Yes ☐ No	☑ Yes ☐ No	
10.7	**Staff AQF qualification evidence (Section 5)** The Principal and RTOM sighted originals or verified copies of any qualifications relevant to confirming trainers' and assessors' vocational competency in all units being delivered in this TAS.		☑ Yes ☐ No	☑ Yes ☐ No
10.8	**Trainer and assessor TAE qualifications (Section 5)** The Principal and RTOM sighted originals or verified copies of the TAE40116 or its successor.		☑ Yes ☐ No	☑ Yes ☐ No
10.9	**Trainer and assessor vocational (industry) competency (Section 5)** The Principal and RTOM confirm that verifiable evidence of vocational competency has been provided by trainers and assessors, and mapped to each individual unit of competency included in this TAS.		☑ Yes ☐ No	☑ Yes ☐ No
10.10	**Trainer and assessor industry currency evidence (Section 5)** The RTOM ensure trainers and assessors have verifiable evidence of vocational currency of skills and knowledge relevant to industry sector and units of competency delivered in this TAS.	☑ Yes ☐ No	☑ Yes ☐ No	
10.11	**Trainer and assessor VET professional development evidence (Section 5)** The RTOM ensures trainers and assessors have undertaken professional development to maintain their skills, knowledge and expertise in vocational learning and competency-based training and assessment.	☑ Yes ☐ No	☑ Yes ☐ No	

#	Description	Trainer/ Assessor	Confirmed by RTOM	Principal
10.12	**Individuals training under supervision (Section 5)** The RTOM ensures that when unit/s are delivered by an individual under supervision, there is verifiable evidence that the individual: • holds a Trainer Skill Set, relevant vocational competency and industry currency • does not determine assessment outcomes • has in place documented supervision, monitoring and accountability arrangements to the level required.		☑ Yes ☐ No	☑ Yes ☐ No
10.13	**Systematic implementation of outcomes from industry engagement (Section 7)** • Verifiable records of industry engagement and how the outcomes from the engagement will be implemented are summarised and used in developing this strategy. • More than one industry representative engaged, and three for qualifications at AQF 3 or higher.	☑ Yes ☐ No	☑ Yes ☐ No	
10.14	**Systematic validation (Section 9)** The RTOM has a five-year validation plan that includes all qualifications on their scope of registration. This qualification is included in the current five-year validation plan.		☑ Yes ☐ No	
10.15	**Systematic monitoring (Section 11)** The RTOM uses quality indicators and outcomes data, feedback from students and trainers and assessors, industry engagement and validation outcomes to systematically monitor the training and assessment strategies and practices for this qualification.		☑ Yes ☐ No	
10.16	**Reporting student results** The RTOM ensures that students have timely access to current and accurate records of their participation and progress in the program.		☑ Yes ☐ No	
10.17	**Disclosure** The RTOM ensures RTO staff and students are fully informed of legislative and regulatory requirements that affect their duties for participation in this program.		☑ Yes ☐ No	
10.18	**General implementation** The Principal and RTOM have completed the approval advice on page 1 of this TAS, authorising the delivery of training and assessment.		☑ Yes ☐ No	☑ Yes ☐ No

Section 11 Systematic monitoring

Evidence of systematic monitoring of training and assessment strategies and practices to ensure ongoing compliance with the Standards is an auditable and essential requirement.

The RTOM will record the dates when monitoring activities occur and update the outcomes to indicate compliance or rectifications pending. Up to four monitoring dates can be recorded. The most current date represents the most recent monitoring activity compliance record.

Relevant Standards: 1.20, 2.1, 2.2, 2.4

11.1 Systematic compliance monitoring activities

Name of persons conducting successive monitoring activities	Dates of successive monitoring activities
Dave McMillan	26/04/2023
Dave McMillan	6/11/2023
Dave McMillan	29/01/2024
	Choose date.

11.2 Systematic compliance monitoring checklist

Monitoring checklist is updated after successive monitoring activities by the person conducting the monitoring.		Compliant outcome?		
		Yes	No	Pending
TAS information (Sections 1 to 11)	All sections of TAS are complete and represent current strategies and practices.	☑	☐	☐
Information to students (Sections 1 to 4)	Pre-enrolment information provided to students is accurately aligned to information in this TAS.	☑	☐	☐
Third party arrangements	When services are provided by a third party, a written agreement is in place.	☐	☐	☐
	Third party arrangements are up to date and reported to QCAA.	☐	☐	☐
	Third party activities are being regularly monitored.	☐	☐	☐
	Third party services provided comply with the current agreement and the Standards for Registered Training Organisations (RTOs) 2015.	☐	☐	☐
Reporting (Sections 1.4 and 1.5)	USI verified for each enrolled student.	☑	☐	☐
	Student management unit enrolments and outcomes checked.	☑	☐	☐

11.2 Systematic compliance monitoring checklist

Monitoring checklist is updated after successive monitoring activities by the person conducting the monitoring.		Compliant outcome?		
		Yes	No	Pending
Currency of units (Section 2)	All units are showing as current on TGA.	☑	☐	☐
	All units offered are on scope of registration.	☑	☐	☐
	All listed units meet packaging rules.	☑	☐	☐
	Optional units, flexibility and fairness considerations are clearly explained.	☐	☐	☐
Program details (Section 3)	Range of assessment activities outlined, with estimated duration, relationship to units, and at least two evidence-gathering techniques specified.	☑	☐	☐
	Assessment tools recorded in Section 3 accurately reflect current tools being used by all assessors.	☑	☐	☐
Work experience (Section 4)	Work experience information is accurate and has been provided to students.	☐	☐	☐
Trainers/assessors (Section 5)	Trainer/assessor profiles electronically filed.	☑	☐	☐
	Supporting, verifiable evidence authenticated by the Principal and RTOM is recorded and on file.	☑	☐	☐
	Supervision arrangements are documented and monitored.	☐	☐	☐
	Supervision monitoring activity is recorded.	☐	☐	☐
Resources (Section 6)	Sufficient relevant resources available for the number of students enrolled.	☑	☐	☐
	Unit-specific resources are listed.	☑	☐	☐
Industry engagement (Section 7)	Industry engagement took place during developing and after any major change	☑	☐	☐
	Details of at least two industry representatives verified, three if qualification is AQF 3 or higher.	☑	☐	☐
	When appropriate, industry recommendations implemented.	☑	☐	☐
Assessment tools (Section 8)	Before commencing validation, all assessment tools used to deliver this qualification have been listed. This list will be used to identify assessment tools for validation focus.	☐	☐	☑

11.2 Systematic compliance monitoring checklist

Monitoring checklist is updated after successive monitoring activities by the person conducting the monitoring.		Compliant outcome?		
		Yes	No	Pending
Systematic validation (Section 9)	Only one validation approach has been used.	☐	☐	☑
	Validator/s details complete and verified.	☐	☐	☑
	Validator/s recommendations implemented.	☐	☐	☑
	Validated assessment, mapping tools and TAS records archived.	☐	☐	☑
	Validation judgments not made by persons directly involved in delivery or assessment.	☐	☐	☑
	Validation completed.	☐	☐	☑
	After completion, the TAS containing all validator details, validation outcomes, actions and dates has been archived.	☐	☐	☑
Student feedback	RTO management has reviewed student feedback about the program.	☑	☐	☐
Trainer/assessor feedback	RTO management has reviewed trainer/assessor feedback about the program.	☑	☐	☐

11.3 RTOM monitoring notes

After each monitoring activity, the RTOM provides notes supporting ongoing improvements or modifications	The development of the program details is now complete and aligns with the requirements for each unit of competency. 2 x Industry engagements have been completed	26/04/2023
	With the first round of delivery now complete, some modifications made to program overview to align with actual delivery.	6/11/2023
	Updates to trainer and assessors' section to align with 2024 delivery.	29/01/2024
		Choose date.