



**Australian  
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**Skills for Inclusive Growth**



Recognition of Prior Learning (RPL)  
**Assessor's Course and Toolkit**

# **CONDUCTING RPL ASSESSMENT**



## **Implementation Guide**



# Skills for Inclusive Growth

## Contact Person

Farheen Khurrum - Contract Representative  
Scope Global  
Level 5, 12 Pirie Street, Adelaide, SA, 5000, Australia  
Tel: +61 8 7082 1431  
Farheen.Khurrum@scopeglobal.com

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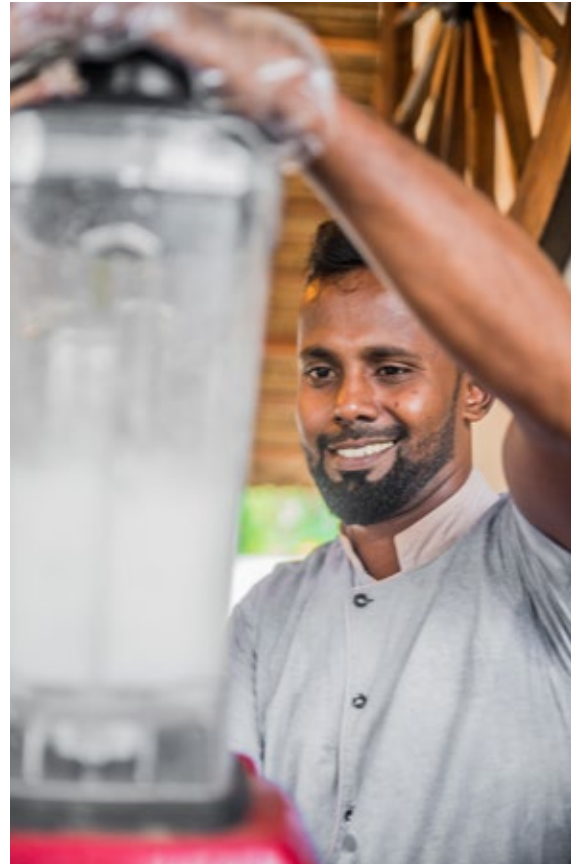
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# Introduction and Background

## Introduction

Research done between 2016 - 2018 showed major skills shortages across the hospitality and tourism workforce. This is particularly evident in rural and remote communities throughout Sri Lanka. Opportunities for the workforce to improve skills are not readily accessible in Sri Lanka which constrains industry productivity, quality and efficient service delivery and product quality. This is a major contributor towards hospitality and tourism sector growth, which constrains gainful employment and income levels. Tourism remains untapped in terms of its potential to raise living standards in Sri Lanka.

The tourism and hospitality sector has a high level of people working in the informal sector - i.e. without formal qualifications. 80% of the industry is micro and small business. Many businesses are not registered as tourism businesses (SLTDA) and are considered informal – but many of these are still registered business entities. However, significant numbers of people have skills in hospitality and tourism that they have acquired through workplace experience, industry short courses and self study, which are not recognised currently in the regulated vocational education system.



The RPL process provides an opportunity to recognise those skilled people, which can enhance the skilled worker base in the sector and create opportunities for the workforce to upskill to higher skills levels. The workforce seeking formal and recognised qualifications creates demand. These are the people that want to progress in the industry or take the skills overseas.

The RPL system currently has limited availability for use in the hospitality and tourism sector. As such, the sector needs qualified industry experienced people to become RPL assessors to support the implementation of RPL across the sector. This applies to other sectors, and the RPL model will support the supply of RPL in those sectors in time.

A course was designed to meet these needs by developing a system and a pool of assessors. The RPL system needs to be consistent and the assessors need to be (re)trained, to differentiate it from the current system. New roles within the system will require the recruitment of facilitators who will in turn support the implementation of a transparent and reliable quality assured RPL system.

## About The Training Course

This course is designed for experienced members of industry who wish to become skilled RPL assessors. It also aims to support existing assessors in upgrading their knowledge on the RPL policy, the procedures, and requirements for conducting an RPL assessment. The RPL assessors course is prepared as a modular training with a training toolkit. Experienced trainers can utilise the course materials and resources to deliver this assessor training.

## About S4IG

Skills for Inclusive Growth (S4IG) is an initiative of the Australian Government in collaboration with the State Ministry of Skills Development, Vocational Education, Research & Innovations. The S4IG Program delivers skills training to improve the lives of women, men and persons with disabilities in the tourism and hospitality industry in Ampara, Batticaloa, Polonnaruwa and Trincomalee to strengthen the performance of enterprises, improve their quality of services, generate employment and increase incomes.





## Background

Skills for Inclusive Growth (S4IG) has been working with public and private tertiary providers to increase the quality of existing training methods and develop comprehensive and targeted programmes, drawing on international and local partners to build industry capacity and generate innovative employment opportunities. These opportunities support engagement with the visitor economy to generate higher incomes. One of the main challenges is growing the skill base and retaining employees within the industry.

There are a number of further challenges in providing the workers with opportunities for formal qualifications that lead to career growth, such as:

- That many workers across the tourism value chain have no formal qualifications
- That the existing workforce is unable to access TVET courses as these are often not available outside working hours.
- That TVET courses are not modular, and are needed for allowing the workforce to accumulate the skills they need to pursue careers in the tourism and hospitality sector.
- New industry relevant training courses are becoming available and existing workers want to be able to pursue these programs to advance their career and income earning prospects.
- There are actually no assessment materials in many tourism qualifications making assessment discretionary and not standardised or transparent.

S4IG recognises the challenge with delivering reliable Recognition of Prior Learning (RPL) assessment in Sri Lanka. Their remit to support skills training, job creation and business growth across the tourism sector sets the frame for S4IG to support the delivery of RPL for the sector. The implementation of the RPL Assessors course enables skilled personnel to access higher level skills development in the tourism and hospitality sector in Sri Lanka.



## Introduction to this Implementation Guide

This document is designed for use by RPL assessors and RPL facilitators. It is a guide to inform them about the revised RPL model for the tourism and hospitality sector in Sri Lanka. It may also be used by other RPL professionals, trainers and those interested in the operation of the RPL system in Sri Lanka.

This guide introduces the RPL system, including the principles and core features. It then details the steps in the RPL process, with clear and easy to understand instructions. Within this Implementation Guide readers will find helpful examples of case studies as well as templates that they can adapt and use in their own RPL activities. It is designed as a practical resource that assessors and facilitators can refer back to repeatedly.

This Implementation Guide is accompanied by an RPL Handbook and RPL Policy

The Implementation Guide contains 5 numbered sections and an appendix, as described below.

- Section 1** provides an introduction to the RPL toolkit, describing its components and the national RPL initiative to which the suite of resources relates, and the revised elements contained in this revised RPL model for tourism and hospitality.
- Section 2** provides information on good practice RPL for the tourism and hospitality profession. It includes the core principles of RPL, modes of assessment and evidence.
- Section 3** provides a convenient road map of the steps in the RPL process. Assessors, facilitators and other RPL professionals can use this section to quickly locate information on the requirements of each step. This section also includes information on RPL stakeholders and the roles of RPL assessors and facilitators.





**Section 4** can be used as a step-by-step guide to prepare for, or conduct RPL processes with a candidate. Once these processes become more familiar, it is expected that this guide will be needed less frequently as a direct reference.

The RPL process is outlined in 7 steps:

- Step 1: Initial contact
- Step 2: Counseling and facilitation
- Step 3: Evidence gathering
- Step 4: Evidence review
- Step 5: Assessment decision
- Step 6: Feedback
- Step 7: Certification

For each of the steps listed above, there are resources to support the RPL facilitator and assessor. These are found in the appendix.

**Section 5** outlines how the RPL process functions as part of the National Vocational Qualification Framework in Sri Lanka and the role of National Competency Standards in both RPL and formal qualifications.

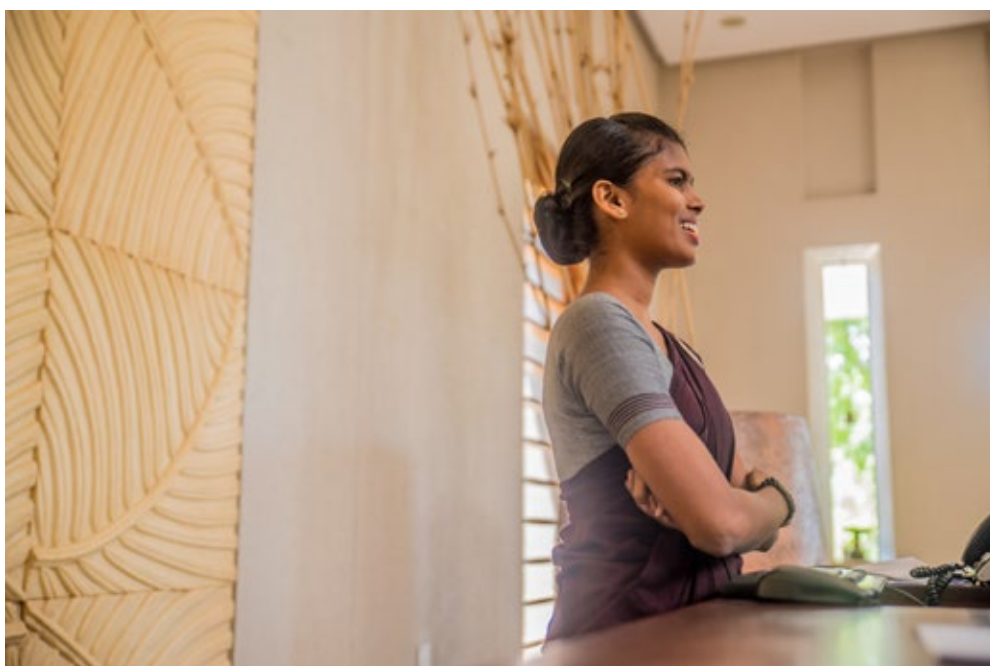
The **Appendix** to the Implementation Guide provides a toolkit of templates that will be useful during the RPL process. There is information on how to use these followed by printable versions of the documents.



# Abbreviations

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CBT	Competency Based Training
CV	Curriculum Vitae
DG	Director General
DTET	Department of Technical Education and Training
GCE O/L	General Certificate of Education (Ordinary Level)
MOU	Memorandum of Understanding
NAITA	National Apprenticeship and Industrial Training Authority
NCS	National Competency Standards
NVQ	National Vocational Qualification
NVQF	National Vocational Qualifications Framework
RoA	Record of Achievement
RPL	Recognition of Prior Learning
SSDP	Sector Skills Development Programme
TVE	Technical and Vocational Education
TVEC	Tertiary and Vocational Education Commission
TVET	Technical and Vocational Education and Training
UNIVOTEC	University of Vocational Technology
VTA	Vocational Training Authority



# Definitions

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<b>Applicant</b>	is an individual who is interested in the RPL process and makes an application.
<b>Assessment</b>	is the process by which evidence of a candidate's work is collected and judged to decide whether an individual meets the predefined criteria for obtaining formal recognition. This could be credits, exemption of academic prerequisites, a part or full qualification or any other award. In an RPL assessment, the competence or non-competence of the candidate is judged against the specified National Competency Standards.
<b>Assessor</b>	is a person registered by the relevant body (TVEC) in accordance with established criteria to conduct assessments for registered occupational qualifications and part qualifications.
<b>Candidate</b>	is an applicant who has been accepted to undergo RPL assessment.
<b>Credit</b>	is the value given within a learning programme for achieved learning.
<b>Competencies</b>	refer to the knowledge, skill and understanding learned and mastered in a specific context.
<b>Experiential learning</b>	is the process of learning through experience, and is more specifically defined as 'learning through reflection on doing'.
<b>Facilitator</b>	is an RPL professional who supports applicants / candidates and acts as the main point of contact for them throughout the RPL process.
<b>Formal learning</b>	occurs in an organised and structured context in an educational setting, such as a school, university or workplace. Formal learning is systematic, with precise learning outcomes. It follows a given syllabus designed to achieve the desired competencies. It usually leads to the awarding of a qualification or part qualification. Formal learning is intentional.
<b>Formative Assessment</b>	is an on-going (continuous) assessment. They are the pieces of evidence a candidate collects over a period of time.
<b>Informal learning</b>	is at the opposite end of the learning continuum to formal learning. It is not organised according to a structured program or a curriculum. Informal learning results from everyday activities related to the workplace, family life, leisure or in the community. It usually occurs without the individual's awareness or deliberate intention. It is sometimes called 'experiential learning' or simply 'experience'.

<b>Learning</b>	is the acquisition of knowledge, skills, values and attitudes in a particular occupation or trade.
<b>Learning outcomes</b>	are statements of what a learner is expected to know and/or be able to do. This is irrespective of the context of learning.
<b>National Competency Standards (NCS)</b>	specify the knowledge, skills and attitudes needed to perform at a particular level in a particular occupation.
<b>Non formal learning</b>	takes place in activities not exclusively designated as learning activities but which contain important learning outcomes. Non formal learning can be located anywhere in the spectrum between formal and informal learning. It usually refers to short courses of education and training that are intentional but not fully formalised.
<b>Portfolio</b>	is a collection of designs, documents or other papers that represent a person's work.
<b>Prior learning</b>	refers to competences (knowledge, skills, attitudes) that are acquired prior to an assessment and/or recognition process through work, earlier study or experience. Prior learning typically comes from non formal and informal learning (but in some cases could be an uncompleted period of formal learning).
<b>Qualification</b>	(also referred to as certification), is the final outcome of a successful assessment process. This could be a full qualification, credits or exemptions. It is the official recognition of learning. A qualification confers official recognition by the authority that awards it.
<b>Recognition of prior learning (RPL)</b>	is the principles and process through which the prior knowledge and/or skills of an individual are given a value. It is a means to formally identify, assess and validate existing learning for the purpose of certification, alternative admission and future learning and development. In some quarters RPL is referred to (perhaps more accurately) as RLO - Recognition of Learning Outcomes.
<b>RPL practitioner</b>	is a person that functions in one or more aspects of RPL provision. This includes: policy development, advice, portfolio course design and facilitation, assessment and moderation, administration, monitoring and evaluation, research and development.
<b>Record of Achievement (RoA)</b>	is a certificate awarded for successful completion of a unit of competency. It is provided to the candidate in cases where they are competent in one (or more) units, but not the full NCS.
<b>Summative assessment</b>	refers to an assessment conducted collectively at the end of a unit or set of units

<b>Training providers</b>	are bodies that deliver learning programmes which culminate in specified registered qualifications and part qualifications.
<b>Unit of competency</b>	is the specification of knowledge and skill, and the application of that knowledge and skill, to the standard of performance expected in the workplace. A unit of competency is the smallest unit that can be assessed and recognised.





# Section 01



Introduction to RPL

# Introduction to RPL

## What is RPL?

Recognition of Prior Learning (RPL) is a competency-based assessment system used to identify, assess and certify the skills, knowledge and competencies of an individual, regardless of how, when or where the learning occurred.

Individuals acquire skills through formal, non-formal and informal modes of learning. Through RPL, individuals with existing skills can obtain qualifications or credits without needing to undertake additional formal education or study programmes.

Assessment is based on assessing and certifying the individual's learning outcomes against prescribed competency standards that are also used in formal education. In Sri Lanka, those standards are called National Competency Standards. Based on the outcome of the assessment, the candidate is awarded a Record of Achievement (RoA), part or full qualification.

RPL is not a process to develop human capital, rather it acts as a tool to reveal the hidden competencies. The smooth functioning of a Sri Lankan RPL system for the Tourism and Hospitality sector will directly help to increase the skilled workforce and indirectly positively contribute to increase the Gross National Production (GDP) of the country.



## What's new in this revised model?

The revised RPL model outlined in this document includes several core developments:

- Separation of the RPL process into three phases: advice, assessment and feedback.
- Creation of the role of RPL facilitator, to provide support and guidance to applicants and candidates, and to act as their main point of contact throughout their RPL journey.
- Development of the counselling and facilitation stage, which involves personalised competency discussions and support given to each candidate.
- Enhancement of the feedback process throughout the RPL process, and especially at the assessment decision stage.

RPL is a feature of developed vocational education and training systems globally. It is available and widely used in the UK, Australia, South Africa, Malaysia, Singapore, the Philippines, across Europe and in the United States and North and South America. With the appropriate quality assurance processes in place, RPL is shown internationally to be a reliable mechanism for assessing competence.

Providing an international quality toolkit for RPL assessment in tourism and hospitality in Sri Lanka provides opportunities to:

- Increase the number of skilled RPL assessors
- Increase the number of skilled staff in the industry
- Raise the profile of staff through provision of formal qualifications and enable access to higher level skills development
- Boost the industry through increased amounts of highly trained and motivated staff
- Enable staff to advance their careers and earning potential through qualifications



### Remember:

- RPL does not require candidates to undertake a formal learning program.
- RPL is learning focused. The learning is important, the mode of learning is not.
- RPL assesses competencies against clear industry standards.
- RPL assesses learning, not time spent in a particular environment (years of experience).





# Section 02



**Core Principles of RPL**

# Core Principles of RPL

The core principles of Recognition of Prior Learning should always apply. RPL is:

Principle	Description
Flexible	Individuals who come to the RPL process will have a diverse range of backgrounds, experience, abilities and come from different occupations and industries. The RPL system must be flexible to accommodate and adapt to their wide range of needs, goals and experiences of the major stakeholders.
Accessible	RPL is an inclusive and accessible process. It applies to learners of all ages and levels of experience, including vulnerable and disadvantaged groups. RPL should be a gateway to learning, not a barrier to entry. Applicants and candidates should be supported and encouraged in the process.
Reliable	The RPL system ensures that candidates' learning outcomes and assessment procedures comply with all regulatory requirements to award credit or a qualification. An assessment process is reliable when there is consistency in results between assessors. That is, when two or more assessors give the same result based upon the same evidence.
Fair and inclusive	RPL applies to learners of all ages and levels of experience, including vulnerable or disadvantaged groups. It should be equitable and sensitive to the social context of applicants, and take into consideration personal factors of the candidate, such as informal learning backgrounds, historical disadvantages and barriers to education.
Transparent	Candidates shall be aware of how they shall be assessed, when and by whom, what the national competency standards are and what they will be assessed against.
Valid	Assessment methods for RPL must be of equal rigour as other assessment methods such as formal education. They must be fit for purpose and relate to the evidence of learning.
Quality assured	Procedures, documentation, record keeping and system verification should be detailed and available for scrutiny.
Learner focussed	RPL must promote and recognise the positive aspects of an individual's learning, rather than their deficiencies. RPL is a learner centric system and the needs of the applicant / candidate should be paramount.

# Methods of Assessment

To ensure the parity of qualification (between formal and RPL), the same National Competency Standards (NCS) should be applied for non-formal and informal assessments as for formal learning assessments. However, different assessment methods can be used for RPL assessments.

Within RPL, there are two overarching assessment methodologies: verification and portfolio

Verification method	Portfolio method
<p>Is used to verify the value of a candidate's prior learning to which credit can be awarded. This is especially useful to the assessor when they need to assess specific skills and/or knowledge on a subject.</p> <p>Example assessment tools:</p> <ul style="list-style-type: none"> <li>■ Practical demonstration</li> <li>■ Practical demonstrations in simulated work conditions</li> <li>■ Observation</li> <li>■ Interview / oral examination</li> <li>■ Written questions</li> <li>■ Observation checklists</li> <li>■ Oral presentations</li> <li>■ Problem solving</li> </ul>	<p>Includes evidence of the candidate's achievements, the analysis of learning from their experiences (i.e self-analysis), and other evidence the candidate links to competencies.</p> <p>Example assessment tools:</p> <ul style="list-style-type: none"> <li>■ Portfolios of evidence</li> <li>■ Third party statements</li> <li>■ Work projects</li> <li>■ Log books</li> <li>■ Journals</li> <li>■ Critical incident reports</li> <li>■ Videos / visuals / slides / audio tapes</li> </ul>



When selecting an assessment method, the RPL professional should take into account:

- The nature of the unit
- The strengths of participants
- The number of participants in the class
- Time required to complete assessments
- Time dedicated to assessment
- Equipment and resources required

Type of learning	Common mode of assessment
Knowledge	Oral examination
Performance of skills	Direct observation of the performance of skills. This should take place in the workplace (preferred) or an assessment center. For some skills, e.g. emergency response, simulations can be used.
Behavioural competence and attitude	Direct observation, inference from observation, formal examination or a combination of.

## Flexibility

As a core principle, RPL is learner focussed and candidates should be supported throughout the process. The assessment system shall be flexible enough to consider aspects like the candidate's language, literacy, numeracy and, where relevant, socio-economic background, religion, ethnicity, and gender. This may involve making reasonable adjustments to assessment techniques for individual candidates as long as the national competency standards are not compromised. For example, instead of a major project, the assignment tool could be several small assignments, or an oral examination rather than a written one.





## Practical Arrangements

Assessment arrangements shall take into account logistics and the limitations of industry where necessary, such as:

- Availability of assessors
- Workplace policies and procedures
- The need for specialist tools, equipment and materials
- Time constraints
- The inability for some candidates to gather direct workplace evidence of competence
- Candidates from geographically isolated locations

Assessments materials shall be produced for each relevant unit of the national competency standards. Success will be decided based on competency in all the units clustering the package of the qualification in case of level 1 – 4, and the required number of credits for level 5 and 6.



### Remember:

RPL assessors do not assess the individual candidate. They use their professional judgement to assess the candidate's evidence.

The RPL assessor(s) / assessment panel may be able to verify successful achievement of all outcomes from the relevant assessment and subsequent interview with the applicant. In the event that specific components of the required outcomes cannot be verified from the evidence presented by the applicant, these outcomes must be tested through oral, written and/or practical examination. If an applicant is assessed as inadequate due to not achieving the required competencies, the applicant must gain further experience and/or attend training courses. (Source: Recognition of Prior Learning (RPL): Learning Package; International Labour Office (2018))





# Evidence

The candidate will provide evidence that they believe supports their claim for competence against the given set of standards. The RPL assessor must use their judgement regarding the selection of appropriate assessment approach, the appropriate assessment methods and the appropriate assessment criteria.

There are different types of evidence for RPL purposes, including direct, indirect and historical evidence. All evidence of learning must meet the rules of evidence and be: valid, authentic, sufficient, current and reliable.

Rule	Description
Valid	The evidence addresses the elements and performance criteria. It reflects the skills, knowledge and context described in the qualification specification.
Authentic	The evidence being submitted is in its original format, can be verified as genuine and can be confirmed as the work of the learner.
Sufficient	The assessor must see sufficient evidence to cover all aspects of the unit(s) or qualification being claimed. The evidence must demonstrate competence over a period of time and that it is able to be repeated.
Current	The evidence must demonstrate the current skills and knowledge of the candidate and must comply with current best practice guidance.
Reliable	Evidence must be from a reliable source and in a reliable format, such as on organisation headed paper or certification. Translated documents should be translated by an official translator to ensure authenticity.

## Evidence portfolio

It is recommended, but not essential, that evidence be organised into a portfolio format. A portfolio is an organised collection of materials providing evidence of the competencies acquired through experience. While evidence portfolio's are new to RPL in Sri Lanka, they are widely applied internationally.

In the evidence portfolio, the candidate should gather the information about their skill, knowledge and performance mentioned in the unit(s) of competency. The candidate should complete a Portfolio Cover Sheet. The assessor should use a Portfolio Evaluation Form when reviewing the portfolio evidence. Templates of both documents are available in the appendix.

# Section 03



**RPL Process**

# RPL Process

The RPL process is broken down into three phases: advice, assessment, feedback. Within these phases, there are 7 stages.

Phase	Stage	Description
Phase One: Advice	1	<b>Initial contact.</b> Applicant contacts RPL provider to receive information.
	2	<b>Counselling and facilitation.</b> RPL facilitator guides the candidate and maps their experience against the units of competency. The evidence requirements are identified.
	3	<b>Evidence gathering.</b> The assessor gathers evidence and submits it with the RPL application.
Phase Two: Assessment	4	<b>Evidence review.</b> RPL assessor reviews evidence against specific competency standards.
	5	<b>Assessment decision.</b> RPL assessor makes the assessment decision.
Phase Three: Feedback	6	<b>Feedback.</b> Assessor provides feedback to the candidate.
	7	<b>Certification.</b> The appropriate certificate is issued

This Implementation Guide goes through the RPL process in detail, outlining the purpose of each phase, and the actions and tools that apply within each stage.



## Remember:

One of the core principles of the RPL system is flexibility. The process should be able to accommodate the needs and requirements of a candidate, such as needing to obtain additional evidence.

Phase 1

Phase 2

Phase 3

**STAGE ONE: ADVICE**

Potential candidates seek further information on RPL. RPL facilitator talks to them about their competencies, guides them on the RPL process. Application begins.

**STAGE TWO: COUNSELLING AND FACILITATION**

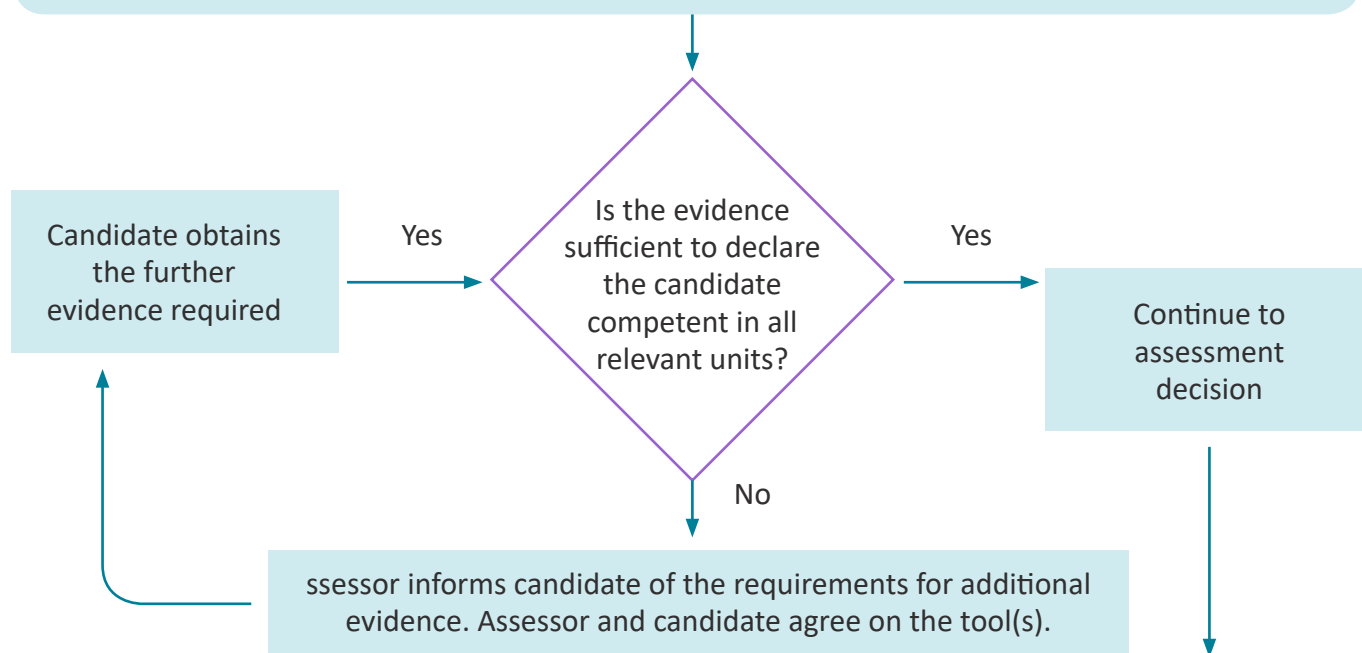
Applicant receives personalised advice and counselling from the RPL facilitator. Facilitator prepares the Assessment Plan, advises on the nature of prior learning and answers questions.

**STAGE THREE: EVIDENCE GATHERING**

Candidate gathers evidence and submits it with the full RPL application.

**STAGE FOUR: EVIDENCE REVIEW**

Assessor reviews the Assessment Plan and evidence submitted by the candidate. Assessor commences assessment of the candidate's submission.

**STAGE FIVE: ASSESSMENT DECISION**

Assessor makes final decision on the assessment. Completes Assessment Decision Report and Assessment Decision Summary.

**STAGE SIX: FEEDBACK**

Assessor informs candidate of their RPL progress, including detailed feedback.

**STAGE SEVEN: CERTIFICATION**

The appropriate certification / qualification is issued.

# RPL Stakeholders

his RPL model includes the role of an RPL facilitator as well as the RPL assessor.

The facilitator is crucial for supporting the candidate through the process from informing them of what to expect, to supporting them in gathering evidence, and assisting with gap training needs.

The below table details the main responsibilities of each stakeholder.

Stakeholder	Role
Applicant / candidate	To gather and collate relevant evidence
RPL facilitator	<p>To inform the applicant of the RPL process. To engage and support potential applicants</p> <p>To answer frequently asked questions from applicants/candidates about RPL</p> <p>To work with applicants to appraise the extent and depth of learning outcomes</p> <p>To support the applicant in gathering the required evidence and completing the application form.</p> <p>To submit completed application and evidence to the training provider</p> <p>To support candidate preparation for assessment</p> <p>To provide assessors with required information</p> <p>To guide candidates after the assessment decision</p>
RPL assessor	<p>To seek, review and check evidence of a candidate's learning and to judge whether it meets specific competency standards.</p> <p>To facilitate additional evidence collection (if needed)</p> <p>To plan and arrange suitable assessment tools</p> <p>To map candidate evidence against units of competency</p> <p>To judge the candidate's evidence against the unit of competency assessment criteria</p> <p>To inform candidates of the assessment decision and provide feedback</p>



Stakeholder	Role
NAITA / VTA / DTET (and other RPL providers)	<ul style="list-style-type: none"> <li>To assign assessors</li> <li>To inform TVEC of outcomes of assessments</li> <li>To retain RPL documentation for quality assurance purposes</li> <li>To support candidates with additional training / qualifications</li> </ul>
TVEC	<ul style="list-style-type: none"> <li>To issue the NVQ qualification to successful candidates</li> <li>To issue Record of Achievement</li> <li>To store the records of the PPL process</li> <li>To deliver assessor training courses and appoint assessors</li> <li>To ensure consistency of RPL assessment procedures</li> </ul>
Employer	<ul style="list-style-type: none"> <li>To initiate or respond to an employee's need for recognition</li> <li>To provide evidence of relevant candidate workplace experience</li> <li>To assess candidate performance in the workplace</li> </ul>



# Role of RPL Assessors

RPL assessors play an important role in ensuring the impartiality, credibility and transparency of the RPL system.

## Main Duties:

1. To seek, review and check the evidence of a candidate's learning, and to objectively assess whether it meets the respective learning outcomes and assessment criteria.
2. To provide constructive feedback that is understandable to candidates.

To fulfil these duties, the assessor must be knowledgeable on the RPL process and documents, fully comprehend the standards and relevant assessment methodologies in order to reference evidence against those standards, and be able to communicate clearly.

RPL assessors may also be involved in:

- Providing information
- Developing and/or applying assessment methods and tools
- Facilitating and providing counselling during the RPL process
- Assessing and certifying qualifications, quality assurance
- Conducting audits
- Appeals and reassessments



## Competencies Required from RPL Assessors

Assessors should have both professional and methodological competencies. Professional competencies allow the assessor to identify whether candidates have acquired the learnings demanded by the units to the required extent. Methodological competencies allow the assessors to choose the most suitable assessment methods and to provide constructive feedback.

The competencies required by RPL assessors include:

1. Understanding of the principles and process of RPL. Familiarity with the regulations.
2. Familiarity with the components of a competency-based assessment system and the professional standards.
3. Knowledge of and familiarity with the principles of RPL assessment.
4. Knowledge of the field of assessment the assessor will work in.
5. Ability to communicate and express themselves clearly.
6. Ability to document accurately and methodologically.
7. Awareness of risks associated with RPL process and assessment methodologies. Ability to take steps to mitigate such risks.
8. Ability to remain impartial and independent at all times.

RPL assessors should keep themselves up to date with developments in the field of work and in procedural aspects of the RPL process. This is important to maintain the quality of their assessment, as well as to enable them to assess whether the competencies the candidate claims to have learned in their field of work, are possible in the situations and ways described by the candidate.



# Role of RPL Facilitators

Provision of advice is one of the three key activities in the RPL process. The role of an RPL facilitator is to support applicants and act as a main point of contact for them throughout the RPL process. Facilitators help applicants identify and provide proof of their knowledge and skills, and understand how this fits into the study program or professional standard.

RPL facilitators are mostly active in Phase One of the RPL process. They may also assist candidates who require gap training by directing them towards the relevant resources / training providers at any point in the process.



## Main Duties:

- To provide information to individuals interested in the RPL process.
- To match applicants' skills to the right level of qualification.
- Supporting applicants in filling in their application, starting with mapping the required activities and ending with submitting accurate and complete documentation.
- The exchange of information between assessors and applicants, including informing applicants of the need to submit additional documentation (if required).
- Advising applicants of any gaps; introducing them to the relevant training department where appropriate.
- Submitting completed applications and supporting evidence to NAITA / RPL provider and the assessor(s) assigned.

## Competencies Required from an RPL Facilitator

The competencies required from an RPL facilitator are varied and multi-skilled. They include:

- Knowledge and understanding of the RPL process, National Competency Standards and NVQ qualifications available.
- Counselling skills
- Ability to liaise with multiple people from diverse backgrounds. Preferably bi- or multi-lingual
- Ability to extract and pass on information in an accurate and timely manner
- Ability to communicate and express themselves clearly.
- Ability to document accurately and methodologically.



# Section 04



**Phase One: Advice**



## Phase One: Advice

In the advice phase, applicants begin their RPL journey, receive personalised advice on their evidence and competencies relating to the qualification requirement, and are supported through the application and evidence submission process. The applicant is also informed about the RPL provider's appeals process should that be required.

A central part of the advice phase is the counselling and facilitation that takes place between the applicant and the RPL facilitator. During this phase, the facilitator has a detailed competency conversation with the applicant to find out about their skills, knowledge and competencies. The facilitator begins to match these against the learning outcomes and units of competency required by the qualification. The facilitator identifies the appropriate RPL assessment package for the applicant, and prepares the Assessment Plan, which guides the candidate on the type and amount of evidence required, the most appropriate assessment methods and tools, as well as alternative methods which may emanate as a result of discussions with the applicant. The facilitator also actively manages the applicant's expectations.

This is very important as the counselling and facilitation decides the applicant's suitability to continue in the RPL process, and the most appropriate route they can take to achieve their desired goal. During this phase, applicants may be directed towards skills gap training or further training programmes to improve their skills, knowledge and competencies.



This counseling and facilitation is new to the current RPL system in Sri Lanka. The role of facilitator is also new. It is expected that as a result of introducing the facilitator role, success rates will increase, candidate satisfaction rates with the RPL process will increase and dropout rates decrease. However, for this to be achieved the counselling and facilitation must be handled carefully and professionally, with expert advice and sensitivity.

Phase One includes the following:

Action	Responsible stakeholder
Provide information on RPL to the applicant	Facilitator
Complete the application form	Candidate, support from facilitator
Counsel and advise the candidate on the RPL process, competency requirements and evidence gathering process	Facilitator
Create the Assessment Plan	Facilitator
Collect evidence of competencies	Candidate
Advise the applicant if their evidence is sufficient to apply	Facilitator
Recommend gap training (if appropriate)	Facilitator
Prepare evidence and submit along with RPL application	Candidate
Support the candidate in applying and submitting evidence	Facilitator



## Stage 1: Initial Contact

An individual learns about Recognition of Prior Learning (e.g. from the internet, promotional materials). The individual (hereafter called ‘applicant’) contacts an authorised RPL provider to seek further information.

### Initial conversation

The applicant speaks with an RPL facilitator who discusses their basic information, such as:

- The qualification they are interested in
- Work history
- Skill level
- Competencies.

During this discussion, the facilitator guides the applicant to the most suitable qualification, explains the competencies required and the RPL process. This conversation may take place over the phone, or in person. During Phase One (Stage 1, 2, 3), the facilitator is the applicant’s main point of contact.

All this information is recorded by the facilitator in a Record of Initial Interview document.

### Candidate self-assessment

The applicant examines the competency requirements or learning outcomes of the professional standard and analyses if their existing knowledge and skills are suitable for recognition. If they are, the applicant contacts the RPL facilitator again to continue the process.

### Application

The applicant begins their RPL application. This may be done online, or the candidate may visit the district office of the RPL provider in person where they can submit their application with the support of the RPL facilitator. One of the core principles of RPL is accessibility and arrangements should be made so that candidates interested in RPL are not put off by barriers to entry, such as computer literacy or language.

At this stage, the application collects basic personal information about the candidate, their desired RPL qualification, work history and experience.

Note, the candidate is not required to submit their evidence until after they go through Stage 2 where they receive personalised advice.

#### **Relevant documents:**

Record of Initial Interview - see appendix 1

## Example Case Study

### Stage 1: Initial Contact: Ms Sumaiya Siddique:



- Sumaiya is from Ampara. She is working as an assistant to an experienced and qualified tour guide who specialises in taking small groups of tourists into the mountain ranges in Sri Lanka.
- Sumaiya loves trekking and camping outdoors in the mountains and wants to become a qualified guide, who is qualified to take tourists on trekking trips/holidays in the mountains.
- She wants to apply for qualification as an assistant trekking / hiking guide.

Below is an example of the record of the initial interview Sumaiya has with her RPL facilitator.

#### Record of initial interview

<b>Candidate name:</b> Sumaya Siddique <b>Reference number:</b> 0000010 <b>Contact number:</b> 0771234567x`	<b>Qualification applied for:</b> H55S016Q1L3: Assistant Trekking/Hiking Guide <b>Unit(s) of competency:</b> U01 + U02
<b>Description of candidate's tasks at work, skills, experience and competencies:</b>	
<ul style="list-style-type: none"> <li>■ Worked each major tourist season for the past 3 years</li> <li>■ Some experience of trekking and camping in difficult weather conditions</li> <li>■ Assists in managing the tour group and coordinates the trekking trips</li> <li>■ Usually has 2-6 people on a trek</li> <li>■ Some experience in briefing trekkers</li> <li>■ Arranges accommodation and transport for the tours</li> <li>■ Knows necessary trekking equipment and how to handle it</li> <li>■ Does not have a qualification in first aid but is interested in obtaining one.</li> <li>■ Has completed some health and safety training</li> </ul>	

Units of competency		
<b>Unit code(s):</b> U01 - Prepare for the trek/hike	<b>Evidence available:</b> Log book of hikes over the last 3 years, which includes details on where, when, weather conditions and number of trekkers. Permission slips from relevant authorities for 8 recent hikes. Route maps and notes detailing shelters, emergency access routes and equipment taken for 8 recent hikes.	<b>Additional evidence required:</b> Candidate to obtain a third party report from the tour guide she works for detailing her responsibilities. Suggest oral questions on identifying suitable food and logistic requirements. Candidate to provide action plan documentation per the SOPs.
<b>Unit Code(s):</b> U02 - Carry out briefing and review	<b>Evidence available:</b> Video recording of candidate briefing trekkers on a recent hike. Feedback cards completed by hikers that specifically mention Sumaiya's skills.  Powerpoint slides prepared by candidate for use in briefings.	<b>Additional evidence required:</b> Suggest direct observation / simulation of candidate briefing for a hike, and obtaining feedback afterwards.  Optional - attend first aid training
Facilitator signature:		Date:
Candidate signature:		Date:





## Stage 2: Counselling and Facilitation

### Competency conversation

The applicant contacts the RPL facilitator for a detailed competency conversation. The facilitator finds out information about the applicant's skills, knowledge, competencies and begins to match these against the specific units of competency. This is an in-depth conversation and should take place in person where possible.

The facilitator provides the applicant with personalised advice and counselling based on their unique skills and the nature of the qualification of interest.

The facilitator:

- Consults with the candidate on the appropriate qualification to apply for.
- Provides advice on the nature of prior learning and the RPL process.
- Identifies the appropriate RPL assessment package for the candidate.
- Explains the competencies the candidate will be required to demonstrate and the relevant National Competency Standards (NCS)
- Identifies competencies and matches them against units of competency.
- Liaises with assessors to check the suitability of the candidate's evidence. Handles the exchange of information between assessors and the applicant.
- Supports the applicant with completing the administrative side of the application process.
- Prepares the personalised Assessment Plan for the applicant to follow.
- Informs the candidate of the Assessment Plan and explains its use.
- Supports the candidate while they gather evidence and submit their application and portfolio (if applicable).

### Assessment Plan

The purpose of the Assessment Plan is to map the candidates' evidence against the relevant units of competency and prepare the candidate for the evidence gathering and assessment stages. During this process the facilitator liaises with assessors for advice and expertise, but remains the applicant's main point of contact. In the Assessment Plan each unit of competency is listed along with the relevant evidence the candidate says they can provide. Where the facilitator believes the evidence is insufficient, they record the additional evidence that will be required and likely assessment tools.

The Assessment Plan acts as a guide for the candidate on the evidence they need to gather. It also guides the assessor when reviewing the evidence submitted.

If the applicant does not have sufficient competency in one or more units, the facilitator will direct them towards gap training. The facilitator makes this decision after consulting with assessors for advice. When the applicant has completed the training they should be encouraged to contact the facilitator again to resume their RPL journey.



## Remember:

The Assessment Plan is a guide for the types of evidence the candidate is expected to provide. It is the job of the candidate to provide the evidence (Stage 3), and the job of the assessor to review and say whether the evidence is sufficient (Stage 4).

### Relevant documents:

Record of Initial Interview  
Assessment Plan - see appendix 2

## Stage 3: Evidence Gathering

It is the responsibility of the applicant (hereafter 'candidate') to obtain the required evidence for their RPL application. They are supported in this process by the facilitator and the Assessment Plan.

### Relevant documents:

Assessment Plan

## Evidence Submission

When the candidate decides that they have gathered a sufficient amount of evidence, as required by their Assessment Plan and in consultation with the facilitator, the candidate submits their application. This includes:

- Completing the rest of the RPL application (online, or with support from the facilitator in person)
- Providing all evidence gathered. Ideally this should be in a portfolio format, but this is not mandatory, and should not be a barrier to a candidate moving forward in the RPL process.

Once submitted, the application form and evidence are stored in the RPL provider's system.

### Relevant documents:

Assessment Plan  
RPL Application Form  
Portfolio Cover Sheet (if applicable) - see appendix 8

## Phase Two: Assessment

The assessment phase includes review of evidence, gathering of additional evidence (including the use of verification assessment tools), and the assessment decision.

The assessor reviews the candidate's Assessment Plan and submitted evidence. The assessor informs the candidate about the requirements, discusses the forms and types of evidence used and reaches agreements with the candidate on the assessment tools that will be used to gather and/or verify the evidence. They inform the candidate about the standard and level of performance expected and the support structures in place. At this point, where appropriate, the candidate and the assessor may agree to use alternative forms of assessment.

The assessor may select from a variety of assessment tools for verification assessment, including direct observation and simulation. All assessments should be conducted in an environment that is comfortable and enabling for the candidate. Ideally assessments should be conducted in the workplace, training centres may also be used where required.

The assessment decision is made by the assessor(s) after reviewing all of the evidence against the pre-agreed criteria.

Phase Two includes the following:

Action	Responsible stakeholder
Assign assessor(s)	Automated system
Provide assessor with RPL application, Assessment Plan and evidence portfolio	Facilitator
Review evidence and map to units of competency.	Assessor
Discuss evidence and competencies with the candidate. Inform them of requirements for additional evidence (if applicable)	Assessor
Provide additional evidence of competency (if required)	Candidate
Make arrangements for verification assessment (if required)	Assessor
Final assessment decision. Complete Assessment Decision Record and Summary	Assessor

## Stage 4: Evidence Review

An RPL assessor is assigned by the system and provided with the candidate's application and evidence portfolio. The assessor should be registered, suitably qualified in the sector/occupation and able to maintain independent and impartial judgement on the candidate.

After the assessor receives the candidate's evidence, the assessor conducts an evidence review, to consider whether the evidence provided:

- Conforms with the Assessment Plan
- Meets the rules of evidence: sufficient, current, authentic, reliable and valid

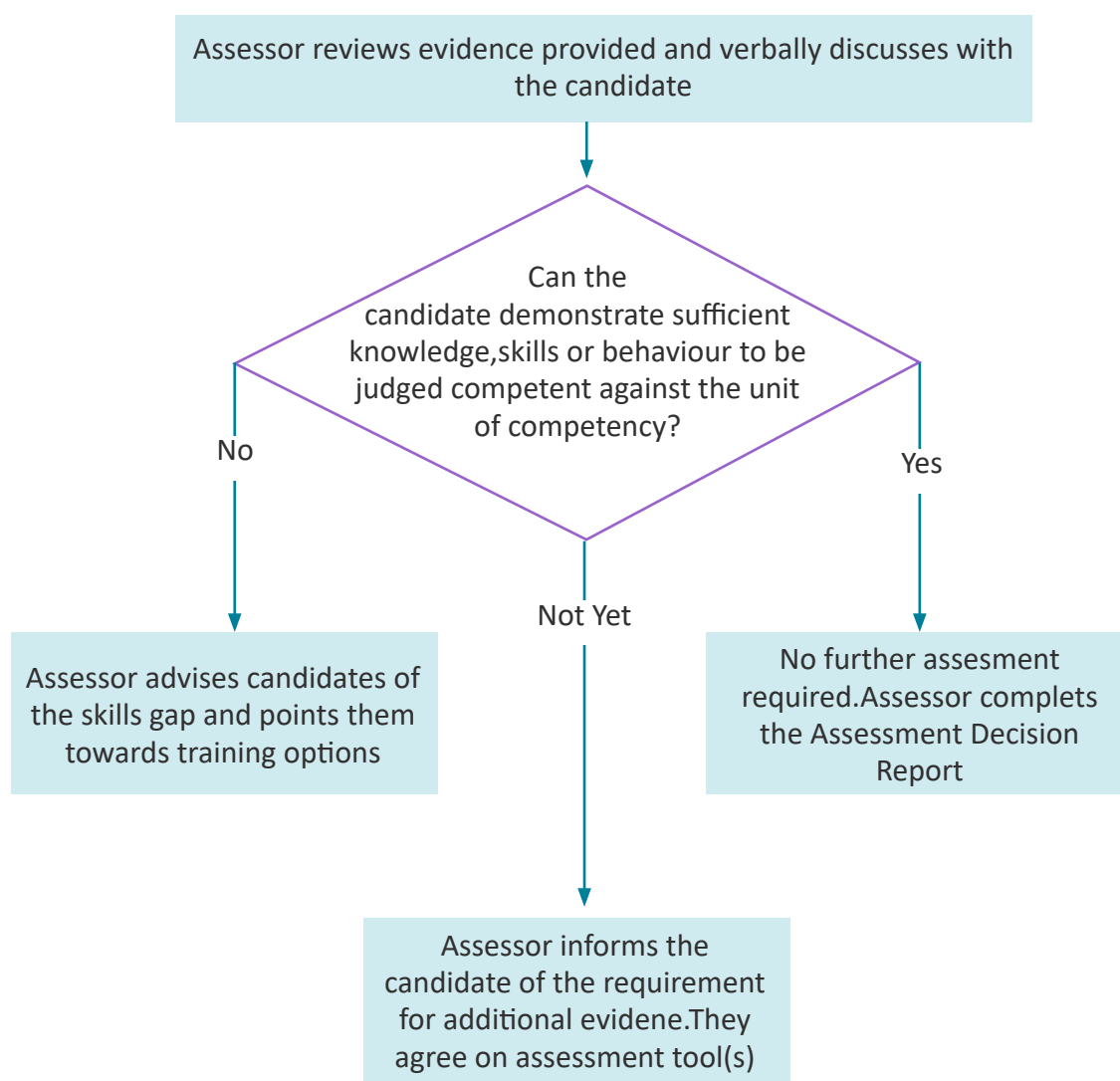
### Communication with candidate

The assessor contacts the candidate to discuss their experience and evidence. This may take the form of a telephone call where the assessor questions the candidate on specific criteria from the unit of competencies or an in-person meeting.

The assessor maps the evidence to the relevant units of competency and evaluates if sufficient evidence has been provided. The assessor refers to and updates the Assessment Plan during this process.

The objective of the RPL assessment system is not only to check competency for a qualification, but to steer the candidate's personal and progressional progress, and to provide them with guidance on how to do that.







Assessors can consider the following questions when assessing evidence:

1. **How did the candidate's learning take place?** (i.e where, when, for how long, with whom, was guidance and feedback provided to the applicant during phases of learning)
2. Direct observation evidence: **How much of the evidence can the assessor evaluate through explicit assessment practices?** For example, by observing a candidate do a task or set of tasks.
3. Indirect or supporting evidence: **How much of the evidence can the assessor evaluate through implicit assessment practices?** For example, reviewing the candidate's study portfolio and then conducting an interview with the candidate, asking them questions about the evidence they have provided.
4. **Is the evidence valid?** Does it demonstrate what the candidate says it demonstrates?
5. **Is the evidence reliable?** Would other assessors come to the same conclusion about it, or would similar evidence result in the same or similar conclusions?
6. **Is the evidence sufficient?** Does it cover the whole range of competence that the candidate is seeking assessment against?
7. **Is the evidence authentic?** Does it show something that the candidate actually did or does?
8. **Is the evidence current?** Does it show that the candidate (still) has the required skills and knowledge and can replicate them in the future, regardless of how old the evidence is?



If the assessor can answer YES to all of these questions then the evidence does support the candidate's claim. If they answer NO to some or all of these questions then the candidate needs to provide further evidence in support of their claim.

Should the RPL assessment reveal gaps in learning or experience required for the qualification sought, feedback on these areas for improvement and/or additional experience will be given to the applicant.

In the event that the assessor(s) cannot verify specific components of the competency standards from the evidence presented by the candidate, these learning outcomes must be tested through verification methods such as direct observation or oral examination.

## Obtaining Additional Evidence

If the evidence provided is **sufficient** to assess the candidate as competent, the assessor will move to Step 5: Assessment Decision.

If the evidence provided is **insufficient**, the assessor will either:

- Advise the candidate of the further evidence required and adjust the Assessment Plan. OR
- Use the candidate's evidence portfolio to complete the assessment process, record the assessment decision and provide recommendations in Step 5: Assessment Decision.

### Assessment Plan update

In discussion with the candidate, the assessor will update the Assessment Plan to reflect the additional evidence required, any errors or omissions and/or the additional assessment tools (if any) that will be used. As well as being required to properly document the RPL process, such assessment notes will make it easier for the assessor to write feedback for the RPL candidate.

### Additional evidence collection

If advised by the assessor, the candidate gathers the additional evidence. The assessor and candidate should agree on what is required and the assessment tools that will be used.

Additional evidence may include direct observation of workplace performance gathered through completion of a workplace assessment task either in the workplace or a simulated workplace (Assessment Centre).

The assessor and candidate should agree on the evidence to be collected and the assessment tools. The assessor should explain the process to the candidate and complete an Assessment Agreement.

Once the candidate has gathered the additional evidence, the candidate will update the evidence portfolio and present this to the assessor for further review, as in step 4.

**Relevant documents:**

- Assessment Plan
- Application Form
- Candidate's evidence or evidence portfolio

**If applicable:**

- Assessment Agreement - see appendix 3
- Oral Questions Report - see appendix 4
- Simulation Report - see appendix 5
- Portfolio Cover Sheet - see appendix 8
- Portfolio Evaluation Form - see appendix 9



**Remember:**

There is no “final assessment” in the RPL process. Assessors should make use of the range of assessment tools available to assess the candidate. This may, or may not, include direct observation.



## Stage 5: Assessment Decision

After the assessor has received all of the candidates evidence, and additional evidence, the assessor makes a final decision on the application. This involves mapping the evidence and preparing the Assessment Decision Report.

### Mapping evidence

The assessor assesses the evidence relevant to each unit of competency against:

- Performance criteria outlined in the unit of competency
- Rules of evidence - is it valid, authentic, sufficient, current and reliable

When assessing the evidence, the assessor should:

- Be aware of each unit of competency description including elements, performance criteria and range statements. This awareness does not require the assessor to “check-off” the evidence against each of these details.
- Consider the context of the relevant demonstrated workplace performance.
- Consider the breadth of what the candidate knows and can do (i.e. is it just enough, or a lot?)
- Consider the quality of how the candidate carries out the required tasks (i.e. is it adequate, or very well done?)
- Consider the comprehension of the candidate (i.e. do they have basic knowledge and understanding, or do they fully comprehend the required information and concepts?)



## Assessment Decision Report

The assessor completes the Assessment Decision Report, a formal record of the decisions made in the candidate's application. This includes decisions on the candidate's performance against each unit of competency and overall. It includes reasons for the decisions, and recommendations for the candidate.

**Decisions** are made against each unit of competency included in the Assessment Plan. The outcome is either competent (C) or not yet competent (NYC). There may also be cases where the verdict is insufficient evidence, in which case it is the candidate's responsibility to provide more evidence.

A negative outcome can be the results of:

- Lack / inadequacy of competencies described in the learning outcomes
- Non-compliance with the threshold criteria of the material submitted as evidence of the candidate's competencies.

**Recommendations** for the candidate may include:

- Identified gap training requirements
- Other qualifications or units of competency for which they may seek recognition
- Other qualifications, units of competency or skills sets for which the candidate may seek further training
- Other relevant recommendations

After discussing with the candidate (stage 6), the completed report is retained by NAITA and TVEC as part of the RPL records.

## Assessment Decision Summary

The Assessment Decision Summary is a brief version of the Assessment Decision Report. It is completed by the assessor and given to the candidate to keep. The purpose of this summary is for the candidate to have a record of their results in the interim before they receive the formal certificate.

### Relevant documents:

- Assessment Decision Report - see appendix 6
- Assessment Decision Summary - see appendix 7

### Related documents

- Assessment Plan
- Portfolio Evaluation Form
- Assessor Oral Questions Report
- Simulation Report



## Phase Three: Feedback:

In the feedback phase the assessor informs the candidate of the outcome of the assessment and provides feedback to them. Certifications are awarded by TVEC to candidates who meet the competency requirements, and candidates also have the opportunity to appeal the assessment decision.

While the outcome of an RPL assessment is either 'competent' (C) or 'not yet competent' (NYC) feedback plays an important role and candidates should be provided with detailed feedback on their performance against each applicable competency unit. This includes areas they did well in, and areas where their skills require improvement and/or additional training, or where there is insufficient evidence. If the candidate is found not yet competent in one or more of the units, the feedback should include the specific areas that require improvement together with timelines for possible reassessment. If additional training is recommended, the RPL facilitator can assist the candidate to contact the relevant training provider.

Phase Three includes the following:

Action	Responsible stakeholder
Provide feedback and Assessment Decision Summary to the candidate. Obtain a signed acknowledgement on the Assessment Decision Report.	Assessor
Return completed RPL assessment record to NAITA	Assessor
Forward all relevant documents and records to TVEC	NAITA
Review and verify the assessment decision	TVEC
Issue the qualification / RoA	TVEC
Support candidate with additional training	RPL facilitator and NAITA
Request for appeal	Candidate
Support candidate with appeals	TVEC

## Stage 6: Feedback

The assessor informs the candidate of the outcome of the assessment and provides feedback to them. The assessor will tell the candidate the specific areas where they met the units of competency requirements, as well as the areas where their evidence was inadequate (if any). The prepared Assessment Decision Report can be used as a guide when giving feedback to the candidate.



### Feedback Guidelines

Feedback is a very important part of the assessment process. The candidate must receive feedback, irrespective of whether the qualification was granted fully, partly or not at all. The aim of feedback is to explain to the candidate why the assessment decision is what it is.

Feedback that follows the below principles supports the candidate's ongoing learning and shows that the decision was made in their interest. Feedback must be:

- **Constructive** - as well as information on the decision, it includes information on possible next steps
- **Clear** and easily understood
- **Specific** - the candidate is able to use it to overcome their shortcomings
- **Impartial** and balanced
- **Supportive** of the candidate's desire to learn - strengths should be pointed out, positive aspects emphasised and possibilities given for further development.

Feedback commonly takes two forms:

<b>Feedback on the form of material evidence submitted</b>	I.e. whether it was relevant, adequate, linked to descriptors, what was good about the evidence, what could have been done better and how, and what evidence did not support the claim for RPL.
<b>Feedback on the existence and adequacy of competencies</b>	Which of the competencies referred to in the application met the requirements and can be recognised for the purpose of the RPL qualification.

## Process:

- The candidate should be informed of the outcome immediately at the end of the assessment.
- It is recommended that the assessor and candidate meet in person.
- The assessor discusses the feedback with the candidate, as detailed on the completed Assessment Decision Report.
- If the candidate is found not yet competent in one or more of the units, the feedback should include the specific areas that require improvement together with timelines for possible reassessment.
- Both candidate and assessor(s) sign the report. If the candidate wishes to appeal the decision, they may record this on the form, or inform the RPL provider.
- The assessor provides the candidate with the Assessment Decision Summary. This document is a summary of the assessment decision report that the candidate may keep. It details their performance against each unit of competency (C or NYC), the overall outcome of the assessment and recommendations from the assessor.
- If additional training is recommended, the RPL facilitator can assist the candidate to contact the relevant training provider.

### Relevant documents:

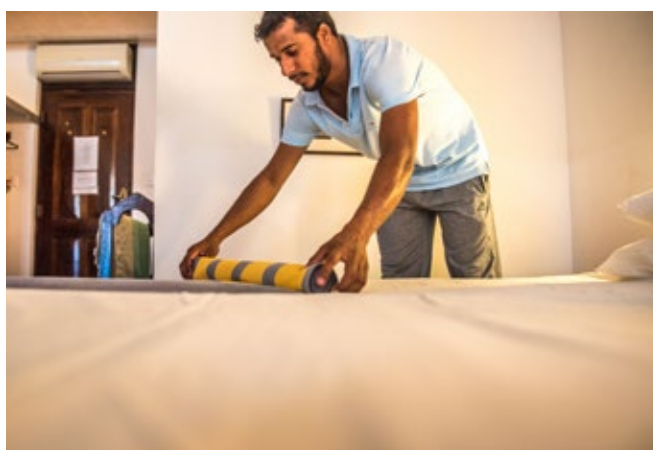
Assessment Decision Report

Assessment Decision Summary



## Remember:

Providing the candidate with feedback on their competencies (both C and NYC) is an important stage in the RPL process. RPL is a gateway to learning and candidates should be supported to develop their competencies further.



## Example case study

### Stage 6: Feedback: Mr Rohan Perera



- Rohan has been working in a hotel in Dubai, UAE as a Barista and Bar Steward for the past five years. He loves serving people. He returned to Sri Lanka and wants to get a job as a bartender at a hotel resort in Passikuda.
- He submitted a claim for recognition of prior learning towards a Bartender - Food and Beverage Service NVQ Level 4.
- He submitted an evidence portfolio and underwent direct observation at an assessment centre.

On the next page is an example of the Assessment Decision Summary given to Rohan after his assessment.

#### Assessment Decision Summary

<b>Candidate Information:</b> Name: Mr Rohan Perera Reference number: 0000001 Contact number: 0761234567	<b>Assessor Information:</b> Name: Mr A Example Assessment Date: 20 Sept 2020 Assessment Location: Training Center A
---	---

<b>Qualification applied for: Bartender - Food and Beverage Service NVQ Level 4</b>			
<b>Unit(s) of competency</b>			
Unit code: U01	Unit title: Carry out mise-en place for food and beverage	Competent <input checked="" type="checkbox"/>	Not yet competent <input type="checkbox"/>
Unit code: U03	Unit title: Provide table service for wine	Competent <input type="checkbox"/>	Not yet competent <input checked="" type="checkbox"/>
Unit code: U05	Unit title: Serve alcoholic beverages in a bar	Competent <input checked="" type="checkbox"/>	Not yet competent <input type="checkbox"/>
Unit code: U07	Unit title: Perform activities related to bar operation	Competent <input checked="" type="checkbox"/>	Not yet competent <input type="checkbox"/>
<b>Assessment Decision:</b>			
Competent <input type="checkbox"/>		Not yet competent <input checked="" type="checkbox"/> Record of Achievement can be issued for U01, U05, U07.	
<b>Feedback and Future Action:</b>			
<b>Gaps in competencies:</b> U03 - Competent in some areas but not all. Satisfactory at noting guests' preferences for future reference/visits, but some evidence was missing: guests' satisfaction verified verbally or using comment cards; guests' thanked for patronising and bid farewell while inviting guests to revisit.			
<b>Strategies for further improvement:</b> Develop competencies around the end of the bar experience for guests. Specifically how to politely ask guests about their satisfaction levels, how to request they complete comment/feedback cards, and how to thank and say goodbye to guests while encouraging them to revisit.			
<b>Any other recommendations:</b> The candidate should consider attending a bartender course in mixology and/or working flair.			
Candidate signature:		Assessor signature:	
Candidate comments (if any):			



## Stage 7: Certification

Results of the RPL assessment are submitted to the TVEC by the assessor. All results (C and NYC) are remitted to the TVEC national database. TVEC awards the national vocational qualification to candidates based on the submitted results. TVEC also acts as a quality control verifier to ensure consistency of RPL assessment procedures

Assessment decision	Certification
Competent	Qualification is awarded by TVEC
Not yet competent	No qualification is awarded
Competent in some but not all units of competency	A Record of Achievement (RoA) is issued by TVEC for each unit where the candidate is competent

### Relevant documents:

Record of Achievement (RoA) and NVQ Qualification - both issued by TVEC

## Appeals

The RPL process includes an opportunity for the candidate to appeal the assessment decision. The candidate shall be informed of their right to appeal when they enter the process. Appeals must be lodged with TVEC within two weeks from the release date of the assessment results.

## Record Keeping

Documentation of the assessment, recommendations and appeal (if any) should be completed for each candidate. A file should be kept by the NAITA for each candidate. It shall include the following information:

1. RPL Application Form
2. The name of the assessor(s)
3. The method(s) of assessment and rationale
4. The Assessment Decision Report describing the assessment process and recommendations
5. Description of (or actual) evidence submitted

It is the responsibility of the assessor to ensure that the documentation is accurate, detailed and submitted in a timely manner. It is the responsibility of all the establishments concerned to maintain confidentiality and integrity of the above records.

# Frequently Asked Questions

## Who can act as a RPL facilitator?

This is a newly created role as part of this revised model of RPL in Sri Lanka. The RPL facilitator must be knowledgeable about the RPL process, qualifications and competencies, as well as having soft skills to support and counsel applicants.

## How does adding the role of facilitator make RPL more accessible?

Currently the services for RPL are centralised in Colombo. Under this revised model, RPL facilitators will be based locally in communities, for example in NAITA district offices, to increase access to RPL. Applicants/candidates may talk to them over the phone, but also visit them in person to discuss, apply and submit evidence, without needing to bring or send it to Colombo.

## If a candidate doesn't meet the competencies for the level of qualification they desire, can they still apply?

No. The RPL facilitator acts as a gatekeeper to make sure that candidates are applying for the right level of qualification. Applications should not be submitted without the support of the facilitator. This accountability will improve the transparency, effectiveness and efficiency of a system. If a candidate doesn't meet the requirements for a particular level, the facilitator will direct them towards another qualification or gap fill training as required.

## Does the RPL facilitator talk directly with the candidate?

Yes, the facilitator acts as the main point of contact for the applicant (later 'candidate') as they continue their RPL journey.

## How can the RPL facilitator be knowledgeable enough to make decisions on a candidate's suitability? Isn't that the role of the assessor?

The facilitator will liaise closely with assessors to check the suitability of a candidate's experience and evidence. The facilitators should be empowered and well trained to review candidate's competencies and offer advice and recommendations. However, the facilitator is offering advice and guidance; the RPL assessor still makes the assessment decisions based on the evidence submitted.

## What is the purpose of the Assessment Plan?

The Assessment Plan is used to map the candidate's evidence against the relevant units of competency, guide the candidate in evidence gathering, guide the assessor when reviewing the evidence and as a reference when they prepare feedback.

## What happens if a candidate doesn't provide sufficient evidence?

At the evidence review stage, candidates will be given the opportunity to gather additional evidence and submit this in accordance with the recommended action plan for further assessment. The additional



evidence will be assessed and a decision made by the assessor. If the candidate is found to be not yet competent, the candidate will be advised of the reasons for this in the feedback stage and given specific recommendations for improvement.

**How many assessors should be involved in an assessment?**

Two assessors should be involved, one in the role of assessor and one in the role of moderator/verifier.

**Can a candidate choose their assessment tool?**

Candidates should not be given an open choice of assessment tools. However, learner-centredness is a core principle of RPL and candidates should feel comfortable with the assessment tools. The assessor and candidate may agree to utilise alternatives, for example using a number of small assignments instead of one major project, or an oral rather than written examination.

**Do all candidates need to do a final assessment?**

No. In RPL there should be no mandatory or fixed assessment requirements. The core principles of RPL include flexibility and accessibility. Assessment tools should be chosen based on the individual candidate's evidence, skills and competencies.

**Why is there an Assessment Decision Summary as well as an Assessment Decision Report?**

These two documents serve different purposes. The Report details the assessment outcome and feedback for the RPL provider and TVEC's records. The Summary is for the candidate's record. Candidates may experience a delay in receiving their qualification or Record of Achievement, in the meantime they may refer to the Assessment Decision Summary for their results.

**Can candidate's appeal their assessment decision?**

Yes there is an appeals process in place and candidates should be made aware of this when they begin their RPL journey. Candidates may record their request for appeal on the Assessment Decision Report, or by contacting their RPL provider.



# Section 05



**RPL and the NVQ System**

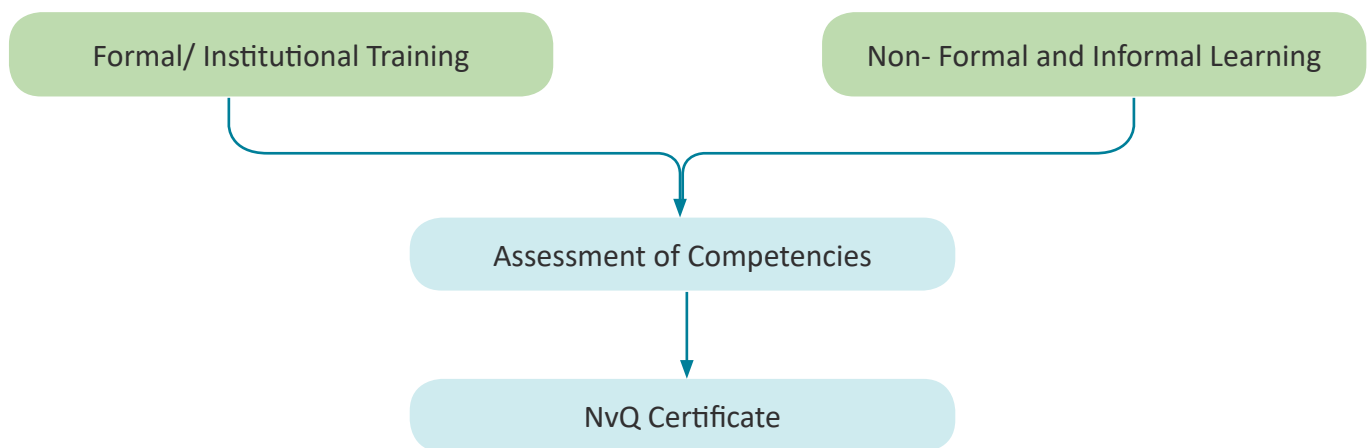


# RPL and the NVQ System

The Sri Lankan National Vocational Qualifications Framework (NVQF) is one of the key elements in unifying technical and vocational education and training (TVET). The NVQ framework allows for individuals to acquire qualifications through formal institutional training. It also recognises competencies acquired through informal (non-institutional means) like RPL.

The qualification awarded by RPL assessment is equal to the same qualification gained through a formal education and/or training system. To maintain parity, the same National Competency Standards apply to both RPL assessments and formal assessments.

However, different assessment methods can be used for RPL assessments. One of the core features of the RPL system is flexibility to suit the needs of the candidate and the required competencies being assessed.





## Qualification Levels

In Sri Lanka, NVQ qualifications via RPL assessment range from entry level (NVQ Level 1) to master craftsman (NVQ Level 4). RPL can also be used towards diploma and higher education NVQ level qualifications in conjunction with additional requirements.

NVQ Level	Qualification	General Description
Level 1	National Certificate	Entry level competencies
Level 2, 3, 4	National Certificate	Increasing levels of competencies. Level 4 provides for full craftsmanship /workmanship
Level 5, 6	National Diploma	Competencies including supervision and process management
Level 7	Bachelor's Degree	Vocational/technological competencies at Bachelor's Degree level



# National Competency Standards



RPL assessments use the same National Competency Standards (NCS) as in formal learning. This is important to maintain parity since the same NVQ qualification is awarded whether a candidate takes an RPL or formal education route (or a combination).

The National Competency Standards specify the standards of performance of a competent worker and the various contexts in which work may take place. National Competency Standards also describe the knowledge, skills and attitudes required in the particular occupation.

NCS are composed of competency units. A unit refers to a competency which, when applied in a work situation, can logically stand alone. For example, the occupation of trekking / hiking guide NVQ Level 4 includes the following units of competency:

- Prepare for a trek / hike
- Carry out briefing and reviewing
- Practice health and safety measures
- Carry out navigation activities
- Handle necessary gear
- Perform survival techniques
- Perform casualty evacuation procedures
- Perform camping during the trek

The NCS provide explicit advice to assessors and employers regarding the knowledge, skill and attitudes to be demonstrated by the candidates. RPL assessors must be well versed in the relevant National Competency Standards that apply to assessments they are conducting.

Units of competency are the smallest component of achievement that can be nationally recognised. Competency units may be packaged together to form one or more qualifications under the NVQ of Sri Lanka.

Competency units provide the basis for:

- Recognition of skills within and across industries
- Work organisation reviews and options
- Development of training
- Assessment
- Certification
- Credit transfer and articulation



# Appendix

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## Document Toolkit

The following documents are part of the toolkit for use during the RPL process.

The descriptions of the documents are followed by printable versions of the forms/templates.

1. Record of Initial Interview
  2. Assessment Plan
  3. Assessment Agreement
  4. Oral Questions Report
  5. Simulation Report
  6. Assessment Decision Report
  7. Assessment Decision Summary
  8. Portfolio Cover Sheet
  9. Portfolio Evaluation Form
- 

## 1: Record of initial interview

**Used by:** Facilitator

**When:** Stage 1: Advice and Stage 2: Counseling and Facilitation

**Purpose:** To record the discussion between the candidate and RPL facilitator about their competencies and desired qualification. To begin to map evidence against the units of competency.

**Notes:**

- This can be a working document updated as the candidate provides the facilitator with more information.
- It outlines to the candidate what they need to provide to meet the requirements of the unit(s) of competency.
- Evidence available includes what the candidate can already provide, such as a log book.
- Additional evidence required includes the use of assessment tools such as direct observation. The facilitator will advise the candidate what they expect will be required.
- The facilitator can seek advice from relevant assessors when preparing this.



## 2: Assessment Plan

**Used by:** Facilitator and assessor

**When:** Stage 2: Counseling and Facilitation and Stage 4: Evidence Review.

**Purpose:** To map the candidate's evidence against the relevant units of competency and prepare the candidate for the evidence gathering and assessment stages.

### Notes:

- Should be completed for each candidate
- Facilitator creates the assessment plan for the candidate at the advice phase. It is referenced, reviewed and updated at the assessment phase in conjunction with evidence from the candidate.
- The facilitator can seek advice from relevant assessors when preparing this.
- All relevant units of competency should be listed and details of evidence/assessment recorded alongside.
- The following template should be used as a basic guide only, alter it to suit the particular circumstances.

## 3: Assessment Agreement

**Used by:** Assessor and candidate

**When:** Stage 4: Evidence Review

**Purpose:** To ensure the candidate is fully informed about, and agrees to, the assessment arrangement and procedures.

### Notes

- This form is designed for use when a verification assessment will be taking place.
- Assessor should complete the candidate and assessment details, including the unit(s) of competency to be assessed and evidence to be collected.
- The questions can be used as a guide to ensure the assessor has discussed and explained everything necessary to the candidate.
- The candidate selects 'yes' to confirm they understand, or 'no' if they need more information.
- The candidate writes their name in the agreement statement.
- Both candidate and assessor sign.



## 4: Oral Questions Report

**Used by:** Assessor

**When:** Stage 4: Evidence Review (if required)

**Purpose:** To record the questions, answers and feedback of oral questions / interview with the candidate.

**Notes:**

- The assessor should make a record in advance of the details of the assessment including the unit(s) for which the knowledge will be assessed, any conditions attached to the assessment, the questions that will be asked and the expected (acceptable) answers.
- For each question, the assessor should mark if the candidate's response is satisfactory or not.
- Feedback to the candidate must be provided and recorded on the report.
- The assessor then makes and records a decision of satisfactory or not satisfactory
- Report must be signed and dated by the assessor(s).

## 5: Simulation Report

**Used by:** Assessor

**When:** Stage 4: Evidence Review

**Purpose:** To record the performance of the candidate in a simulation style assessment.

**Notes:**

- The assessor should record down in advance the details of the assessment including the elements or unit(s) for which the knowledge will be assessed, any conditions attached to the assessment and what competencies are expected of the candidate.
- For each aspect, the assessor should mark if the candidate's performance is satisfactory or not.
- Feedback to the candidate must be provided and recorded on the report.
- The assessor then makes and records a decision of satisfactory or not satisfactory
- Report must be signed and dated by the assessor(s) and candidate.

## 6: Assessment Decision Report

**Used by:** Assessor

**When:** Stage 5: Final Decision

**Purpose:** To record performance in each unit of competency and the overall decision.

**Notes:**

- This document is completed by the assessor and retained for the RPL providers records.
- It is a formal record of the decisions made in the candidate's application.
- It must include the rationale for the C or NYC decision. For example "competency demonstrated by the letter of support by candidate's manager", or "competency observed in direct observation".
- It must include feedback on the performance and should include recommendations for further improvements. Feedback is an important part of the RPL process.
- The assessor uses this document as a guide when giving feedback to the candidate.
- The candidate and assessor(s) must sign.
- The candidate may record requests to appeal on this form.

## 7: Assessment Decision Summary

**Used by:** Assessor, given to candidate

**When:** Stage 6: Feedback

**Purpose:** A record of the assessment results that the candidate can keep.

**Notes:**

- Both Assessor(s) and candidate should sign the form
- This record is for the candidate to keep. It is a summary of the Assessment Decision Report. This will be useful to the candidate as a reference of their performance and in the interim before they receive their formal qualification (if competent).
- Candidate and (at least one) assessor to sign

## 8: Portfolio Cover Sheet

**Used by:** Candidate and assessor

**When:** Stage 3: Evidence Submission and Stage 3: Evidence Review

**Purpose:** For the candidate to record the evidence included in their portfolio and for the assessor to verify if the evidence meets the rules of evidence: sufficient, current, valid, reliable and authentic.

**Notes:**

- It is not required for candidates to submit a portfolio of evidence, however, if they choose to do so, this cover sheet should be used.
- It is the candidate's responsibility to accurately outline the contents of the portfolio and list on the cover sheet.
- It is the assessor's responsibility to review the evidence in the portfolio against the rules of evidence.

## 9: Portfolio Evaluation Form

**Used by:** Assessor

**When:** Stage 4: Evidence Review

**Purpose:** To record the assessor's feedback on the evidence provided in the portfolio.

**Notes:**

- In this document the assessor records their feedback after evaluating the evidence portfolio.
- They assess the evidence and record
- In which areas does the portfolio evidence meet the performance criteria for the unit(s) of competency,
- In which areas it do not meet the criteria
- In which areas the evidence is insufficient.
- In separate sections the assessor records aspects that require clarification (for example, by asking questions in an oral interview), and aspects where further evidence is required (for example by using a verification assessment tool like direct observation).
- Assessor signs and dates the report.
- Decisions made on the portfolio evidence are used to update the Assessment Plan.

## Record of initial interview

Candidate name:  Reference number:  Contact number:	Qualification applied for:  Unit(s) of competency:	
<b>Description of candidate's tasks at work, skills, experience and competencies:</b>		
<b>Units of competency</b>		
Unit code(s):	Evidence available:	Additional evidence required:
Facilitator signature:		Date:
Candidate signature:		Date:

## Assessment Plan

Candidate name:		
Reference number:		
Facilitator name:	Assessor name:	
Date created:	Date(s) updated:	
Unit code(s):	Unit(s) of competency:	Evidence required:
<b>For units requiring further evidence:</b>		
Unit code(s):	Assessment method:	Assessment tools required:
Timeline & location for assessment(s):		
Arrangements confirmed with appropriate personnel? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Special arrangement / context for assessment:		
Reporting arrangements for direct observation:		
Name of second assessor assigned:		



## Assessment Agreement

Candidate name:	Assessor name:	
Reference number:	Assessment date:	
Contact number:	Assessment location:	
<b>Assessment Information:</b>		
Unit(s) of competency to be assessed:		
Evidence to be collected:		
<b>Candidate to answer the below questions:</b>	<b>Yes</b>	<b>No</b>
Has the purpose and the consequence of the assessment been explained to you?	<input type="checkbox"/>	<input type="checkbox"/>
Have you received copies of the relevant unit(s) of competency?	<input type="checkbox"/>	<input type="checkbox"/>
Do you understand what evidence is to be collected?	<input type="checkbox"/>	<input type="checkbox"/>
Have your rights and the appeal system been fully explained?	<input type="checkbox"/>	<input type="checkbox"/>
Have you discussed any special needs to be considered during the assessment with the assessor(s)?	<input type="checkbox"/>	<input type="checkbox"/>
<b>Candidate agreement:</b>		
I _____ agree to undertake this assessment in the knowledge that the information gathered will only be used for professional development purposes.		
Signed by the candidate:  Date:	Signed by the assessor:  Date:	

## Oral Questions Report

Candidate name:	Assessor name:	
Reference number:		
Workplace or RTO:		
Elements / unit(s) of competency:		
Conditions:		
Oral / interview questions:	Satisfactory response?	
	Yes	No
Q1:	<input type="checkbox"/>	<input type="checkbox"/>
Q2:	<input type="checkbox"/>	<input type="checkbox"/>
Q3:	<input type="checkbox"/>	<input type="checkbox"/>
Q4:	<input type="checkbox"/>	<input type="checkbox"/>
Q5:	<input type="checkbox"/>	<input type="checkbox"/>
Feedback to candidate:		
<b>Oral Assessment Decision:</b>		
The candidate's underpinning knowledge was:	Signed by the assessor:	
Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/>	Date:	
Acceptable answers are:		
Q1:		
Q2:		
Q3:		
Q4:		
Q5:		

## Simulation Report

Candidate name:	Elements / unit(s) of competency:		
Reference number:			
Assessor name:			
Date of assessment:			
Location:			
Conditions:			
<b>During the simulation, did the candidate</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Simulation Assessment Decision:</b>			
Competent <input type="checkbox"/>	Not yet competent <input type="checkbox"/>		
Feedback to candidate:			
Candidate signature:	Assessor signature:		
Candidate comments (if any):	2nd assessor name:		
	2nd assessor signature:		

## Assessment Decision Report

<b>Candidate Information:</b> Name:  Reference number:  Contact number:		<b>Assessor Information:</b> Name:  Signature:	
<b>Qualification applied for:</b>			
<b>Unit(s) of competency</b>			
Unit code:	Unit title:	C or NYC:	
Rationale & feedback:			
Unit code:	Unit title:	C or NYC:	
Rationale & feedback:			
Unit code:	Unit title:	C or NYC:	
Rationale & feedback:			
Unit code:	Unit title:	C or NYC:	
Rationale & feedback:			
<b>Assessment Decision:</b>			
Competent <input type="checkbox"/>		Not yet competent <input type="checkbox"/>	
<b>Future Action:</b>			
Strategies for further improvement:			
Any other recommendations:			
Candidate signature:  Candidate comments (if any):		Assessor signature:  Assessor signature:	

## Assessment Decision Summary

<b>Candidate Information:</b> Name: Reference number: Contact number: Assessment date: Assessment location:	<b>Assessor(s) Information:</b> Name:  Name:	
<b>Qualification applied for:</b>		
<b>Unit(s) of competency</b>		
Unit code:	Unit title: Carry out mise-en place for food and beverage	Competent <input type="checkbox"/> Not yet competent <input type="checkbox"/>
Unit code:	Unit title: Provide table service for wine	Competent <input type="checkbox"/> Not yet competent <input type="checkbox"/>
Unit code:	Unit title: Serve alcoholic beverages in a bar	Competent <input type="checkbox"/> Not yet competent <input type="checkbox"/>
Unit code:	Unit title: Perform activities related to bar operation	Competent <input type="checkbox"/> Not yet competent <input type="checkbox"/>
<b>Assessment Decision:</b>		
Competent <input type="checkbox"/>	Not yet competent <input type="checkbox"/>	
<b>Feedback and Future Action:</b>		
Gaps in competencies:		
Strategies for further improvement:		
Any other recommendations:		
Candidate signature: Candidate comments (if any):	Assessor signature	



## Portfolio Cover Sheet

Candidate name: Reference number:	Date submitted:			
I declare that this evidence has been produced by the undersigned.  Signature of candidate: _____				
<b>Candidate to complete. Portfolio evidence presented includes:</b>				
<div style="display: flex; flex-direction: column; gap: 5px;"> <div><input type="checkbox"/> CV / resume</div> <div><input type="checkbox"/> Learner introduction</div> <div><input type="checkbox"/> Chronological record of significant learning experience</div> <div><input type="checkbox"/> Education information</div> <div><input type="checkbox"/> Career goals information</div> <div><input type="checkbox"/> Learning outcomes and competency statements</div> <div><input type="checkbox"/> Outcomes from learning programmes (including online and self-learning)</div> <div><input type="checkbox"/> Assessment feedback (from a trainer or assessor)</div> <div><input type="checkbox"/> Job description(s)</div> <div><input type="checkbox"/> Work journal</div> <div><input type="checkbox"/> Written statements or references</div> </div>	<div style="display: flex; flex-direction: column; gap: 5px;"> <div><input type="checkbox"/> Work samples</div> <div><input type="checkbox"/> Finished products</div> <div><input type="checkbox"/> Product descriptions or specifications</div> <div><input type="checkbox"/> Statutory declarations</div> <div><b>Other evidence: (list each item)</b></div> <div><input type="checkbox"/></div> <div><input type="checkbox"/></div> <div><input type="checkbox"/></div> <div><input type="checkbox"/></div> <div><input type="checkbox"/></div> <div><input type="checkbox"/></div> <div><input type="checkbox"/></div> </div>			
<b>Assessor to complete. The evidence is:</b>				
<input type="checkbox"/> Valid	<input type="checkbox"/> Reliable	<input type="checkbox"/> Current	<input type="checkbox"/> Authentic	<input type="checkbox"/> Sufficient
Assessor feedback on the portfolio:				
Signature of Assessor: _____		Date: _____		

## Portfolio Evaluation Form

Candidate name:	Unit(s) of competency:		
Reference number:			
Assessor name:			
<b>Requirements of the unit(s) of competency</b> The contents of the portfolio provided satisfactory evidence of the candidate's ability to:	<b>Yes</b>	<b>No</b>	<b>Insuff- icient</b>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Following analysis of the portfolio, the following aspects require further clarification:			
Additional evidence is required in the following areas:			
Signature of assessor: _____	Date: _____		







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