

Discipline: **People, Culture and
Development**

Category: **Procedure**

Rail Safety Worker Competency Management HR04-002

Applicability

ARTC Network Wide	✓
Interstate Network	
Hunter Valley	

Document Status

Version	Date Reviewed	Prepared by	Reviewed by	Endorsed	Approved
1.0	February 2012	P. Shinnick	N. Catterson	J. McAuliffe	ARTC Worker Competence Steering Committee
2.0	April 2012	P. Shinnick	N. Farr	ARTC Worker Competence Steering Committee	Safety and Environment Committee
3.0	November 2012	P. Shinnick	J. Turner	ARTC Worker Competence Steering Committee	Safety and Environment Committee
4.0	May 2013	P. Shinnick	N. Farr	ARTC Worker Competence Steering Committee	Safety and Environment Committee

Amendment Record

Version	Date Reviewed	Clause	Description of Amendment
1.0	February 2012		
2.0	April 2012	Amended to reflect network wide policy	Reference to the Rail Safety Act applicable in the relevant state. Additional content on dispute resolution, issuing Rail Industry Worker cards or certificates of competence and auditing of document.
3.0	November 2012	Multiple	Additional content added to many sections including new information for functional categories and clarity in existing sections

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4.0	May 2013	Multiple	Addition of references to Rail Industry Worker (RIW) cards,
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Document Distribution List

Version	Location	Date
1.0	ARTC Internet Website	January 2012
2.0	ARTC Internet Website	April 2012
3.0	ARTC Internet Website	November 2012
4.0	ARTC Internet Website	May 2013

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1 Introduction

1.1 Purpose

The purpose of this procedure is to detail ARTC's Rail Safety Worker (RSW) competency management system, ensuring it has in place a rigorous process that meets its regulatory obligations and accreditation requirements.

This procedure outlines:

- ARTC's worker competence requirement for each job role within its functional categories,
- worker competence administration, and
- establishes the process for employee and contractor compliance.

Note: In March 2012 ARTC introduced its program to address the competency requirements, outlined in various Acts, for contractors completing rail safety work. In March 2013 ARTC joined with other operators and the Australasian Railway Association to implement the rail industry worker (RIW) program. Consequently, all subsequent references in this procedure to:

- rail industry worker program includes reference to rail safety worker program;
- rail industry worker cards include reference to rail safety worker cards;
- rail industry worker portal includes reference to rail safety worker portal; and
- www.railindustryworker.com.au includes reference to www.railsafetyworker.com.au.

1.2 Scope

This procedure covers all personnel who carry out rail safety work on ARTC's network including employees, contractors, subcontractors and suppliers.

1.3 Procedure Owner

The Executive General Manager, People Culture and Development is the owner of this procedure. Any queries relating to this procedure should be directed to competencies@artc.com.au

1.4 Responsibilities

The Executive General Manager, People Culture and Development is responsible for the implementation of this procedure.

ARTC managers and contractors are responsible for ensuring the RSW maintains current competencies whilst completing rail safety work for ARTC. This is confirmed:

- prior to works commencement – ARTC staff will confirm contractors hold RIW cards which contain current competencies for the roles being performed; and
- at commencement and during works by ensuring contractors have a RIW card in their possession.

RSW are responsible for:

- ensuring their competencies required to complete rail safety work are valid, current and relevant to the work that they undertake;
- do not undertake work or tasks for which their competency has not been certified; and
- maintain and make available records of their training and work experience for use in assessing their competency in accordance with this procedure.

The card issuing body is responsible for verifying contractor competencies and issuing RIW cards.

1.5 Reference Documents

The following documents support this Procedure:

- [EST-20-02 Signals Staff Competency Management Procedure](#)
- [WHS-421 Health and Fitness Policy and Procedure](#)
- [SMP-01 Safety Management Plan](#)
- [RM-01 Risk Management Procedure](#)
- [SP-05-02 Competency / Communication Protocol for Entering Rail Corridor](#)
- [PP-157 Project Management Procedure](#)

1.6 Definitions

The following terms and acronyms are used within this document:

Term or acronym	Description
Accredited Body	An organisation delegated by a higher authority to deliver AQF and/or other competencies.
Act or 'the Act'	Refers to the Rail Safety Act applicable in the relevant state.
ARTC's Competency Matrices	Matrices that refer ARTC's rail safety worker tasks to required competencies.
Assessor/ Subject Matter Expert (SME)	Person approved to review RSW evidence of competence.
Australian Qualifications Framework (AQF)	The national policy for regulated qualifications in Australian education and training.
Authorised Health Professional	A health professional with a medical or nursing qualification with a post graduate qualification in occupational health nursing, selected by accredited rail organisations, on the basis their compliance with the specified criteria, to undertake rail safety worker health assessments.
Card Issuing Body	ARTC's approved external provider of RIW card.
Certified documents	Copies of documents which need to be certified as true copies of the originals by a person authorised to do so.
Competency (Unit of Competence)	A unit or component of a qualification issued by either an accredited or non-accredited body and recognised by ARTC.
Competency Management System	ARTC's system of capturing the competencies of all RSW to meet the requirements of the relevant state Rail Safety Act.
Contractor	A company or individual engaged by ARTC to undertake a specific project, function or maintenance works in accordance with an agreement (e.g. construction, maintenance, installation, commissioning, consultancy and other specialist types of work).
Descriptor	Job description.
Functional Categories	The nine categories of rail safety work within ARTC.
Functional Category Expert	ARTC appointment responsible for providing specialist category advice.
Rail Corridor	Sections of the ARTC rail network which have a uniform kilometrage regime or which run between major network junctions.
Rail Safety Work	Work carried out specific to ARTC's accreditation.
Rail Safety Worker (or RSW)	Those carrying out rail safety work under one or more of ARTC's functional categories.

Term or acronym	Description
Rail Safety Worker Card	Card that electronically captures competencies of those carrying out RSW under one or more of ARTC's functional categories. All references to RSW cards in this procedure include reference to RIW cards.
Rail Safety Worker Portal	Website www.railsafetyworker.com.au . All references to this portal include reference to www.railindustryworker.com.au
Recognition of Prior Learning	An assessment process that involves assessment of an individual's relevant prior learning (including formal, informal and non-formal learning) to determine the credits for a competency application.
Registered Training Organisation (or RTO)	A vocational education and training organisation registered by the Australian Skills Quality Authority (ASQA) to deliver training in accordance with the Australian Qualifications Framework.
Relevant experience	Any experience presented for assessment needs to be directly related, connected or pertinent to the role.
Statement of Attainment	A record issued by a Registered Training Organisation when an individual has completed one or more units of competence from a recognised qualification or course.

2 Worker Competence

2.1 Definition of Rail Safety Work

Under the relevant Rail Safety Act, ARTC has a requirement to ensure that all RSW are competent to carry out rail safety work for which it is accredited. Rail safety work is performed within one of nine functional categories:

- Plant and Equipment;
- Track and Civil;
- Safeworking;
- Communications;
- Structures;
- Network Control;
- Signals (Engineer and Technician);
- Engineering (Design and Maintenance); and
- Project Management.

2.2 Competency Matrices

The functional categories are further broken down into rail safety work tasks described in competency matrices. These tasks have descriptors that detail the minimum competencies required to complete that category of rail safety work – noting that to be competent a RSW may require competencies from more than one matrix.

A RSW must have statements of attainment for each of the competencies identified by the descriptor. The competence of the RSW is determined by:

- RSW identification;
- the relevant technical skills for those tasks the RSW is accredited to carry out;
- relevant safeworking training/certifications; and
- a relevant health assessment.

ARTC's competency matrices can be found at <http://www.artc.com.au/Content.aspx?p=220>

2.3 Competency Currency

All RSW must have relevant and current competencies. It is the RSW's responsibility to ensure that they comply with this requirement when completing rail safety work for ARTC.

To assist with issues concerning competency currency, a Registered Training Organisation (RTO) can provide specialist advice. A list of RTOs relevant to a functional category can be found within the [ARTC Business Rules Handbook Appendix 6](#).

Some ARTC roles also have recertification periods for the competencies necessary for the role. A summary of these can be found within the [ARTC Business Rules Handbook Appendix 7](#).

Within the signals category there are various currency requirements for both practicing and non-practicing signals staff. Further detail on this can be found in [Signals Staff Competency Assessment Procedure](#).

2.4 Functional Category Experts

ARTC has made single appointments in each of the nine functional categories of a “functional category expert”, who is responsible for providing specialist advice on:

- the definition of tasks within each of their functional categories;
- the required competencies for each of those tasks;
- solutions to issues of technical excellence raised by both contractors and staff related to required competencies;
- performance objectives and acceptable performance levels in the achievement of competencies - including assessments;
- specialist advice on ARTC operations in all states; and
- advice on preferred internal and external consultants.

A list of ARTC’s functional category experts is at Appendix 5.1.

2.5 Rules and Mapping Documents

ARTC has produced a number of documents to assist in the management of RSW competence including:

- [ARTC Business Rules Handbook for Contracting Rail Safety Worker](#), which answers specific questions on RSW identification;
- [Matrices](#) which map competencies across the various training packages; and
- Category specific procedures for competency management in the engineering, project management and signals categories.

These documents can be located at <http://www.artc.com.au/Content.aspx?p=220>

3 Competency Management

3.1 Introduction

ARTC's competency management system captures the competencies of all RSW, and issues a RIW card which permits them to complete work for ARTC.

3.2 RSW Identification

To be identified as a RSW, the following evidence must be provided:

- 100 point identification and background check; and
- relevant competencies for tasks they are required to carry out including statements of attainment, licences and certifications.

For signals, engineering and project management groups, evidence of work experience must be provided.

For engineering and project management groups a current resume must be provided.

Note: evidence of RSW competence does not include access to track. If working on track, a relevant health assessment and evidence of track safety awareness must also be provided.

3.3 100 Point Identification and Background Check

All RSW must provide proof of their identity, date of birth and residential address. Applicants must establish their identity by providing documents certified as true copies of the original that add up to a minimum of 100 points.

- For ARTC employees, originals need to be sighted and a copy signed by the interview convenor (or delegate).
- For contractors the check is commenced at the rail industry worker portal and the service is provided by Australia Post. Locations can be found at [Australia Post 100 Point check location website](#).
- For overseas RSW applications the 100 point identification and background check can be completed by the card issuing body.

3.4 Statements of Attainment, Licences and Certifications

3.4.1 Statements of attainment

Statements of attainment must include the following information:

- the rail safety training undertaken, including date and duration of the training undertaken;
- the qualifications of each RSW, including (if applicable):
 - o the units of competence undertaken to achieve the qualification;
 - o the level of qualification attained;
 - o if, and when, a re-assessment of competence is/was conducted; and
 - o if, and when, any re-training is/was undertaken.
- the name of any organisation conducting training or re-training; and
- the name and qualifications of any person who assessed the competence of the worker.

For the purposes of showing competence in a multi-subject qualification, a certified copy of an academic transcript from an institution issuing the qualification is required as supporting evidence. The transcript must include the name of the institution where the qualifications were gained and the date when the qualifications were achieved.

Whilst Rail Safety Acts specify units of competence and qualifications must be provided, ARTC acknowledges these are not always available. Reasons include the employee's training either pre-dating the issue of formal qualifications, or being non-accredited and specific to a company.

A graduated scale has been developed that summarises what ARTC will accept from contractors as evidence of competence. This is summarised at [Appendix 5.2](#).

3.4.2 Licences and Certifications

ARTC recognises licences and certifications issued by accredited organisations. Copies of licences and certifications are to show:

- date of issue;
- institution issuing the qualification; and
- the relevant equipment endorsed.

Further information on licences and certifications can be found in Chapter 8 of [ARTC Business Rules Handbook for the Contracting Rail Safety Worker](#).

3.5 Non Accredited Skills and Knowledge

Much of the skills and knowledge obtained in the rail industry is non-accredited, including inductions, pre-work briefs, on track plant and equipment operations and minor equipment assessments. Many of these elements are critical in certifying the performance of tasks in accordance with ARTC's respective procedures and practices. For both contractors and ARTC employees, the management of non-accredited skills and knowledge is captured through:

- Signals group - work experience log books corroborated by supervisory staff. Log books can be used as supporting material for a request to upgrade or extend the competencies certified. Further detail can be found in [Signals Staff Competency Assessment Procedure](#).
- Engineering and project management groups – by the collection of a record of relevant experience summarising specific skills gained during employment. Further detail can be found in
 - [HR08-002 Engineering Design and Management Assessment and Identification of Competence Procedure](#); and
 - [HR08-004 Project Management Assessment and Identification of Competence Procedure](#).

3.6 Current Resume

For engineering and project management groups a current resume is required as supporting evidence to assist in validating their skills, knowledge and experience. Included in the resume should be the following information:

- contact information;
- a summary of experience and employment;
- copy of education qualifications;
- records of any formal recognition or awards received that validate skills and experience; and

- references, including several referees/supervisors who can verify work experience and skills.

3.7 Work on Track

If the signals, engineering or project management role involves work on track then applicants for RIW cards are also to apply for the role “around the track personnel” – details of which can be found in ARTC’s [track and civil matrix](#). Competencies to be uploaded into the competency management system for this role include:

- track safety awareness;
- category 3 rail medical assessment; and
- construction industry induction (if entering a construction site).

3.8 Recognition of Prior Learning

Where a RSW has achieved competence through experience, or requires re-accreditation, an authorised RTO can provide a statement of attainment through their recognition of prior learning (RPL) processes.

ARTC's infrastructure maintenance employees are appointed to a level in the salary structure based on the achievement of the appropriate units of competency in line with the relevant ARTC industrial agreement. RPL is a viable means to achieving this and further detail can be found on the ARTC intranet.

Contractors also have the option of RPL to obtain relevant competencies in accordance with the ARTC minimum competency requirements. Further advice on RPL can be obtained from RTOs.

3.9 Health Assessment

ARTC adheres to the National Standard for Health Assessment of Rail Safety Workers. All contractors and employees carrying out rail safety work on the ARTC network falling into categories 1, 2 or 3 of the safety critical worker risk categories are required to hold a current rail medical.

The category of medical required depends upon the rail safety work being performed. ARTC will allow RSW performing category 1 and 2 duties to perform category 3 duties if their medical is down-graded. Further guidance can be found in the [Business Rules Handbook for the Contracting Rail Safety Worker](#).

3.10 Competency Assessment

Competencies of employees and contractors can be assessed both prior to or during engagement by ARTC:

- Prior to the engagement of an employee, the interview convenor is responsible for requesting evidence of formal qualifications, licenses or other documentation required for assessment of competence for the position.
- For ARTC infrastructure maintenance employees, applications for competency assessment are to be completed on nominated [HR04F-007 Request for Competency Assessment Form](#) and submitted in electronic format to their People Culture and Development Advisor.
- Applications for assessment from contractors are to be submitted via the Onsite system at www.railindustryworker.com.au

3.11 Authorised Assessors

Special procedures apply to the assessment of skills, qualifications and experience in the engineering, project management and signals categories.

3.11.1 Internal Assessors

ARTC has identified internal SMEs to complete staff competency assessments of the three functional categories. Identifying assessors is managed by the Executive General Manager Technical Services.

3.11.2 External Assessors

Contractors applying for RIW cards must provide evidence of competence that is assessed against ARTC standards. There are two options for them to complete this:

- For those companies able to provide internal subject matter experts, ARTC allows them to be accredited as authorised external assessors who can assess the competence of their staff to work on ARTC projects. The process involves contractors meeting the requirements of obtaining a RSW card and the assessor criteria at [Appendix 5.3](#) for their selected signals, engineering or project management assessment role.
- For those companies unable to provide internal subject matter experts ARTC has a list of approved assessors to complete competency assessments. The list is located at the competency management site on the [ARTC website](#).

Enquiries or applications to become external assessors are to be submitted to competencies@artc.com.au and are assessed by ARTC. When an applicant has been deemed competent to be an external assessor, they will be formally advised and established in ARTC's competency management system as an assessor.

In the signals category, following assessment, applications are forwarded to ARTC for endorsement prior to the issue of RIW cards.

3.11.3 Obligations of External Assessors

ARTC expects that external assessors will:

- apply ARTC's competency standards and procedures;
- promptly advise ARTC where standards cannot be applied and seek resolution;
- use external assessor delegations in an appropriate way for the intended purposes;
- create and maintain full and accurate records of assessments performed in Onsite;
- keep up to date with advances and changes in the area of category expertise, and where appropriate advise ARTC of any likely impact upon ARTC job tasks; and
- maintain the integrity and security of ARTC's documents or information.

External assessors should be aware that they can be held accountable if they do not perform their duties in accordance with ARTC standards and procedures.

3.11.4 External Assessor Re-certification

Review and re-certification of an external assessor's competency can occur at any time however this shall not exceed three years.

3.12 Assessor Competencies

[Appendix 5.1](#) lists the competencies required of assessors of the engineering, project management and signals categories.

3.13 Recording of Competence

Competence of ARTC employees is recorded in the ARTC Learning and Development system. Contractor competence is recorded in ARTC's competency management system.

3.14 Issuing Rail Industry Worker Cards or Certificates of Competence

A contractor to ARTC will be issued the appropriate rail industry worker card following verification of their competencies by the card issuing body and ARTC.

Upon successful lodgement and verification of competencies, payment of fees, and completion of a 100 points identification check, the Card Issuing Body generates and despatches a rail industry worker card to contractors.

An ARTC certificate of competence is issued to ARTC employed rail safety workers. These are issued by the relevant People Culture and Development representative and on the basis of:

- valid medical assessment carried out by an Authorised Health Professional;
- 100 point identification and background check carried out by the interview convenor or People Culture and Development; and
- assessment of qualifications relevant to the position carried out by a Registered Training Organisation or relevant institution for AQF requirements.

ARTC employees, contractors and external party employees must carry their current certificate of competence or rail industry worker card, and produce them when requested by ARTC staff, project managers, work site supervisors and protection officers, and during regulatory audits.

3.15 Confidentiality

The rail industry worker card and ARTC certificate of competence can be used as a proof of RSW identity and competence. As such, all information stored within the underlying competency management systems can be accessed by ARTC for the purposes of establishing identity and competence.

Data contained on the rail industry worker card is protected under the Privacy Act 1988, and both ARTC and the card issuing body agree to protect and deal with data in accordance with that Act.

3.16 Dispute Resolution Procedure

Disputes may arise with contractors when complying with ARTC's competency management system. The impact of these disputes can be minimised by adopting the following principles:

1. Adequate provision of information;
2. Maintenance of correct procedures;
3. Maintenance of the rights of both parties; and
4. A fair dispute resolution process.

The ARTC dispute resolution procedure is outlined at [Appendix 5.4](#).

4 Risk Management

4.1 Risk Register

Risks in the implementation of ARTC's competency management system have been identified and recorded in the ARTC risk register.

It is the responsibility of each division or alliance to review their risks on a regular basis and within guidelines in [RM-01 Risk Management Procedure](#). The aim is to review existing risks including their controls, identify new or additional risks and ensure changes to risk profiles are reflected in the registers.

Project specific risks are managed by the project until it is complete. At this time, the risks shall be reviewed and ongoing risks entered into the appropriate risk register. Further information is contained within the [PP-157 Project Management Procedure](#).

4.2 Auditing

ARTC auditors and safety officers are responsible for checking competencies of personnel within the rail corridor during their audit process or during any unplanned visits.

Employees or contractors performing the role of work site protection officer are responsible for checking employees and contractors on site for validity of the identification cards held by employees and contractors on a worksite.

Audits which will focus on the level of compliance with this procedure, compliance to safe working rules and rail safety worker record management. Audits will be conducted on the basis of the status and importance of the rail safety work and associated risk in accordance with [RM-01 Risk Management Procedure](#).

4.2.1 Auditing of Documents

An ARTC assessor may on any occasion undertake an audit of the supporting information and assessment documentation for a RSW. The assessor may request further information from the RSW with regard to the audit. The RSW shall provide the further information within a reasonable time.

4.2.2 Competency Review

Certain provisions apply within the signals group for reviewing the competency of RSW to ensure that performance is consistent with current competencies. The review must address the issues in [EST2002F-22](#) and further information can be found in [EST-20-02 Signals Staff Competency Assessment](#).

5 Appendices

5.1 ARTC Functional Category Experts

Category	Appointment
Communications	Communications Manager
Network Operations	Systems Performance Manager
Plant and Equipment	Plant and Inventory Manager
Safeworking	National Rules Manager
Structures	National Bridge and Structures Manager
Track and Civil	Manager Standards
Engineering	General Manager Technical Standards and Environment
Project Management	General Manager Technical Standards and Environment
Signals	Signalling Standards Engineer

Note: Issues for functional category experts are to be forwarded to competencies@artc.com.au

5.2 Evidence of Competence

A graduated scale, detailed in the following table, summarises what ARTC will accept from contractors as evidence of competence.

Priority	Evidence	Example
1	Original documents	<ul style="list-style-type: none"> • Statements of attainment • Certificates issued by training organisation • Record of training by a training organisation
2	Summary of training records issued by rail operator	<ul style="list-style-type: none"> • Extract of attendance at training • Summary of courses attended during employment
3	Higher qualifications in-lieu-of lesser qualifications	<ul style="list-style-type: none"> • Protection Officer in-lieu-of track safety awareness • Victorian TFPC over Track Protection - Lookout
4	Documents related to initial training	<ul style="list-style-type: none"> • Documents provided by a training organisation when completing course – attendance record/results • Contractor identity cards with competencies listed on them either as a TLI unit or as a descriptor e.g. Track Vehicle Operator
5	Current recertification document supplemented by work history	<ul style="list-style-type: none"> • Statement of employment history by current employer supported by work records • Log books verified by a supervisor or employer
6	Recognition of prior learning/re-issue of competencies	<ul style="list-style-type: none"> • Process completed by a training organisation

5.3 Assessor Competencies

The following table summarises the pre-requisite competencies for ARTC and contractor assessing staff.

ARTC Assessor Competencies	Comments
Hold formal recognition of competence in the following units.	<ul style="list-style-type: none"> TAEASS402B Assess Competence - compulsory for all assessing staff. Other AQF and non-AQF competencies to the level of those being assessed (can be waived at discretion of functional category expert).
Demonstrate current knowledge of the industry, industry practices, and the job or role against which performance is being assessed.	<ul style="list-style-type: none"> Relevant work experience in the areas being assessed. If relevant, attendance at professional development/training and education activities focusing on good practice in the relevant industry competencies. If relevant, participation in professional/industry networks.
Demonstrate current knowledge and skill in conducting assessments in a range of contexts.	<ul style="list-style-type: none"> Familiarity with the competency standards in the training package to be used by the candidate as a basis of assessment. Have conducted or reviewed an equivalent assessment in the previous 12 months.
Demonstrate the necessary interpersonal and communication skills required in the assessment process.	<ul style="list-style-type: none"> Participate in one professional development activity with a group in the previous 12 months.
Licencing and registration requirements.	<ul style="list-style-type: none"> All licences, registrations, competencies current.

5.4 ARTC Worker Competence Dispute Resolution Procedure

Step 1. Written notice of dispute.

The contractor must write to ARTC (competencies@artc.com.au) with details of the complaint including:

- the nature of the dispute;
- the outcome the contractor wants; and
- what action the contractor believes will settle the dispute.

Step 2. Consultation between the parties.

ARTC will contact the contractor and attempt to resolve the dispute in a timely manner (within 3 business days). If the dispute relates to a competency assessment, ARTC will provide an alternate assessor to review the initial decision.

Step 3. Appointment of a mediator.

If the dispute cannot be resolved within 21 days of receipt of the initial dispute from the contractor, either party may refer the matter for resolution to an advisory panel. The panel will consist of:

- the Executive General Manager, People Culture and Development;
- the General Manager Procurement and Contracts; and
- one member from the functional category.

Step 4. Mediator decides time and place for mediation.

The advisory panel decides the time and place for the mediation.

Step 5. Mediation.

A joint mediation session will be held with both parties to the dispute where all relevant documentation will be tabled and potential solutions explored. If the dispute cannot be resolved during the joint session, the mediator may hold private in-confidence sessions with each party. If a common objective can be found during the confidential sessions, the mediator will be able to assist the parties in further negotiations.

Step 6. Agreement is reached or mediation is terminated.

When an outcome is agreed to between the parties, the mediator will assist them in writing it down. The written record will normally be a binding contract.

The mediator may terminate the mediation at any time if:

- a resolution is unlikely to occur;
- 30 days have elapsed since the start of the mediation and the dispute has not been resolved; and
- either party asks the mediator to do so.

Where mediation is not successful in resolving a dispute, the issue is referred to the ARTC CEO for a determination.