

Training Package assessment materials kit



Department of Education,
Training and Youth Affairs



The Training Package Assessment Materials Project is an initiative of the Australian National Training Authority with funding provided by the Department of Employment, Training & Youth Affairs.

The project has been established to support high quality and consistent assessment within the vocational education and training system in Australia.

This guide was developed by:

Ratio Pty Ltd

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**DEPARTMENT OF EDUCATION,
TRAINING AND YOUTH AFFAIRS**

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FOREWORD

This guide is one of a suite of ten guides developed in the *Training Package Assessment Materials Project*. The project was one of several initiatives managed by the Australian National Training Authority (ANTA) and funded by the Department of Education, Training and Youth Affairs (DETYA) to facilitate the implementation of Training Packages and in particular New Apprenticeships.

The guides in this *Training Package Assessment Materials Project* aim to provide assessors and managers of assessment processes within the vocational education and training (VET) sector with a range of practical tools and resources for improving assessment practices in both on – and off-the-job situations. The ten guides are:

- Guide 1: Training Package assessment materials kit
- Guide 2: Assessing competencies in higher qualifications
- Guide 3: Recognition resource
- Guide 4: Kit to support assessor training
- Guide 5: Candidate's Kit: Guide to assessment in New Apprenticeships
- Guide 6: Assessment approaches for small workplaces
- Guide 7: Assessment using partnership arrangements
- Guide 8: Strategies for ensuring consistency in assessment
- Guide 9: Networking for assessors
- Guide 10: Quality assurance guide for assessment.

Each guide is designed to cover a broad range of industries and VET pathways, with relevance to workplace assessors as well as those working in off-the-job and VET in Schools programs.

The *Training Package Assessment Materials Project* was completed prior to the review and redevelopment of the Training Package for Assessment and Workplace Training. The project managers and writing teams worked closely with National Assessors and Workplace Trainers (NAWT), a division of Business Services Training, to ensure that the material contained in these guides is in line with future developments in the Training Package. Consequently the guides do not make direct reference to the units of competency in the Training Package for Assessment and Workplace Training.

The project managers and the writing teams would like to thank all the individuals and organisations who generously provided advice, case study materials, assessment tools and their time to review and pilot these materials.

TABLE OF CONTENTS

Foreword	iii
How to use this guide	1
Chapter 1: Vocational education and training and competency based assessment	5
What are Training Packages?	5
What is the Australian Quality Training Framework?	6
What is competency based assessment?	7
What are competency based assessment materials?	9
Chapter 2: Visualising competence	13
The assessment pathway	13
The unit of competency	14
Workplace or industry information	18
The Australian Qualifications Framework descriptor	21
The dimensions of competency	23
The key competencies	27
Chapter 3: Collaboration	33
Collaborating with the candidate	33
Collaborating with the workplace	38
Chapter 4: Targeting evidence	41
A definition of evidence	41
Rules of evidence	42
Language, literacy and numeracy requirements	43
Target evidence	44
Chapter 5: Gathering evidence	49
What are evidence gathering materials?	49
Real work/real time activities	50
Structured activities	58
Questioning	68
Work related projects	88
Portfolios	91
Chapter 6: Evaluating evidence	103
Ensuring a fair evaluation and judgement	104
Reviewing the evidence	105
Making the judgement	108
Chapter 7: Records and feedback	109
Materials for recording and feedback	109
Recording assessment outcomes	110
Giving feedback	115
Getting feedback	116

Appendix A:	Key competencies within Training Packages	119
Appendix B:	Sample assessment 1	145
	<i>WRRCS2A – Apply point of sale handling procedures.....</i>	<i>145</i>
Appendix C:	Sample assessment 2	155
	<i>PUASAR002A – Conduct road crash rescue</i>	<i>155</i>
Appendix D:	Templates	173
Glossary.....		175

HOW TO USE THIS GUIDE

This guide is designed to help practising assessors develop the materials needed to carry out effective and high quality assessments against the units of competency in Training Packages.

To do that, assessors need to:

- have an appreciation of the principles of competency based assessment
- be able to develop assessment processes which link workplace activities and procedures with the competency standards and other components of Training Packages
- identify quality evidence
- work cooperatively with candidates, supervisors and other key stakeholders in the assessment process.

The examples and practical tips for producing assessment materials identified in this guide are based on the experiences and insights of assessors across a range of industries. The guide concentrates on materials suited for assessing candidates undertaking Certificate I - III qualifications within the Australian Qualification Framework (AQF).

Chapter One: Vocational education and training and competency based assessment

This chapter provides background information on contemporary approaches to competency based assessment. It explains Training Packages, the Australian Quality Training Framework (AQTF) and the purpose of competency based assessment materials.

Chapter Two: Visualising competence

This chapter explains how to interpret a unit of competency and combine this with information from the workplace to produce an integrated picture of competence.

Chapter Three: Collaboration

This chapter focuses on why collaboration between assessors, candidates and others involved in the assessment process is critical to achieving quality assessment outcomes. It includes guidelines for developing materials to support collaboration.

Chapter Four: Targeting evidence

This chapter focuses on the strategic identification of evidence used in the assessment process. It includes materials designed to help assessors target evidence in collaboration with candidates and their workplaces.

Chapter Five: Gathering evidence

This chapter provides advice on the design of evidence gathering techniques, including real work/real time activities (such as observations and third party reports), structured activities (such as simulations, demonstrations, activity sheets and projects), questioning and portfolios.

Chapter Six: Evaluating evidence

This chapter provides strategies and materials to help assessors make sound assessment decisions.

Chapter Seven: Records and feedback

This chapter provides examples of materials that assessors can use for recording the outcomes of assessment processes and providing feedback to candidates.

Appendix A

This is a more detailed description of the key competencies.

Appendix B

This is a sample set of evidence gathering materials for the Unit of Competency *WRRCS2A Apply point of sale handling procedures* from the National Retail Training Package.

Appendix C

This is a sample set of materials that illustrates the use of group assessment processes.

Appendix D

This is a set of templates that assessors may adapt and use in developing their own assessment materials.

CD-ROM

The *Training Package Assessment Materials Project* CD-ROM contains a copy of the full guide and a set of customisable templates.

CHAPTER 1: VOCATIONAL EDUCATION AND TRAINING AND COMPETENCY BASED ASSESSMENT

The vocational education and training (VET) sector provides training and education for specific vocational purposes. While primary and secondary schooling concentrates on general skills and knowledge development and the university sector provides broad skills and knowledge for professional work or study, the VET sector caters for the majority of the population who need vocational skills for work and life. Vocational skills include technical knowledge and broad process skills. These are called **competencies** – that is, skills and knowledge applied in a work context.

The VET environment is currently being influenced by two major initiatives, Training Packages and the Australian Quality Training Framework (AQTF).

What are Training Packages?

The critical skills, knowledge and attitudes or competencies which individuals need for employment have been compiled into a document for each industry or industry sector. This is called a **Training Package**.

*A Training Package is a set of nationally endorsed standards and qualifications for recognising and assessing people's skills. A Training Package describes the skills and knowledge needed to perform effectively in the workplace. It does not describe **how** an individual should be trained. Teachers and trainers develop learning strategies – the **how** - depending on learners' needs, abilities and circumstances. (Australian National Training Authority web site 2001)*

Most Training Packages comprise a set of endorsed materials and an associated collection of support materials. The endorsed component of a Training Package is made up of three sections. These are the:

- competency standards
- qualifications framework
- assessment guidelines.

The **competency standards** define the skills and knowledge required for competent performance in the industry.

Individual units of competency may be grouped together to make up a qualification. The section within the Training Package which shows how this is done is called the **qualifications framework**. This section describes what a person has to do to achieve a Certificate I - IV, a Diploma or an Advanced Diploma.

The **assessment guidelines** form the third endorsed component of the Training Package. This section sets out the industry's preferred approach to assessment. It includes specific advice on the qualifications needed by assessors, the design of assessment processes and the conduct of assessments.

Many Training Packages also include **support materials**, which may include assessment materials, learning strategies and professional development materials.

It is very important that assessors know which Training Package is relevant to their industry or industry sector and that they have a complete copy of the current version.

Further information on Training Packages is available through the relevant Industry Training Advisory Body (ITAB), Australian Training Products or the National Training Information Service. Up-to-date contact details for these organisations are available through the Australian National Training Authority web site at <http://www.anta.gov.au/>.

What is the Australian Quality Training Framework (AQTF)?

The AQTF is the quality assurance and recognition system that underpins the national VET system and informs the regulatory arrangements in the States and Territories. It provides the standards that Registered Training Organisations (RTOs) must meet and continue to meet for registration.

RTOs may be registered to provide either training and assessment or assessment only services. They have to go through a registration process with their State or Territory Registration Body to make sure they are suitably equipped to provide this service for a particular Training Package.

What is competency based assessment?

Assessment is the process of collecting evidence and making judgements on whether competency has been achieved. The purpose of assessment is to confirm that an individual can perform to the standard expected in the workplace, as expressed in the relevant endorsed industry or enterprise competency standards.

Assessments may be carried out in the context of a New Apprenticeship, a VET in Schools program, a nationally accredited course, a self-directed learning program, institutional programs or a recognition process.

Key features of competency based assessment

Competency based assessment should not be an isolated activity. In most cases it forms part of a pathway to employment, to a structured learning program or to further training. It is important that it happens within a context of work performance and learning and that skill gaps identified during the process are seen as opportunities for further development, not failure.

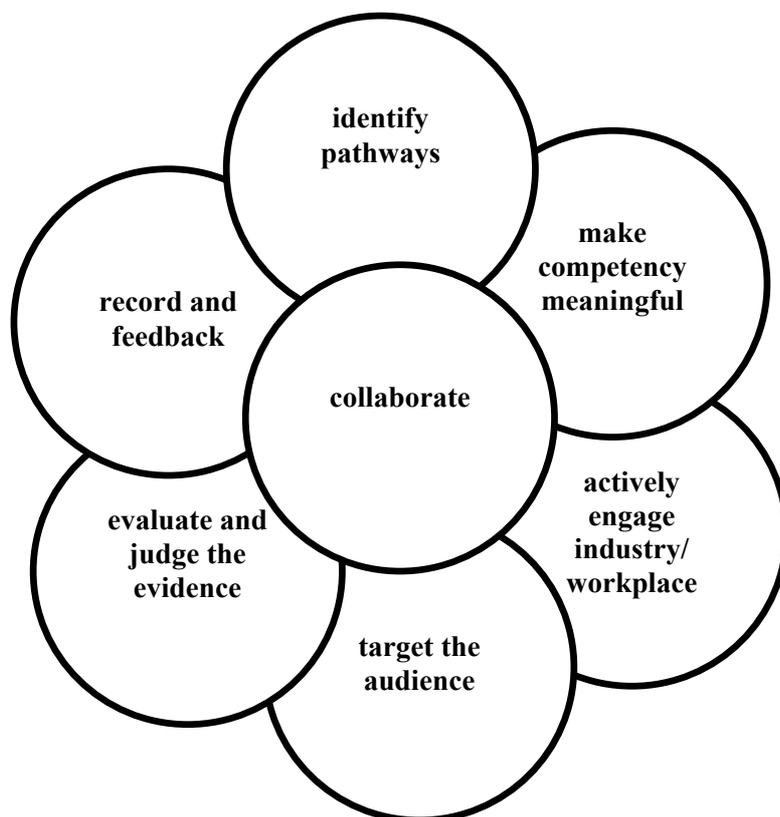
It is also important that evidence collecting is viewed as a process negotiated with the candidate, not a one-off test of knowledge that has been imposed on the candidate.

While there is no fixed approach to competency based assessment, quality assessment processes:

- provide pathways for the candidate
- actively involve the workplace in the assessment process
- make competency meaningful to participants by relating the units of competency to workplace activities, procedures and requirements
- involve the candidate, the assessor and the workplace
- clearly target the evidence that the candidate needs to present
- incorporate clear and efficient methods of evidence collection

- have clear procedures for making the assessment decision
- include efficient record keeping systems
- ensure that the candidate is given clear and constructive advice and feedback.

Figure 1: Key features of competency based assessment



What are competency based assessment materials?

Competency based assessment materials are resources that assessors use to support the assessment process. This guide includes materials that have been developed by assessors from around Australia. A list of the assessment materials discussed in this guide is provided in Figure 2. When developing assessment materials, assessors should keep in mind that the AQTF requires that assessment strategies be validated by industry.

Figure 2: Assessment materials

Key aspects of the assessment process	Relevant assessment materials
Visualising competence	<p>Figure 3: Where to find information in a unit of competency (also see Appendix D, Template 1)</p> <p>Figure 4: Overwriting a unit of competency (also see Appendix D, Template 2)</p> <p>Figure 10: Competency case study</p> <p>Figure 11: Competency profile</p>
Collaboration	<p>Figure 12: Record of initial interview (also see Appendix D, Template 3)</p> <p>Figure 13: Interpreting the unit of competency (also see Appendix D, Template 4)</p> <p>Figure 14: Self-assessment guide (also see Appendix D, Template 5)</p> <p>Figure 15: Workplace assessment checklist (also see Appendix D, Template 6)</p>
Targeting evidence	<p>Figure 16: Targeting evidence (also see Appendix D, Template 7)</p> <p>Figure 17: Evidence table (also see Appendix D, Template 8)</p> <p>Figure 18: Assessment agreement (also see Appendix D, Template 9)</p>

Figure 2: Assessment materials (continued)

Key aspects of the assessment process	Relevant assessment materials
Gathering evidence	<p>Figure 19: Procedural observation checklist (also see Appendix D, Template 10)</p> <p>Figure 20: Complex observation checklist (also see Appendix D, Template 11)</p> <p>Figure 21: Questions to support complex observation checklist (also see Appendix D, Template 12)</p> <p>Figure 22: Third party checklist (also see Appendix D, Template 13)</p> <p>Figure 23: Guide for developing a complex demonstration checklist (also see Appendix D, Template 14)</p> <p>Figure 25: Simulation checklist (also see Appendix D, Template 15)</p> <p>Figure 27: Sample recording sheet for oral questioning (also see Appendix D, Template 16)</p> <p>Figure 30: A workplace project - project instructions</p> <p>Figure 32: Portfolio instructions (also see Appendix D, Template 17)</p> <p>Figure 33: Portfolio cover sheet (also see Appendix D, Template 18)</p> <p>Figure 34: Evaluation of a portfolio (also see Appendix D, Template 19)</p>
Records and feedback	<p>Figure 36: RTO record of assessment results (also see Appendix D, Template 20)</p> <p>Figure 37: Assessment summary and feedback form (also see Appendix D, Template 21)</p> <p>Figure 38: Assessment record (also see Appendix D, Template 22)</p> <p>Figure 39: Candidate's record of competency (also see Appendix D, Template 23)</p> <p>Figure 40: Competency record book (also see Appendix D, Template 24)</p> <p>Figure 41: Record of post-assessment interview (also see Appendix D, Template 25)</p>

How do materials support the assessment process?

Quality assessment processes require the participation and cooperation of a number of people, including assessors, candidates, workplace supervisors and technical experts. Materials can help these different groups to develop a common understanding of key aspects of the assessment process, including:

- what does the assessment process involve?
- what is competent performance?
- what is evidence?
- how is evidence gathered and evaluated?
- how can candidates contribute to the evidence gathering process?
- how can supervisors contribute to the evidence gathering process?
- how can technical experts contribute to the evidence gathering process?
- how do assessors make the assessment decision?

CHAPTER 2: VISUALISING COMPETENCE

A key step in the assessment planning process involves developing a picture of competence. This is a description of how a unit or cluster of units of competency can be applied within a work context. It is presented in the language of the candidate and/or the workplace to make the notion of competence accessible.

Candidates need real life examples in order to understand why they need to perform in particular ways ... it is important to integrate competencies into typical work functions. This provides tangible performance goals that candidates can relate to.

This section describes a number of materials that help assessors to visualise competence. It explains how the following pieces of information may be combined to develop an integrated picture of competence:

- the assessment pathway
- the unit of competency
- workplace or industry information
- the descriptor of the qualification provided in the AQF
- the dimensions of competency
- the key competencies.

The assessment pathway

In order to develop a picture of competence, the assessor must find out what the candidate and the workplace hope to gain from the assessment process.

For the candidate, assessment may lead to a qualification, a promotion or new learning opportunities. For the workplace, it might lead to a change in the workplace culture, to a new management or learning system, or to new products or processes.

It is very important that assessors understand what the candidate and the workplace are looking for from the assessment process. This is critical information which will influence the way the assessment process is conducted, how the evidence is collected and the amount of risk control required within the process.

It is critical to find out what the organisation really wants to do with the assessment information. It is important to work with the organisation to help it build pathways from the assessment process.

The unit of competency

The competency standards in a Training Package describe work outcomes. Each unit of competency describes a specific work activity, the conditions under which it is conducted and the evidence that may be gathered in order to determine whether the activity is being performed in a competent manner. By examining different aspects of the unit of competency, assessors are able to gain answers to the following questions:

- What is the work activity?
- What does the work activity involve?
- What skills are needed to perform the work activity?
- What level of skill is needed?
- What are the conditions under which this work activity may be conducted?
- What evidence is needed to prove that a person is competent?
- What knowledge and skills are needed to perform the work activity?
- What generic work skills are needed?
- Where should evidence be gathered?
- What resources are required to gather the evidence?

Figure 3 identifies where the information needed to answer each of these questions is located in a unit of competency. This is illustrated by highlighting the relevant sections of the Unit of Competency *PMLDATA300A Process and record data* from the Laboratory Operations Training Package.

Figure 3: Where to find information in a unit of competency

What do you need to know about the work activity?	Where is the information found?	What does the unit of competency tell you?
What is the work activity?	Unit title	<i>Process and record data</i>
What does the work activity involve?	Description	This unit of competency covers the ability to record and store data, perform basic laboratory computations and accurately present and interpret information in tables and graphs.
What skills are needed to perform the work activity?	Elements	In this unit there are five key skills to perform: <ul style="list-style-type: none"> record and store data perform laboratory computations present data in tables, charts and graphs interpret data in tables, charts and graphs keep accurate records and maintain their confidentiality.
What level of skill is needed?	Performance criteria	For each skill there are specified performance criteria. For example, the element <i>Record and store data</i> has five performance criteria: <ul style="list-style-type: none"> <i>Code and transcribe data as directed</i> <i>Record data in accordance with document traceability requirements</i> <i>Enter data into laboratory information system or record sheets as directed</i> <i>Rectify errors in data using enterprise procedures</i> <i>Store and retrieve data using appropriate files and/or application software.</i>
What are the conditions under which this work activity may be conducted?	Range statement	The variables to be considered in assessing this unit include: <ul style="list-style-type: none"> recording data in a range of worksheets, spreadsheets, databases and/or management systems presenting data in a range of forms computations may be performed with or without a calculator records could include information from a range of resources reference material can be accessed from a variety of sources.
What evidence is needed to prove that a person is competent?	Critical aspects of competency	Competency must be demonstrated in the ability to process and record data in accordance with workplace procedures. The assessor should check to ensure the candidate is able to: <ul style="list-style-type: none"> code, record and check the data use a simple spreadsheet or database program to store and retrieve data calculate scientific quantities and present accurate results in the required format recognise anomalies and trends in data maintain confidentiality of data keep records up-to-date and secure.
What knowledge and skills are needed to perform this work activity?	Underpinning skills and knowledge	The knowledge required is the: <ul style="list-style-type: none"> ability to code, enter, store, retrieve and communicate data ability to verify data and rectify mistakes ability to maintain and file records ability to remember scientific and technical terminology.

What do you need to know about the work activity?	Where is the information found?	What does the unit of competency tell you?
		<p>The skills required include the:</p> <ul style="list-style-type: none"> • ability to calculate mathematic quantities • ability to calculate scientific quantities • ability to use scientific notations • ability to use significant figures • ability to calculate and interpret absolute and percentage uncertainties • ability to transpose and evaluate formulae • ability to prepare and interpret trends in various forms of data • ability to prepare and interpret process control charts.
What generic work skills are needed?	Key competencies	Performance of this task requires all key competencies at performance level I.
Where should evidence of competency be gathered?	Context for assessment	This unit of competency is to be assessed in the workplace or simulated workplace environment.
What resources are required to gather the evidence?	Resource requirements	<p>The resources required to gather evidence for assessment in this unit of competency include:</p> <ul style="list-style-type: none"> • data sets and records • computer and relevant software or laboratory information system • relevant workplace procedures.

Many work activities are not adequately described in a single unit of competency. More often than not, real work activities draw on competencies from a number of units at once. As illustrated in the following example, the preparation of a fish stock involves combining aspects of a number of units of competency from the Hospitality Training Package.

An example of clustering units of competency

In the assessment process for the Certificate III in Hospitality (Commercial Cookery), candidates provide evidence for a number of units of competency in one activity. For example, when making a fish stock they draw on the following competencies:

- THHCOR03A Follow health, safety and security procedures
- THHCOO01A Develop and update hospitality industry knowledge
- THHCOR03A Follow workplace hygiene procedures
- THHBKAO1A Organise and prepare food
- THHBKA04A Clean and maintain premises
- THHBCC01A Use basic methods of cookery
- THHBCC11A Implement food safety procedures
- THHCOR01A Work with colleagues and customers
- THHCOR02A Work in a socially diverse environment.

An assessor may use one assessment activity, involving observation and questioning, to gather evidence for these units of competency.

Sometimes a unit of competency may include more than one job function and will therefore need to be broken into more than one assessment process. For example, a unit of competency may include two separate functions, such as *UTWNNW180A Monitor and operate water supply and distribution systems* from the Water Industry Training Package. In some workplaces, the work activities described in this unit are carried out by two different people or done as two separate work functions (for example, taking and testing water samples and operating the equipment to regulate the flow accordingly). Therefore it may not be appropriate to assess the two activities within the one assessment process.

Assessment should be determined by the logical organisation of work, not by the way Training Packages are written. Therefore the process of gathering evidence can apply to part of a unit, a whole unit, a cluster of units or an entire qualification. It all depends on the workplace, the logic of learning and the needs of the participants.

Workplace or industry information

The units of competency provide a focus for the picture of competence. However, units are not stand-alone documents and they only make sense when combined with workplace information.

Therefore assessors need to view the unit of competency in relation to workplace-specific information, such as:

- job descriptions
- gap analysis information
- workplace policies and procedures
- standard operating procedures.

An understanding of competence can only be developed when the unit of competency is applied in a particular situation. Workplace information provides the procedures and policies as well as the standards for how the work should be completed. For example, the workplace information might specify the speed, the number, the time and the quality measures.

An assessor working in the light manufacturing industry explained that competence is composed of layers. The candidate needs to present quality evidence which shows:

- *the ability to carry out an activity safely*
- *the ability to carry out an activity to the specifications outlined in the Standard Operating Procedures and/or job description*
- *the ability to carry out an activity to the skill benchmarks outlined in units of competency.*

For example, when assessing a candidate's competency in using a metal cutting machine, the evidence first needs to demonstrate that the candidate has created a safe environment and can act appropriately if something goes wrong. The evidence needs to show the application of the Standard Operating Procedures for using the machines and that the candidate can organise all of the materials and can work to the quality specifications of the company. A check of the underpinning skills and knowledge and the other components of the unit of competency should confirm that the candidate has the full dimensions of competency.

A leading car manufacturer uses units of competency to explain work functions. The first step in implementing a Training Package qualification is to define the work functions. The work functions are then mapped against the units of competency to choose those which are relevant to the company. The starting point is not the Training Package; the starting point is the work.

Relating workplace information to the unit of competency is relatively straightforward in workplace assessment situations where the in-house assessors have ready access to, and an understanding of, the relevant processes, procedures and performance standards.

For assessors in external settings it is more difficult. Here are two examples of how external assessors have approached this task.

An assessor in an Adult Community Education (ACE) provider always investigates the culture and procedures in a workplace before planning the assessment process. He usually goes into the workplace and asks these questions:

- *What are the safety policies?*
- *What mechanisms are in place to maintain safety standards?*
- *What performance management systems are in place?*
- *How do training and assessment figure within the general human resources strategy?*
- *What is the attitude of management to training and assessment?*
- *What is the tone of the workplace, for example, what expectations are there in terms of dress, social activity and breaks?*
- *What are the hours of work?*
- *What are the work cycles, for example, when are the busiest periods?*
- *What are the specific policies and procedures in terms of the units of competency in question?*
- *How is work organised?*
- *How do the work functions relate to the units of competency?*

A private RTO was contracted to carry out assessments within a large company in the financial sector.

The assessors moved into the company for one month before the assessments were due to start in order to get a good sense of the culture and practice of the organisation. They used this time to plan the assessments and the assessment schedule and to make the units of competency meaningful for the workplace.

It is not always possible to carry out this in-depth research, particularly when candidates are in off-the-job situations and come from a range of workplace settings. In this situation the assessor can:

- ask about the candidate's workplace in an interview
- compare candidate workplaces as part of a classroom activity
- ask the candidate to complete a survey or questionnaire
- access enterprise newsletters and other materials
- have the candidate customise a unit of competency using workplace information as shown in Figure 4.

In Figure 4, the candidate has taken the Unit of Competency *BSXFM1304A Participate in, lead and facilitate workteams* from the Frontline Management Competency Standards and written in the information specific to his workplace, Deluxe Plastics. Nothing has been deleted from the unit of competency, however, words and phrases have been added to give the unit more meaning. This technique, which is called 'overwriting the unit of competency' is used in helping candidates understand a unit of competency.

Figure 4: Overwriting a unit of competency

Unit:	<i>BSXFMI304A Participate in, lead and facilitate work teams</i>		
Descriptor Frontline managers have a key role in leading, participating in, facilitating and empowering work teams/groups within the context of the organisation. They play a prominent part in motivating, mentoring, coaching and developing team members, and in achieving team cohesion.			
Element	Performance criteria	Making sense to Deluxe Plastics	
4.1 Participate in team planning	The team establishes clearly defined purposes, roles, responsibilities and accountabilities within the organisation's goals and objectives.	The team works out exactly what its role and responsibilities are in relation to the Deluxe Plastics' goals, which are outlined in the policy manual.	
	The team performance plan contributes to the organisation's business plan, policies and practices.	The team has a performance plan which they have mapped against the Deluxe Plastics business plan and it meets the expectations of Deluxe Plastics.	
	The team agrees to processes, and monitors and adjusts its performance within the organisation's continuous improvement policies.	The team identifies the Deluxe Plastics improvement policy and agrees on how and when it will adjust its performance to meet the policy if it is not performing to the correct standards.	
	The team includes in its plans ways in which it can benefit from the diversity of its membership.	The team identifies the benefits of a diverse membership and works out how that diversity can benefit the team.	

AQF descriptor

Units of competency are written to reflect work activities within an industry across a number of enterprise settings. They are then organised into levels of work, which are represented by different qualifications within the AQF. Each qualification within the AQF has a descriptor. These descriptors provide important information on the characteristics of the work that people who hold specific qualifications should be able to perform, including:

- the breadth and depth of knowledge
- the breadth and depth of skill
- problem solving capabilities
- information processing capabilities
- the operational environment in which the work is performed
- the level of discretion or judgment in the work
- responsibility for own work
- responsibility for the work of others.

The matrix in Figure 5 compares the nature of work that should be able to be performed by people with Certificate I, II and III qualifications.

Figure 5: AQF Certificate I, II and III descriptors

Qualification characteristics	Certificate I	Certificate II	Certificate III
Knowledge	As needed for defined range of activities	Basic operational, applied to varied activities	Technical depth/breadth, some theory; able to transfer to new environments
Skills	Basic use of tools/equipment	Defined range of practical skills	Broad, well developed, able to select, adapt and transfer skills to new activities
Problem solving	Solutions are pre-ordained by others	Apply known solutions to predictable problems	Provides technical advice to solve problem in known routines
Information processing capabilities	Receive and recall	Assess and record	Interpret
Scope of activities	Routine tasks	Known routines and functions, some non-routine	Range of skilled operations and activities
Operational environment	Narrow, pre-defined, includes pre-vocational/induction	Defined range of contexts	Variety of contexts within known operational environment
Discretion/judgement	Activities are directed	Limited choice and complexity of actions/options	More extensive choice and complexity of options/activities
Self responsibility/accountability	For own work and quality input to team	For own work and quality outcomes	For own work, quality outcomes and time management
For others: responsibility/accountability	Nil	For own input into team outcomes	Limited responsibility for others – coordinate team

Individual units of competency may be part of more than one qualification outcome. Where a unit of competency occurs in more than one AQF qualification, it should be assessed at the lowest qualification that it occurs in the industry qualifications framework.

The dimensions of competency

People are considered to be competent when they are able to apply their knowledge and skills to successfully complete work activities in a range of situations and environments, in accordance with the standard of performance expected in the workplace.

This view of competency:

- emphasises outcomes
- focuses on what is expected of an employee in the workplace
- highlights the application of skills and knowledge to workplace tasks
- incorporates the ability to transfer and apply skills and knowledge to new situations and environments
- focuses on what people are able to do and the ability to do this in a range of contexts.

Competency involves successful work performance. It is usually seen to comprise four dimensions:

- task skills – undertaking a specific workplace task(s)
- task management skills – managing a number of different tasks to complete a whole work activity
- contingency management skills – responding to problems and irregularities when undertaking a work activity, such as:
 - breakdowns
 - changes in routine
 - unexpected or atypical results or outcomes
 - difficult or dissatisfied clients
- job/role environment skills – dealing with the responsibilities and expectations of the work environment when undertaking a work activity, such as:
 - working with others
 - interacting with clients and suppliers
 - complying with standard operating procedures
 - observing enterprise policy and procedures.

How to use the dimensions for visualising competency

When developing a picture of competency, the assessor should read the relevant unit of competency, including the elements and performance criteria, range statement and evidence guide, and answer the following questions:

- What are the task skills associated with this work activity?
- What are the task management skills associated with this work activity?
- What are the contingency management skills associated with this work activity?
- What are the job role/environment skills associated with this work activity?

While task skills are usually clearly documented in units of competency, there are many units where the other dimensions of competency must be inferred. Even though the task management, contingency management and job/role environment skills involved in a work activity may not be directly described in the unit of competency, they must be taken into account when assessing the candidate.

The following example, which is adapted from a publication developed by Manufacturing Learning Australia titled *Assessment Solutions*, illustrates how the four dimensions of competency may be identified in a unit. In this example, Figure 6 is an extract from the Unit of Competency *PMLTEST300A Perform basic tests* and Figure 7 outlines how the four dimensions of competency are incorporated in the unit.

Figure 6: Extract from Unit of Competency PMLTEST300A Perform basic tests**Description**

This unit of competency covers the ability to perform basic tests and/or procedures using standard methods.

Elements	Performance criteria
1. Receive, label and store samples for testing	1.1 Label laboratory samples to ensure information is transcribed accurately and legibly
	1.2 Register samples into laboratory system
	1.3 Record sample testing requirements
	1.4 Maintain sample integrity and eliminate cross-contamination
2. Prepare sample	2.1 Identify materials to be tested, appropriate standard method and safety requirements
	2.2 Use personal protective equipment as specified for standard method and material to be tested
	2.3 Record sample description, compare with specification, record and report discrepancies
	2.4 Prepare sample in accordance with appropriate standard methods
3. Perform tests on samples	3.1 Check calibration status of equipment and calibrate if applicable
	3.2 Perform sequence of tests to be performed as per standard method
	3.3 Identify, prepare and weigh or measure sample and standards to be tested
	3.4 Set up test reagents or equipment/instrumentation as per standard method
	3.5 Conduct tests in accordance with enterprise procedures
	3.6 Record results in accordance with enterprise procedures
	3.7 Identify and report out of specification or atypical results promptly to appropriate personnel
	3.8 Clean and care for test equipment
	3.9 Store unused reagents as required by relevant regulations and codes
	3.10 Dispose of wastes in accordance with safety, enterprise and environmental requirements

Figure 7: Identifying the four dimensions of competency in the Unit of Competency

PMLTEST300A Perform basic tests

Task skills	Task management skills
This requires performance of the task[s] to the required standard as described in the unit of competency and expected in the workplace.	Captures the skills used as people plan and integrate a number of potentially different tasks to achieve a complete work outcome.
Assessor needs to collect evidence that the candidate can do the individual actions as well as the whole task.	Candidates should provide evidence that they can work efficiently to meet deadlines, handle a sequence of interrelated tasks and progress smoothly between tasks.
<i>PMLTEST300A</i> - task skills involve the performance of basic tests to the required standard.	<i>PMLTEST300A</i> - task management skills include: <ul style="list-style-type: none"> • arranging the sequence of work efficiently, eg moving through Elements 1 – 3 • carrying out tasks simultaneously, eg preparing additional samples (Element 2) while tests are running (Element 3).
Contingency management skills	Job/role environment skills
The requirement to respond to irregularities and breakdowns in routines.	The requirement to deal with the responsibilities and expectations of the work environment.
Candidates should show evidence of dealing with contingencies, eg breakdowns, irregularities, imperfections or the unknown.	The capacity to work with others and adapt to different situations is central to successful performance.
<i>PMLTEST300A</i> - assessor may use questions such as: <ul style="list-style-type: none"> • What if the sample label is incomplete? • What if the results you obtain are outside the acceptable range? • What if equipment is not calibrated correctly? 	Assessors may use questions such as: <ul style="list-style-type: none"> • Does the candidate comply with workplace procedures and standard methods in performing the task? • Does the candidate communicate effectively with others? • Does the candidate observe enterprise and regulatory requirements?
In the workplace, can the candidate perform the work and answer questions with confidence?	<i>PMLTEST300A</i> - candidates are to follow instructions (Elements 1 – 3) and communicate with others (Performance Criteria 1.1, 2.3, 3.6).

(Adapted from Manufacturing Learning Australia – *Assessment Solutions*, ANTA, 2000)

The key competencies

What are the key competencies?

A number of processes learnt throughout work and life are required in all jobs. They are fundamental processes and are transferable to other work functions. These are called the key competencies and cover the following aspects of work:

- collecting, analysing and organising ideas
- communicating ideas and information
- planning and organising activities
- working with others and in teams
- using mathematical ideas and techniques
- solving problems
- using technology.

Virtually all units of competency indicate the key competencies that are required to perform the work activity described in the unit. It is recognised that, as work activities become more complex, people require more sophisticated generic skills. For that reason the key competencies are described at three performance levels. As indicated in Figure 8, performance level 1 is the level of generic skills needed to perform the task, whereas performance level 3 involves the ability to evaluate and redesign tasks. It is critical that assessors take both the key competencies and the performance level into account when developing the picture of competence.

Figure 8: Key competencies and levels

Key competency	Level 1	Level 2	Level 3
Collecting, analysing and organising ideas	Access and record from a single source	Access, select and record from more than one source	Access, evaluate and organise from a range of sources
Communicating ideas and information	Simple activities in a familiar setting	Complex communication within a particular context	Complex communication in a variety of settings
Planning and organising activities	Under supervision	With guidance	Independently initiate and evaluate complex activity
Working with others and in teams	Familiar activities	Help formulate and achieve goals	Collaborate in complex activities
Using mathematical ideas and techniques	Simple tasks	Select appropriate tasks	Evaluate ideas and techniques and adapt as appropriate
Solving problems	Routine - minimal supervision. Exploratory - close supervision	Routine - independently Exploratory - with guidance	Complex problems Implement systematic approach Explain processes
Using technology	Reproduce or present basic product or service	Construct, organise or operate products or services	Design or tailor products or services

Many units of competency now include more guidance on the application of the key competencies. For example, Figure 9 demonstrates how the key competencies may be applied within the Unit of Competency *RUH301DB Prepare plant displays* from the Horticulture Training Package. Descriptions of the key competencies are included as Appendix A.

Figure 9: Key competencies

Unit title: <i>RUH301DB Prepare plant displays</i>	
What processes should be applied to this unit of competency? The questions below highlight how these processes are applied in this unit of competency. Following each question, a number in brackets indicates the level to which the key competency needs to be demonstrated where 0 = not required, 1 = perform the process, 2 = perform and administer the process and 3 = perform, administer and design the process.	
How can communication of ideas and information (1) be applied?	By discussing with the client, supervisor or colleagues the display, design and selection of plants.
How can information be collected, analysed and organised (1) ?	Preparing the display plan according to enterprise guidelines will require information to be gathered and the display organised accordingly.
How are activities planned and organised (1) ?	Developing the display requires planning, selection, placing plants and observing safety precautions to be coordinated and organised.
How can team work (1) be applied?	Discussing the design process with supervisor or colleagues will require team work.
How can the use of mathematical ideas and techniques (1) be applied?	When the plants are fertilised and watered, and when measuring light, air and humidity, some basic mathematical techniques could be applied.
How can problem solving skills (1) be applied?	During the design, selection and placement of plants in the display, problems may arise requiring innovative solutions.
How can the use of technology (1) be applied?	Technology may be required to access information about the plants.

Visualising competence

The final picture of competency is developed by bringing together all of the pieces of information discussed in this section. These are:

- the unit of competency
- the dimensions of competency
- the key competencies
- the AQF descriptor
- information on the workplace.

This may involve the assessor asking questions such as:

- How would competent workers perform the task represented by this unit or cluster of units of competency?
- How would they apply their knowledge?
- What level of performance would be expected?
- What would they do if something went wrong?
- How would they handle multiple tasks or pressures?
- What would the product or service look like?
- How would they transfer their skills to other contexts?
- How would they apply generic skills, such as:
 - communication?
 - planning and organising?
 - organising information?
 - problem solving?
 - numeracy?
 - team work?
 - technology?
- What would a competent person not do?

Assessors can use this information to document the picture of competency. This can be done in a number of ways. One approach, as indicated in Figure 10, involves writing a description of competency in case study form.

Figure 10: Competency case study: PMLDATA300A Process and record data

A laboratory assistant in a materials testing laboratory was performing routine tensile tests on samples of vinyl sheet. The assistant converted the readings from the machine to appropriate units using a simple calculation and recorded them in the logbook for that test method. After comparing these test results with previous results for the same type of vinyl material, the assistant found that the tensile strength was within the required range. However, it was at the lower rather than the upper end of the range as in previous testing.

The assistant discussed the results with the laboratory supervisor. The calibration file for that machine showed that it had been calibrated four months previously and had not needed adjustment. Test results for the same period showed that the machine was giving lower than normal tensile strength readings for the few higher strength materials tested over the last two months. The assistant did some more checks and confirmed this trend. The machine was re-calibrated by the instrument company and the frequency of internal calibration checks by the laboratory assistant was increased.

This problem would not have been detected or corrected as quickly without the assistant's competent recording and retrieval of test results and calibration information, and initiative.

An alternative approach, as shown in Figure 11, involves listing the key characteristics of **competent** and **not yet competent** performance.

Figure 11: Competency profile: BSZ407A Deliver training sessions and BSZ404A Train small groups

A competent person can:	A person who is not yet competent may:
<p>Plan training programs based on:</p> <ul style="list-style-type: none"> • a set of standards • identified training needs. <p>Deliver training:</p> <ul style="list-style-type: none"> • using a range of appropriate delivery methods and learning materials which will facilitate learning • actively involving participants in the session • providing opportunities for practice in skills development • taking into consideration the characteristics of learners, particularly language and literacy needs • informing learners about the nature of the training and assessment • providing constructive feedback to learners about progress toward competence. <p>Use feedback from learners, other stakeholders and self-evaluation to improve delivery.</p>	<p>Plan training programs that are not based on an analysis of training needs or a set of standards.</p> <p>Deliver training using a limited range of delivery methods and learning materials which may not:</p> <ul style="list-style-type: none"> • take into account student or trainer needs or availability of resources • provide opportunities for skills development through practice • inform students about the purpose of the training or assessment • give students feedback on progress. <p>Obtain feedback from learners but not use it to improve the program or to recommend changes to program developers.</p> <p>Engage in limited self-evaluation but not use it to improve planning or delivery.</p>

Once the picture of competency is prepared it can be used to:

- describe the qualities of competent performance
- identify evidence of competent performance
- select ways of gathering evidence.

CHAPTER 3: COLLABORATION

A number of parties need to contribute to the assessment process to make it work. These include the assessor, the candidate, workplace personnel and other RTO staff. The materials and strategies described in this chapter are designed to foster collaboration between these individuals and groups.

Collaborating with the candidate

Collaboration between assessors and candidates is a prerequisite for quality assessment. In planning the assessment process, this may focus on ensuring that the candidate:

- understands the assessment system
- understands the unit of competency
- is ready for the assessment
- has conducted a self-assessment.

Describing the assessment system

The key features of the assessment system should be explained to the candidate prior to commencing assessment. This can be done on an individual basis, in a group through workshops at the workplace, or through classroom sessions in a training environment.

A private RTO conducting assessments for large public service companies always runs information seminars for staff. The seminars are used to explain and promote the assessment process.

An in-house training department briefs all new employees about the process and workplace learning opportunities. They use a video resource to help explain the system and a self-evaluation handout to start the ball rolling for the new employees.

Establishing if the candidate is ready to be assessed

The assessor should conduct an initial interview with the candidate. This will enable the assessor and the candidate to identify the relevant workplace information, select the appropriate Training Package qualification and work out if the candidate is ready to continue with the assessment process.

The assessor should gather information on:

- the candidate’s current work tasks
- the candidate’s current competencies
- the relevant Training Package qualification and units of competency
- the evidence which can be gathered in the workplace
- the methods for gathering evidence
- any preparation which the candidate must undertake prior to the assessment.

Figure 12 provides an example of a record sheet that may be used to document the outcomes of the initial interview.

Figure 12: Record of initial interview

Unit(s) of competency: <i>AUM9003A Prepare and process materials and components</i>		Candidate’s name: Chevy Prokop
Description of candidate’s tasks at work Vehicle general assembly: <ul style="list-style-type: none"> • select appropriate components and related attachment devices for installation to specific vehicle model variants • inspect components for defects prior to installation • place individual components in assembly jigs and position attachment devices in tools • install components according to Standardised Operating Procedures, including visual checks to ensure quality standards. 		Evidence to collect: <ul style="list-style-type: none"> • skill assessment checklists by team leader • method and line study records • section quality audit results for the previous month • references from team leader and supervisor.
		Preparation needed: Practise tasks until efficiency and quality requirements, specified on Standardised Operating Procedures and Pillar Charts, are consistently achieved.
Assessor’s signature:	Candidate’s signature:	Date:

Explaining the unit of competency to the candidate

Candidates must understand the requirements of the unit(s) of competency against which they are to be assessed. Figure 13 shows how a candidate can work through a unit of competency and apply the performance criteria to the workplace. In this case, the candidate has taken the performance criteria for one element from the Unit of Competency *CUECOR2A Work with others* and related these to his workplace.

Figure 13: Interpreting the unit of competency

Unit:	Extract from unit of competency from the Museum and Library Information Services Training Package <i>CUECOR2A Work with others</i>
Descriptor:	This unit refers to working with others to meet established work requirements in an environment where work is inter-related but may take place across different work areas.
Element:	Contribute to the flow of relevant work information and ideas.
Performance criteria	What does this mean to Nick?
Information and ideas relevant to the work are shared with others	Nick will always share relevant information with others, as the team is small and working for the same purpose. They are all very collaborative.
Information provided to others is accurate, relevant and timely	As far as possible, Nick will try to give relevant information, messages or ideas to others as quickly as he can so it is current.
Information and ideas are sought from others as required to assist the achievement of work requirements	Nick will not hesitate to ask for help from others if he needs extra information to help him perform his job.
Work information is recorded in the required detail and time frame and in the specified format	If information like a message, email or written item needs to be recorded, the gallery has a message system Nick follows to ensure the correct person gets the information required.
Work information is systematically and accurately compiled and maintained and filed for ease of retrieval as required	Notes on exhibitions, files, photographs and so on are very carefully filed in the gallery, and the system is maintained by one of the staff members to ensure everyone has access to the information required. Nick knows the system well and can maintain and file information as needed.

Helping the candidate to self-assess

Candidates are usually able to identify their current competencies if they are asked the right questions in the right context. This makes self-assessment a critical piece of assessment evidence.

A well-constructed self-assessment can:

- identify the candidate's skills and knowledge
- highlight gaps in the candidate's skills and knowledge
- provide critical guidance to the assessor on the evidence that needs to be collected
- provide guidance to the candidate on the evidence that needs to be presented
- assist the candidate to identify key areas in which practice is needed or additional information or skills should be gained prior to the assessment.

Figure 14 is an example of the questions that a candidate could use to self-assess against a specific unit of competency. The questions are phrased in a way that helps the candidate visualise the kinds of evidence the assessor is looking for.

Figure 14: Self-assessment guide

SELF-ASSESSMENT GUIDE: Certificate III in Business Services	
Unit: <i>BSBCM306A Produce business documents</i>	
Instructions <ul style="list-style-type: none"> • Read each of the questions in the left hand column of the chart. • Place a tick in the box if you believe that you can perform the tasks described. • Complete the column on the right hand side by listing any evidence you have to show that you perform these tasks. 	
Can I?	Evidence suggestions
<input type="checkbox"/> produce business documents (such as reports, proposals, databases, newsletters, web pages) and describe their purpose?	I can show examples of documents I've produced. These would be accounting statements, presentation slides and a web site I created using HTML.
<input type="checkbox"/> explain why specific type and layout features are used in different documents?	I use style guides, templates and my employer usually gives me instructions for how these documents should look.
<input type="checkbox"/> identify the hardware (such as a computer, scanner and printer) and software needed to produce a document?	I did a short course in scanning images for print and screens. This explained the technical issues involved in the process.
<input type="checkbox"/> list all the organisation's requirements for creating, using and saving computer files?	I can show how I organise and access files from the server. I can show a paper filing system that I set up.
<input type="checkbox"/> use software confidently and efficiently to achieve design and layout features?	I feel I am now confident with the software after regularly producing documents at work for six months.
<input type="checkbox"/> check documents for errors and make the corrections to type and layout?	My employer gives me these jobs to do.
<input type="checkbox"/> use self-help resources such as online help or manuals to solve problems or learn more about software features?	I use tutorials and manuals to teach myself about the software.
<input type="checkbox"/> identify and apply the health and safety issues associated with the technology used and the work environment	I attended a course about OHS in the workplace and it covered issues for workstations and office equipment.
Candidate's name:	Date:

Collaborating with the workplace

The assessor may be employed by an RTO which is external to the workplace or by the enterprise itself. In either case the assessor needs to ensure that the workplace is involved in the assessment process. This may mean explaining:

- the assessment system and evidence gathering process
- the benefits to the enterprise and the candidate of the assessment process
- how the workplace can contribute to the assessment process through providing feedback, evidence and background information.

One RTO provides local companies with an information kit about how they train and assess their learners and the pathways that are open to them. The kit includes information about:

- *key concepts of competency based assessment*
 - *how the RTO collaborates with employers and key industry players to develop pathways and assessment benchmarks tailored to the workplace*
 - *how people from the workplace can be involved with assessment*
 - *how the RTO has conducted training and assessment in other enterprises.*
-

As well as providing the workplace with information about the assessment process, the assessor needs to collect information about the workplace and the candidate. This may be collected through interviews, questionnaires or site visits. The following form is used by one RTO to ensure that all relevant information is discussed with the workplace.

Figure 15: Workplace assessment checklist

Name of enterprise:			
Address:			
Phone:		Email:	
Fax:		Mobile:	
Workplace supervisor:			
Trainee:			
Qualifications			
<p>Things to discuss with supervisor at initial meeting (tick when completed).</p> <ul style="list-style-type: none"> <input type="checkbox"/> Contract of training – Training Package and training program <input type="checkbox"/> Communication arrangements between workplace, NAC and RTO <input type="checkbox"/> RTO assessor role <input type="checkbox"/> Contact details for RTO assessor <input type="checkbox"/> Workplace supervisor role – evidence collection, training supervision <input type="checkbox"/> Assessor qualifications <input type="checkbox"/> On-the-job assessment arrangements <input type="checkbox"/> Off-the-job assessment arrangements <input type="checkbox"/> RTO assessment quality assurance arrangements <input type="checkbox"/> Use of technical experts in on-the-job assessments <input type="checkbox"/> Opportunities for collection of workplace evidence <input type="checkbox"/> Assessment recording and reporting arrangements <input type="checkbox"/> Reassessment and appeals process <input type="checkbox"/> Protocols for RTO staff to follow when visiting/contacting workplace <input type="checkbox"/> Any special requirements of workplace. 			

CHAPTER 4: TARGETING EVIDENCE

One of the questions most frequently asked by assessors is – how much evidence is needed? Some assessors are accused of collecting too little while others collect too much. In fact, the volume of evidence collected will vary according to the competence being assessed, the candidate and the context of assessment.

Rather than focusing on the quantity of evidence, assessors need to ensure that assessment decisions are based on quality evidence.

A definition of evidence

Evidence is information gathered which, when matched against the unit of competency, provides proof of competency.

Evidence may include products such as reports, models and items that have been made, fixed or repaired. It might also be processes that can be observed, such as following the correct sequence, providing the required service or maintaining records correctly. Answers to questions are another form of evidence. These may include questions about topics such as work procedures, typical faults and remedies, and workplace hazards.

If the assessor cannot gather this evidence other people, such as supervisors, trainers, team members or the candidate, can report what they see or hear.

Rules of evidence

Regardless of the form of evidence, where it was collected or who collected it, assessors must be confident that assessment decisions are based on quality evidence. This is evidence which is valid, sufficient, consistent, current and authentic. In reviewing evidence, assessors should consider the following questions.

Validity

- Does the evidence relate to the unit competency?
- Does the evidence reflect the four dimensions of competency?
- Does the evidence address the key competencies?

Sufficiency

- Does the evidence cover the full range of performance identified in the unit of competency?
- Does the evidence show competency over a period of time?
- Does the evidence show competency in different contexts?

Current

- Does the evidence show that the candidate can apply the competency in current work?

Authentic

- Is the evidence the candidate's own work?
- Are the qualifications, references and licences presented by the candidate authentic documents?

Language, literacy and numeracy requirements

In the process of working out what evidence is needed, the assessor should pay particular attention to the language, literacy and numeracy skills required by the candidate. It is important not to use techniques for gathering evidence that require skills beyond those specified in the unit of competency.

Often verbal or written techniques are used by assessors to check the knowledge, understanding and problem solving that is needed for competency. However, it is important not to include this as an evidence gathering technique if the unit of competency does not require that level of literacy.

A TAFE teacher/assessor from a college in Western Australia uses realistic communication methods for a group of special needs candidates in the workplace.

Knowledge about OHS as well as underpinning knowledge and problem solving are demonstrated by candidates using pictograms within the actual workplace setting. Candidates can indicate, for example, correct and incorrect procedures and safety issues on-the-job by labelling physical places and items in the workplace.

As traditional assessment techniques are often based on written tests and essays, there is a temptation to choose written evidence gathering techniques when planning assessment. In many units of competency, however, writing is either not required or is a minimal requirement.

For example, the Unit of Competency BSZ404A Train small groups does not stipulate that a written training plan is required. Many workplace trainers do not need to write a detailed plan in their jobs but are still very effective trainers. In order to demonstrate competency for the Element 'Training approaches are planned and documented', candidates can develop a list of points and explain the planning process and how they have organised the teaching points.

Target evidence

There is no hierarchy of evidence. However, assessors should target quality evidence that illustrates the candidate's capacity to meet the requirements of the relevant unit of competency. The key steps involved in targeting quality evidence are:

- develop a picture of competence based on the unit of competency, the relevant workplace information, the key competencies, the dimensions of competency and the relevant AQF descriptor
- identify the evidence required to demonstrate competence, including the relevant underpinning skills and knowledge
- check the prerequisite skill levels in language, literacy and numeracy
- identify where the evidence will come from (that is, the workplace or off-the-job)
- identify the evidence required to demonstrate competence
- map the proposed evidence against the relevant unit of competency
- ensure that the evidence complies with the rules of evidence.

Figure 16 illustrates one way in which assessors and candidates can work together to identify the evidence requirements for a unit of competency and the potential sources of evidence. In this case, the assessor and candidate have listed the evidence requirements for the Unit of Competency *BSBCMN306A Produce business documents* from the Business Services Training Package in the left hand column of the table. After discussing these requirements they listed potential sources of evidence in the right hand column.

The next step is to target the ways of gathering the evidence and to summarise this information in an evidence table (Figure 17). An evidence table provides useful information for the assessor, the candidate, the workplace supervisor and the RTO. It highlights the evidence requirements, how the evidence will be collected and what the candidate can do.

This information can then be documented in an assessment agreement which provides a written confirmation of the proposed assessment process (Figure 18).

Figure 16: Targeting evidence

Unit of competency:	<i>BSBCMN306A Produce business documents</i>	
Candidate's name:		
Evidence requirements	Potential sources of evidence	
<ul style="list-style-type: none"> Produce a range of business documents to meet professional standards and organisational needs 	<ul style="list-style-type: none"> View documents the candidate has recently produced. Candidate produces one or more documents to specific requirements. Candidate is aware of work cycles and employer requirements for business documents. Check with supervisor or other clients to verify the work samples are the candidate's own work. 	
<ul style="list-style-type: none"> Select document designs and resources for purpose, organisational requirements and efficiency 	<ul style="list-style-type: none"> Candidate explains how the designs for documents were worked out. View documents the candidate has recently produced. Ask supervisor for feedback about quality and presentation of candidate's work. 	
<ul style="list-style-type: none"> Use equipment and software features to achieve designs efficiently, accurately and consistently 	<ul style="list-style-type: none"> Candidate can explain the advantages of specific software features. Candidate can demonstrate and explain specific software features. See electronic files the candidate has produced. 	
<ul style="list-style-type: none"> Check documents for errors and consistency 	<ul style="list-style-type: none"> Candidate can demonstrate interpreting proof marks and making corrections to a file. Ask supervisor for feedback about candidate's rate of errors in finished work. 	
<ul style="list-style-type: none"> Follow basic file management procedures for retrieving, creating, saving and storing files 	<ul style="list-style-type: none"> View computer to see how candidate organises and stores files. Ask supervisor for feedback about how candidate follows expected procedures. 	
<ul style="list-style-type: none"> Self-manage tasks and use help resources for solving problems 	<ul style="list-style-type: none"> Candidate lists self-help resources used. Candidate demonstrates use of online help resource for a given problem. 	
<ul style="list-style-type: none"> Apply OHS procedures for using equipment 	<ul style="list-style-type: none"> Observe candidate's work station. Candidate describes and points out application of OHS procedures. 	

Figure 17: Evidence table

Unit(s):	<i>BSBCMN306A Produce business documents</i>	
Candidate:		
What are the evidence requirements?	How the evidence will be gathered?	What can the candidate do?
<ul style="list-style-type: none"> • Select document designs and resources for purpose, organisational requirements and efficiency. • Self-manage tasks and use help resources for solving problems. 	<p>Interview candidate about:</p> <ul style="list-style-type: none"> • knowledge of resources and planning for design requirements • selecting layout and type styles • dealing with technical problems and learning about software. 	<ul style="list-style-type: none"> • Identify organisational and resource requirements for business documents produced. • Check knowledge of software features. • Think about problems that occur and how to overcome them.
<ul style="list-style-type: none"> • Check documents for errors and consistency. • Apply OHS procedures for using equipment. 	<ul style="list-style-type: none"> • Complete checklist for observing OHS procedures. • Set task for using proofreader’s marks to make corrections to documents. 	<ul style="list-style-type: none"> • Identify relevant OHS procedures. • Identify common proofreader’s marks. • Practise making corrections to type and layout styles.
<ul style="list-style-type: none"> • Produce a range of business documents to meet professional standards and organisational needs. • Use equipment and software features to achieve designs efficiently, accurately and consistently. • Follow basic file management procedures for retrieving, creating, saving and storing files. 	<p>Candidate prepares a portfolio of:</p> <ul style="list-style-type: none"> • products • office processes related to the production of business documents • feedback on meeting organisational requirements and ability to manage tasks • relevant training completed. 	<p>Collect examples of:</p> <ul style="list-style-type: none"> • finished documents • specifications, work instructions, planning notes • documents that state relevant training completed • letters from clients or supervisors.

Figure 18: Assessment agreement

Candidate and assessor to complete before the assessment.

Candidate's name:		
Address:		
Telephone:	Home:	
	Work:	
Assessor's name:		
Unit(s) of competency to be assessed:		
Evidence to be collected:		
<p>Candidate to answer questions (yes/no)</p> <ul style="list-style-type: none"> • Have the purpose and the consequences of the assessment been explained? • Have you received copies of the relevant unit(s) of competency? • Do you understand what evidence is to be collected? • Have your rights and the appeal system been fully explained? • Have you discussed any special needs to be considered during assessment? 		
<p>I agree to undertake assessment in the knowledge that information gathered will only be used for professional development purposes and can only be accessed by my manager and the RTO.</p>		
Candidate's signature:		Date:
Assessor's signature:		Date:

CHAPTER 5: GATHERING EVIDENCE

What are evidence gathering materials?

There are four broad categories of evidence gathering materials. These are:

- real work/real time activities, including direct observation and third party reports
- structured activities, including simulation, demonstration and activity sheets
- questioning, including oral and written questions
- portfolios, which are collections of evidence compiled by the candidate.

This section provides advice on how to develop these materials as well as examples of the different types of materials.

The purpose of evidence gathering materials

Evidence gathering materials support the assessment process by:

- helping the candidate to understand what is expected during assessment activities
- providing a focus for the assessor when gathering evidence
- providing a formal structure for identifying what, when and how evidence will be collected
- describing the key indicators that will be used to measure candidate performance
- recording the outcomes of the assessment process
- providing a tool for identifying where further action is needed, such as additional training, repeat assessment or on-the-job coaching.

It is not necessary to develop separate materials or tools for every one of these purposes. A well designed tool may serve a number of purposes.

Real work/real time activities

In most situations, good quality evidence comes from real work/real time performance. These are situations in which the candidate is engaged in real work and must apply the relevant competencies, taking into account the demands, interruptions, problems and pressures of the workplace.

Workplace evidence may be collected by the assessor, the candidate or a third party. This section is designed to help assessors develop materials for:

- supporting direct observations of the candidate performing work activities
- structuring third party reports.

Observation

Observation is a key form of evidence gathering. When the picture of competence is developed within a workplace context it is easy to find opportunities for observing work performance. However, there are situations in which it might not be possible or it may be inappropriate to use observation. For example:

- work activities that occur irregularly, take place over an extended period of time or are difficult to observe (this may include work activities such as dealing with an emergency situation, planning a process or managing a team task)
- work activities that involve issues of privacy and confidentiality, such as counselling, providing feedback to team members on work performance or dealing with confidential or private client information
- situations where it may be culturally inappropriate to observe the activity
- situations where the presence of an observer may compromise workplace safety.

In these situations alternative forms of evidence will be required, such as structured activities, third party feedback or demonstrations.

Observation should aim to collect evidence of all components of competency, including key competencies, dimensions of competency, safety and quality. It is also important to get evidence of everyday performance, not just performance carried out as part of the assessment process.

One assessor, who uses observation to assess candidates on chainsaw operations within a Land Care program, noted that candidates often perform differently during assessment activities. While the candidates at one site met all safety requirements during the assessment, on a subsequent visit to the site he noted that the same candidates were not wearing safety gear. This led him to change his assessment strategy. He now informs candidates that observations will be made over a period of time rather than at scheduled times. He also uses supervisor reports on each candidate's compliance with health and safety practices as well as his own observations.

When planning and conducting an observation, the assessor should:

- use observation as an opportunity to observe practical skills as well as attitudes, underpinning knowledge, key competencies and dimensions of competency
- include a range of work activities
- consider work cycles and situations so that the observation does not interrupt normal routines but still produces reliable evidence
- supplement observation with questioning or an interview, to draw out the way in which underpinning knowledge, key competencies and the dimensions of competency are being applied in practice
- consider other forms of supporting evidence which show how the candidate has prepared or planned for the task
- consider other people in the work environment who can give feedback on performance, such as customers and supervisors
- consider opportunities for conducting observations over time, for example to complete an observation of a whole process or to observe how consistently the candidate performs the same tasks
- share the assessment criteria with the candidate and others
- remember that the candidate might feel nervous while being observed
- use a checklist to focus on the key aspects of the work activity and to record that the candidate has performed all required tasks.

Observation checklists

Checklists are extremely useful tools for structuring observations. They can act as a prompt for the assessor and as a guide for the candidate.

The following example shows how a simple checklist can be used to gather information on a specific work activity. In this case, the checklist is focused on one aspect of the Unit of Competency *CHCA3A Orientation to Aged Care Work* (that is, greeting clients at their home).

Figure 19: Procedural observation checklist

Candidate name:	Anna Simpson		
Assessor name:	June Walters		
Unit of competency:	<i>CHCA3A Orientation to aged care work</i>		
Workplace:	Golden Square Aged Care Services		
Date of assessment:	12 June		
Procedure:	Greeting customers at their home		
During the performance of skills did the candidate:	Yes	No	N/A
• present for work at the appropriate time?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• present for work in a clean and tidy manner?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• greet the client using their preferred name?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• use appropriate non-verbal communication?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• consult the client about the preferred routine for the day?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
The candidate's performance was:	Not Satisfactory <input type="checkbox"/>	Satisfactory <input type="checkbox"/>	
Feedback to candidate			
<p>Demonstrated lack of confidence in communicating with clients, although all procedures covered.</p> <p>Areas of improvement suggested: building relationship with the client, checking the client's understanding, needs or possible problems; feeling more positive and relaxed around the client.</p> <p>Anna admitted feeling nervous today and is OK to keep practising these skills and attitudes.</p> <p>Agreed to a repeat observation in one month's time.</p>			
Candidate's signature:			
Assessor's signature:			

A more complex checklist is illustrated in Figure 20. In this case the checklist identifies a series of 'observation points' for assessing mobile crane operations. This checklist is based on a cluster of units from the Transport and Distribution Training Package.

These are:

- TDTD197A *Shift materials safely*
- TDTE897A *Process workplace documents*
- TDTF197A *Follow occupational health and safety procedures*
- TDTE297A *Conduct housekeeping activities*
- TDTG197A *Work effectively with others*
- TDTI297 *Apply customer service skills.*

The observation checklist is supported by a list of performance questions which are derived from the evidence guides in the six units of competency. These questions focus on the four dimensions of competency, such as contingency management skills (What would you do if you started to feel tired?), job/role environment skills (What are the procedures and policies for housekeeping?) and task management skills (What are your functions when you assist with the setting up and dismantling of mobile cranes?).

Figure 20: Complex observation checklist: TDTD3098A Supervise mobile crane operations

Candidate name:			
Assessor name:			
Units of competency:	<i>TDTD197A Shift materials safely</i> <i>TDTE897A Process workplace documents</i> <i>TDTF197A Follow occupational health and safety procedures</i> <i>TDTF297A Conduct housekeeping activities</i> <i>TDTG197A Work effectively with others</i> <i>TDTI297 Apply customer service skills</i>		
Name of workplace:			
Date of assessment:			
Procedure:	Observation of the candidate in assisting in mobile crane operations, including the setting up and dismantling of the crane, stowing and maintenance of gear, housekeeping of crane and lifting site and assistance in lifting operations.		
During the demonstration of skills, did the candidate:	Yes	No	N/A
• follow OHS procedures related to the operation of a mobile crane under close supervision?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• assist with housekeeping procedures on both the vehicle and the lifting site?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• assist with the setting up and dismantling of the mobile crane?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• assist with the transport and operation of the mobile crane?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• work effectively within the mobile crane team?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• carry out the required calculations accurately?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• apply customer service procedures and policies when dealing with clients?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The candidate's performance was:	Not Satisfactory <input type="checkbox"/>		Satisfactory <input type="checkbox"/>
Feedback to candidate:	----- ----- -----		
Candidate's signature:			
Assessor's signature:			

Figure 21: Questions to support complex observation checklist: TDTD3098A Supervise mobile crane observation

Candidate name:			
Assessor name:			
Units of competency:		<i>TDTD197A Shift materials safely</i> <i>TDTE897A Process workplace documents</i> <i>TDTF197A Follow occupational health and safety procedures</i> <i>TDTF297A Conduct housekeeping activities</i> <i>TDTG197A Work effectively with others</i> <i>TDTI297 Apply customer service skills</i>	
Name of workplace:			
Date of assessment:			
Questions to be answered by the candidate:			Satisfactory response
			Yes No
Q1.	a)	What are the procedures and policies for housekeeping in a mobile crane vehicle depot and lifting site?	<input type="checkbox"/> <input type="checkbox"/>
	b)	What are your responsibilities in applying them?	<input type="checkbox"/> <input type="checkbox"/>
Q2.		What are your functions when you assist with the setting up and dismantling of mobile cranes?	<input type="checkbox"/> <input type="checkbox"/>
Q3.		What would you do if you started to feel tired while you were assisting in the setting up and dismantling of a mobile crane?	<input type="checkbox"/> <input type="checkbox"/>
Q4.		What would you do if you found that the crane or lifting gear was defective or faulty?	<input type="checkbox"/> <input type="checkbox"/>
Q5.		What would you do if a customer complained to you about an aspect of a lifting job on which you were working?	<input type="checkbox"/> <input type="checkbox"/>
The candidate's underpinning knowledge was:		Satisfactory <input type="checkbox"/>	Not Satisfactory <input type="checkbox"/>
Feedback to candidate: ----- ----- -----			
Candidate's signature:			
Assessor's signature:			

Third party reporting

There are some situations in which workplace evidence is required but it is not possible for the assessor to directly observe the candidate at work. For example, the work activities may be at a remote location, involve issues of privacy or confidentiality, only occur rarely or may be conducted at a location where safety is compromised if another person is present.

Situations in which an assessor may not be able to observe the candidate include:

- within the aged care industry, activities such as showering patients cannot be observed directly by the assessor for privacy reasons
- while it may be possible to see a policeman carry out the mechanical operations required to use a gun, it is unlikely that the assessor will be able to observe the officer using the weapon appropriately in real life situations
- in some situations assessments have to be carried out in distance mode because it is not possible for the assessor to visit the workplace to observe the candidate.

In each of these situations, the evidence will need to be collected by an observer or a third party, who may be the aged care patient, the police officer or the work supervisor.

The assessor should select the best person to observe the candidate and prepare materials which help the observer to provide relevant feedback on the candidate's performance that is directly related to the relevant unit(s) of competency.

It is important to remember that the assessment decision is made by the assessor, not the third party observer.

Figure 22 is an example of a checklist that could be used by a team leader who is going to observe a candidate using a lathe as part of the requirements for the Unit of Competency *MEM732AA Use workshop machines for basic operation* from the Metals and Engineering Training Package.

Figure 22: Third party checklist

Candidate's name	Arun Lasa	
Unit of competency	MEM732AA Use workshop machines for basic operations	
Name of observer	Harry Wender	
Observer's role	Team leader	
Date of assessment:	26 th May	
Machine process name	Lathe	
Comments regarding candidate performance		
When using the lathe to complete work tasks, did the candidate:		Observer comments:
Yes	No	(tick the correct response)
<input type="checkbox"/>	<input type="checkbox"/>	follow workplace procedures?
<input type="checkbox"/>	<input type="checkbox"/>	use the appropriate start-up procedures?
<input type="checkbox"/>	<input type="checkbox"/>	operate the lathe in accordance with enterprise procedures?
<input type="checkbox"/>	<input type="checkbox"/>	implement the appropriate shut-down procedures?
<input type="checkbox"/>	<input type="checkbox"/>	check products?
<input type="checkbox"/>	<input type="checkbox"/>	work safely?
<input type="checkbox"/>	<input type="checkbox"/>	explain procedures and operations to other staff members?
<input type="checkbox"/>	<input type="checkbox"/>	work well with other team members?
<input type="checkbox"/>	<input type="checkbox"/>	take correct action if problems occur?
<input type="checkbox"/>	<input type="checkbox"/>	follow instructions, work plans and specifications?
<input type="checkbox"/>	<input type="checkbox"/>	maintain a clean workspace?
<input type="checkbox"/>	<input type="checkbox"/>	keep records of operations?
Observer's signature:		Arun works on the lathe on a regular basis. Follows procedures. Produces good work usually. Has had some problems but can explain what went wrong. Selects tools and machines for the task. Seems to know how to maintain the tools. Keeps space neat and tidy and is pretty organised. All documents are filled out correctly. Gets on well with the team. Sees me if there's a problem. He's learning a lot and should improve quickly.
Candidate's signature:		

Structured activities

There are many situations in which it is not possible to get real work/real time evidence. In these cases, assessors may have to structure evidence gathering activities that can be undertaken in off-the-job settings. Such activities include:

- demonstrations
- simulations
- activity sheets
- projects.

Demonstration

For logistical reasons such as safety, expense or time, it is not always possible for assessors to observe a process during real work time. Therefore, it may be necessary for the candidate to demonstrate the process at another time or location. For example, it may not be possible for the candidate to demonstrate machine shutdown procedures during normal work hours. So the assessor may ask the candidate to demonstrate this skill out of working hours or at another site, such as an RTO, using similar machinery.

Demonstrations can be used in a wide range of situations, such as:

- showing how to use specific functions of a computer package
- showing safe lifting procedures for different types of loads
- showing how to use a chainsaw in a range of situations
- giving a verbal presentation to a group.

In planning and implementing a demonstration the assessor should:

- check that the demonstration complies with the information in the Training Package, including the elements and performance criteria, range statement and evidence guide
- equipment used is safe and reflects the type of equipment currently used in the industry
- conduct the demonstration at a site which reflects conditions in the workplace
- set realistic expectations, for example, time limits and quality specifications
- use materials and applications that are relevant to the workplace and the unit of competency

- use a checklist to help focus on key aspects of the work activity or skill and record that the candidate has performed all required tasks
- set various activities that assess a range of applications
- ask the candidate questions to check underpinning knowledge, as well as contingency management, task management and job/role environment skills
- ensure that the equipment works prior to conducting the demonstration
- ensure that all required materials are available to the candidate.

As indicated in Figure 23, the materials required to support a demonstration activity are:

- instructions for the candidate and the assessor
- an observation checklist
- a set of questions based on the underpinning knowledge and dimensions of competency.

Figure 23: Guide for developing a complex demonstration checklist

Notes for the assessor

The checklist should be designed to collect key information on:

- *the candidate*
- *the assessor*
- *the assessment context*
- *the relevant unit(s) of competency.*

The checklist should incorporate clear instructions for the candidate on:

- *the nature of the task to be performed*
- *required materials and equipment.*

The checklist should identify the performance to be observed. In this case these are based on the elements and performance criteria in *MEM515AA Weld using manual metal arc welding process.*

During the demonstration the assessor should:

- *ensure candidate has all the conditions and resources needed*
- *record observations immediately*
- *leave decision making until after observations are complete*
- *make the demonstration as realistic as possible*
- *give the candidates an opportunity to practice the task prior to assessment.*

Candidate name:			
Assessor name:			
Unit of competency:	<i>MEM515AA Weld using manual metal arc welding process</i>		
Training Package:	Metal and Engineering Industry		
Workplace:	Workshop 2		
Date of assessment:	3/10/02		
Time of assessment:	4pm - 5pm		
Instructions for demonstration			
<ul style="list-style-type: none"> • You will be asked to perform a number of fabrication jobs according to the job specifications, using: <ul style="list-style-type: none"> ▪ carbon steel ▪ stainless steel. • Weld procedures will include amperage setting, earthing, electrode flux setting. • The assessment will cover all of the parts of the process from interpreting the specifications, selecting materials and equipment, using the equipment, checking your work. • You will be asked questions to check your knowledge. • You will be assessed against the following checklist. 			
Materials and equipment			
All equipment and materials required will be provided by the assessor.			
Observation			
During the demonstration of skills, did the candidate:	Yes	No	N/A
• prepare materials for welding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• select welding machine settings and electrodes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• assemble and set up welding equipment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• identify distortion prevention measures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• weld materials by the correct process to quality described in <i>AS1554 General purpose</i> or equivalent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• inspect welds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• correct faults?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The candidate's demonstration was:			
Satisfactory <input type="checkbox"/> Not Satisfactory <input type="checkbox"/>			

Figure 23: Guide for developing a complex demonstration checklist (continued)

Oral questions should be based on the underpinning knowledge identified in the evidence guide.

Some hints on questioning:

- *make the questions formal and structured – this ensures reliability when assessing more than one candidate*
- *show the questions to the candidates (or provide general information about the nature of the questions) to help their understanding of the question*
- *be flexible with candidates who have the understanding but inadequate language skills to express themselves*
- *use ‘open’ questions, rather than seeking a simple yes/no*
- *record the answers*
- *make up a list of acceptable responses to all questions to ensure reliability of assessments.*

The candidate should answer the following questions:		Satisfactory response	
		Yes	No
1.	How do you ensure safe working practices at all times?	<input type="checkbox"/>	<input type="checkbox"/>
2.	What are Standard Operating Procedures?	<input type="checkbox"/>	<input type="checkbox"/>
3.	What is the appropriate Australian Standard for general purpose welding?	<input type="checkbox"/>	<input type="checkbox"/>
4.	Why are test runs conducted when setting up welding equipment?	<input type="checkbox"/>	<input type="checkbox"/>
5.	What are the key stages involved in preparing materials for a general purpose welding task?	<input type="checkbox"/>	<input type="checkbox"/>
6.	What is the appropriate Australian Standard for general purpose welding?	<input type="checkbox"/>	<input type="checkbox"/>
The candidate’s underpinning knowledge was: Satisfactory <input type="checkbox"/> Not Satisfactory <input type="checkbox"/>			
Feedback to candidate: _____ _____ _____ _____ _____			
The candidate’s overall performance was: Satisfactory <input type="checkbox"/> Not Satisfactory <input type="checkbox"/>			
Candidate signature:			
Assessor signature:			

Simulations

Simulation is a form of evidence gathering that involves the candidate in completing or dealing with a task, activity or problem in an off-the-job situation that replicates the workplace context. Simulations vary from recreating realistic workplace situations such as in the use of flight simulators, through the creation of role-plays based on workplace scenarios to the reconstruction of a business situation on a spreadsheet.

In developing simulations, the emphasis is not so much on reproducing the external circumstance but on creating situations in which the candidate can demonstrate:

- technical skills
- underpinning knowledge
- generic skills such as decision making and problem solving
- workplace practices such as effective communication and compliance with occupational health and safety procedures.

Examples of simulation include:

- demonstrating problem solving and troubleshooting with a computer system that has been specially configured to generate faults, for assessing information technology skills
- demonstrating interaction with children at a college creche for holistic assessment activities in children's services
- demonstrating practical techniques and customer service at a workplace function for assessing hospitality candidates
- demonstrating cardiac pulmonary resuscitation (CPR) in an assessment for a first aid course
- demonstrating survival at sea strategies, as part of an assessment of competencies within the maritime sector
- demonstrating the application of a disaster plan in a simulated disaster area, for example a flooded museum
- demonstrating rescue strategies from a fire as part of fire brigade training.

Materials that support a simulation

The materials required to support a simulation may include:

- a scenario describing the situation
- role cards
- instructions for the assessor, including:
 - the steps involved in preparing the activity
 - the procedure for conducting the activity
 - the materials required to conduct the activity
 - a strategy for debriefing the candidate
- instructions for the candidate
- an observation checklist to use in assessing the candidate's performance during the simulation.

Developing a simulation

When appropriately designed and implemented, simulation is an effective form of evidence gathering. It is particularly suited to situations in which the candidate is being assessed against unit(s) of competency that focus on aspects of work that:

- are difficult or costly to create in workplace situations, eg shut down or servicing of plant and machinery that must remain in production
- cannot be reproduced in the workplace due to the lack of specific plant, equipment or facilities, eg a skills bay is used in assessing specific welding skills
- pose a risk to personal and public safety, eg a health and safety emergency situation
- are of a personal or confidential nature and as such may not be able to be directly identified in the workplace, eg dealing with the personal health and welfare of clients
- are performed in a wide variety of circumstances that may not be able to be reproduced in the workplace, eg tasks that are conducted in widely varying environments such as sailing a vessel in different weather conditions
- occur on a seasonal basis or at intervals which make direct observation in the workplace difficult to organise, eg performing a seasonal work function
- are carried out over an extended period of time, eg managing a long-term construction project.

The following example illustrates a simple simulation involving the clean up of hazardous spills. This activity was designed for assessing a cluster of elements from the Unit of Competency *AUM9001 Monitor and maintain workplace environment* in the Automotive Industry Manufacturing Training Package.

Figure 24: A simulation

Hazardous spill response simulation

Unit of competency

This activity is based on the following elements from the Unit of Competency *AUM9001 Monitor and maintain workplace environment* from the Certificate II in Automotive Manufacture:

AUM9001A.2 Use appropriate personnel protective equipment

AUM9001A.4 Take appropriate action to deal with hazards and potential hazards in the workplace

AUM9001A.5 Complete incident investigation reports as/when required

AUM9001A.6 Follow emergency procedures

Scenario

Working in a team situation, candidates are to demonstrate the safe procedure for cleaning up a small hazardous spill.

Instructions to the assessor

Location: This exercise is to be carried out in an area designated for the simulation.

Resources required:

- 1 - Spill response kit
- 1 - 20 litre drum about half full of water (contents labelled as a detergent)
- 1 - 200 litre drum (unmarked, for clean up waste container)
- 1 - 'Hazardous waste' label
- 1 - MSDS for the particular detergent
- 1 - Marker pen
- 2 - Sets of appropriate personal protection equipment (PPE) (face shield, rubber boots, gloves, apron).

Procedure to follow:

1. Explain the purpose of the simulation and remind candidates of the assessment criteria.
2. Outline the scenario to the candidates.
3. Instruct the 'clean up crew' to put on the appropriate PPE.
4. When ready, spill the 'detergent' by tipping the drum on its side and removing the small screw-on lid.
5. Start with the first two steps of the procedure: 'What to do ...' and 'Initial action ...'
6. Use the checklist for 'Correct procedure'.
7. When the simulation has finished, restore the area and resources, ready for the next simulation.

Figure 25: Simulation checklist: hazardous spill response

Candidate name:			
Assessor name:			
Elements/unit(s) of competency:			
Name of workplace:			
Date of assessment:			
During the simulations, did the candidate:	Yes	No	N/A
• determine the source and stop the flow of the liquid?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• contain the spill?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• check safety precautions on the relevant Material Safety Data Sheet?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• wear appropriate personal protection equipment (PPE)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• cover the spill with absorbent and allow time to soak?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• place contaminated absorbent in a drum or plastic bag?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• mop area and tip liquid into the drum or bag with contaminated absorbent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• dispose of waste via the established procedure?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• complete an Environmental Incident Investigation Report?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• work effectively in a team situation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• demonstrate appropriate communication skills?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• carry out the required tasks in the correct sequence?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The candidate's performance was:	Not Satisfactory <input type="checkbox"/>	Satisfactory <input type="checkbox"/>	
Feedback to candidate: ----- ----- -----			
Candidate's signature:			
Assessor's signature:			

Activity sheets

Activity sheets are structured exercises that usually involve the candidate completing tasks based on a specific piece or collection of pieces of information. For example, an activity sheet may comprise:

- a case study with associated questions
- a technical diagram, chart or sketch which is used in solving a number of specified problems
- a scenario with a series of related questions to be answered or activities to be conducted.

Activity sheets may be used to assess underpinning skills and knowledge, problem solving and decision making skills, or the candidate's capacity to transfer skills to different situations.

Activity sheets need to be realistic, reflect workplace situations and cover the requirements of the relevant unit of competency.

How to design activity sheets

In designing activity sheets assessors should:

- identify the required evidence
- select a case study/scenario or set of information that reflects the required evidence
- design questions or activities based on the case study, scenario or other information that requires the candidate to demonstrate the required skills and knowledge
- ensure that the case study, scenario or other information and the associated tasks are relevant to the candidate's work
- incorporate questions and activities that provide evidence of the candidate applying the key competencies and dimensions of competency
- ensure that the questions and activities do not require higher basic skills than the unit of competency
- consider the other types of evidence that could be gathered
- consider how the activity might be debriefed and related to real workplace activities.

Figure 26 shows an activity sheet that is based on a case study. It is from the Museum Training Package Learner's Guide for *CULMS304A Protect the collection* and relates to the performance criteria *Environmental conditions are monitored at regular intervals*.

In this example, note that:

- the case study is written in a way that is easy for the candidate to understand
- there is a lot of white space so that the story is not overwhelming
- the questions are direct and relate to the case study (the questions do not test comprehension of the story, the candidate is required to apply knowledge to a problem and to come up with a solution)
- the directions for the operating procedure are specific so that the candidate knows exactly what is expected.

Figure 26: A case study

Belinda is one of three staff at a small museum in country South Australia. The museum is a historic house with several outbuildings on the property. Although it is small, the museum does get a number of visitors as it is in a very popular wine-growing region.

Belinda and the staff work as a team and are overseen by a management committee which is made up of local people who are interested in the future of the house.

Nobody at the house monitors the environmental conditions, although periodic inspections are undertaken to check the objects and the house itself. The staff have attended a workshop on basic conservation run by Museums Australia and have applied some new techniques to their work.

Belinda notices some damage to furnishings that has been caused by an insect of some sort. She contacts the relevant committee member and they decide to ask a consultant conservation expert to visit the museum and evaluate a number of issues.

Among a range of procedures to be implemented, the conservator suggests an environmental monitoring system be organised.

Responses to the scenario

1. What environmental monitoring system would you recommend for the museum?
2. Write a procedure that the staff could follow to reliably monitor the environment. Make sure the procedure covers:
 - equipment needed
 - timing of checks
 - location of checks
 - recording of conditions
 - procedures for checking objects.

Questioning

Questioning is an evidence gathering technique that is widely used in competency based assessment. Questions may be asked orally or in a written format. Answers to questions provide evidence of underpinning knowledge, application of skills and the capacity of the candidate to transfer knowledge and skill to different contexts.

Questioning may be used to determine:

- why the candidate does particular activities or tasks at work
- the candidate's responsibilities at work
- the candidate's understanding of legislative and safety requirements that impact on activities or tasks at work
- the candidate's understanding of workplace procedures
- whether the candidate is able to transfer skills to other contexts and situations
- what the candidate would do if something different or unusual happened or if something went wrong.

Oral questioning

Oral questioning involves the assessor asking the candidate a number of questions about real, simulated or hypothetical situations. The questions may be preset. Alternatively, assessors may develop their own set of questions to suit the context of the assessment and the requirements of the Training Package.

Oral questioning complements real time/real work observations and structured activities as it provides a means of probing the candidate's understanding of the work. Oral questioning:

- is a valuable tool for collecting evidence of underpinning knowledge and its application across a wide range of contexts
- can be used where written questioning might not be appropriate due to literacy and language problems (in particular, to confirm the candidate's understanding of the question and to probe for further information if the candidate's response is not sufficient)
- can be standardised to enhance validity and reliability
- provides immediate information about the candidate's knowledge and understanding to assist in determining what other evidence may need to be collected.

Question types

There are two basic types of questions that an assessor can ask. These are:

- closed questions
- open-ended questions.

Closed questions

Closed questions require a specific response such as the name of an item, a yes/no answer, a date or title. For example:

- What colour is used to signify a positive in electrical wiring?
- When was this product last used?
- What are the four types of fuel used in this workplace?
- Who would you ask first if you needed further information?
- How long will the fish stock take to cook?
- What type of bolt would you use to attach X?
- Is part A the correct part for this job?

Closed questions are used to find out if the candidate has specific factual information that is required in the unit(s) of competency. They are used in situations where only one answer is correct. When used on their own, closed questions have limited application as they do not easily provide information on all of the dimensions of competency or the application of underpinning knowledge. Closed questions need to be asked in conjunction with open-ended questions to obtain sufficient information for the assessor to determine the candidate's competence.

Open-ended questions

Open-ended questions are used when a more detailed response from the candidate is required. They often involve problem solving, interpretation and the application of knowledge and skill to new situations. Open-ended questions can be used to:

- extend on what has been observed in similar but different situations or in using other equipment or procedures
- probe the candidate's underpinning knowledge and understanding - that is, the what, when, where, why and how of what the candidate is doing

- explore contingency situations such as emergencies, breakdowns and unusual situations that are not likely to occur during the period of observation
- check on critical safety knowledge and understanding needed for the activity
- check how the candidate would respond in situations that occur rarely such as an emergency, breakdown or unusual weather conditions
- probe knowledge and understanding of relevant regulations and procedures.

Some examples of these types of questions are provided below.

Extension questions

- What would you do if ... ? (a similar but different situation)
- What if you were using ... instead of ... ? (alternative equipment/procedures etc)

Contingency questions

- What would you do in the event of ...? (accident or emergency)
- What would you do if ... ? (equipment broke down or something malfunctioned)
- What would you do if ... (complaint was made or conflict occurred)
- How do you avoid ... ? (preventative safety measure)

Safety questions

- What precautions must you take when ... ?
- What safety equipment and clothing should you use when ... ?
- Why shouldn't you ... ? (procedure or activity that is not permitted)
- What would you do if ... ? (dangerous situation)
- How do you avoid ... ? (preventative safety measure)

Questions on infrequent activities

- What would you do if ...? (rarely occurring but critical situation)
- If ... happened, what action would you take?

Questions on regulations and procedures

- What are the regulations in respect of ... ?
- What are the specified procedures or steps to ... ?
- What checks are required by the manufacturer to ... ?
- What is the regulation that covers ... ? (situation or activity)
- What are the organisational regulations that apply when ... happens?

Although questioning is a valuable tool for collecting evidence, assessors need to be aware that the correct questioning techniques need to be used to avoid asking leading questions, mistakenly answering questions or giving clues to the required responses. Assessors also need to be aware that some candidates may not be able to visualise or conceptualise hypothetical situations and that questioning may favour those with good communication skills. To ensure that oral questioning is effective, the questions need to be well planned and structured. The following tips will provide assessors with guidelines for structuring and asking questions.

Hints for effective questioning

The assessor should:

- keep questions short and focused on one key concept
- ensure that questions are formal and structured
- test the questions to check that they are not ambiguous
- use open-ended questions such as 'what if...?' and 'why...?', rather than closed questions
- keep questions clear and straightforward and ask one at a time
- link the questions to work experience
- use words that the candidate will understand
- look at the candidate when asking questions
- ensure that the candidate understands the questions
- ask the candidate to clarify an answer if the assessor does not understand the response
- confirm the response by saying the answer back in the candidate's own words
- document responses on a checklist or recording sheet
- time questions so that the candidate is not interrupted while carrying out a task that requires full concentration

- encourage a conversational approach when appropriate, to put the candidate at ease and also to make the questioning flow with the task
- use questions or statements as prompts for keeping focused on the purpose of the questions and the kind of evidence being collected
- keep questions flexible and adjust language to a suitable level
- listen carefully to the answers for opportunities to find unexpected evidence
- follow up responses with further questions, if useful, to draw out more evidence or to make links between knowledge areas
- make up a list of acceptable responses to ensure reliability of assessments.

Assessors should avoid:

- asking two questions in one, for example: 'What are the two methods of whipping cream and what ingredients do you need for each?' Instead ask:
 - 'What are the two methods for whipping cream?'
 - 'What ingredients do you need for the first method?'
- asking leading questions in which the expected answer is implied, for example:
 - 'You would check for damage before packing the items, wouldn't you?'Instead ask:
 - 'What precautions would you take before packing cartons?'
- asking long-winded, complicated questions, for example:
 - 'You are driving your vehicle. You are approaching a busy intersection. You are in top gear and your right indicator is flashing. There are three vehicles approaching from the right. It is late in the evening and it is raining. You turn into the right lane and apply the brakes, but get no response. What do you have to consider when making a decision as to what to do?'
- instead give the candidate:
 - a scenario to read rather than asking a question
 - break the scenario into a series of shorter questions.
- asking double negative questions, for example: 'It wouldn't be incorrect to follow that procedure, would it?' Instead ask:
 - 'What is the correct procedure to follow in this situation?'

- asking trick questions for example: ‘When is it safe to tip hazardous waste down storm water drains?’ Instead ask:
 - ‘How would you dispose of hazardous waste?’

- asking the candidate to outline knowledge of a topic without giving a guide of how much information is needed, for example: ‘Outline the health and safety issues that you may need to consider for adults when designing an environment for children’. Instead try:
 - ‘List three key health and safety issues you would need to consider when designing an environment for children.’

- inadvertently help the candidate to give a correct by prompting, giving the candidate the answers, or by giving cues through the use of body language such as a smile, a nod or a wink.
 - Assessor: ‘What type of thickening agent would you use?’ Candidate ‘... ..er’
 - Assessor: ‘You'd use flour wouldn't you?’ Candidate: ‘... . er ... yes!’.

Recording responses

It is important for the assessor to have a record of the questions asked and an indication of the suitability of the responses given by the candidate. If the candidate’s response is insufficient the assessor should record why on the recording sheet or checklist. This provides information that can be used later, if necessary, to explain to the candidate where skills and/or underpinning knowledge need to be developed to achieve the required competence.

The following is a sample sheet for recording questions asked during an assessment. Figure 27 sets out the key components of the record sheet, while Figure 28 provides an example of how the sheet might be used by an assessor. In the latter case, the record sheet provides questions that might be used in assessing the Unit of Competency *CHCAC3A Orientation to aged care work*.

Figure 28: Sample completed recording sheet for oral questioning (continued)

Oral/interview questions			
Candidate name:	Jenny Ngo		
Unit(s):	CHCAC3A Orientation to aged care work		
Element 2:	Demonstrate commitment to quality care for aged people		
Performance criteria:	2.3 Legal responsibilities and duty of care are complied with		
Workplace or RTO:	Pennyroyal Centre		
Conditions:	Questions following observation at workplace		
Oral/interview questions		Satisfactory response	
		Yes	No
Q1. What does duty of care mean?		<input type="checkbox"/>	<input type="checkbox"/>
Q2. Who do you have a duty of care to?		<input type="checkbox"/>	<input type="checkbox"/>
Q3. What does duty of care mean to you in this centre?		<input type="checkbox"/>	<input type="checkbox"/>
Q4. What actions have you taken over the last week that indicate that you have shown duty of care?		<input type="checkbox"/>	<input type="checkbox"/>
Q5. Give me an example of an action that could occur in this centre that you think would not show that appropriate duty of care has been taken.		<input type="checkbox"/>	<input type="checkbox"/>
Q6. What would you do if you saw that action occurring at this centre?		<input type="checkbox"/>	<input type="checkbox"/>
The candidate's underpinning knowledge was:			
Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/>			
Signed by the assessor:.....			
Date:			
Feedback to candidate:			
Acceptable answers are:			
Q1: Taking steps to reduce the possibility of risk or harm to a person without taking away the person's right to make an informed decision.			
Q2: Customers, self, co-workers, others around you at work, other service providers.			
Q3:			
Q4:			
Q5:			
Q6:			

Questions on regulations and procedures

Application of underpinning knowledge

Extension/probing question

Contingency question

Written questions

Written questions can be useful for assessing underpinning knowledge and for supplementing evidence gathered through real time/real work and structured activities.

Written questions can be asked under test situations or as part of a structured activity.

Assessors need to be aware of the benefits and limitations of using written questions.

Written questions:

- are a valuable tool where knowledge forms a key element of competent performance
- must be well structured to elicit key areas of knowledge and understanding
- can be cost and time effective, particularly when:
 - used with large groups
 - completed in remote locations or away from the workplace
 - used to standardise the assessment process.

However, there are challenges the assessor needs to consider when deciding to use written questions. The use of written questions may:

- be unfair as it relies on a level of literacy and comprehension which may be beyond the level of the unit of competency (such as writing and language skills necessary to construct coherent responses)
- measure knowledge but cannot confirm the ability to apply that knowledge
- be selected because of administrative convenience or economic efficiency rather than usefulness as a valid source of evidence
- be poorly structured or allow the margin of error/guessing (through multiple choice/true-false questions) so high that it distorts results and the validity of the outcomes.

Question types

There are two general types of question formats used for written questions. These are:

- selected-response questions where the candidate chooses the correct answer, for example:
 - true/false
 - multiple choice
 - matching questions
- constructed-response questions where the candidate provides the answer, for example:
 - completion questions/fill in the gaps
 - short answer questions
 - extended response/short report questions.

Selected-response questions

Multiple choice

Multiple choice questions require the candidate to select a correct response from a number of given responses. These questions include a 'stem' and a number of possible 'options'. For example:

The best item to use when cleaning an overhead projector lens is:

- warm soapy water
- warm water only
- a solvent
- a dry tissue.

The stem is either a question with grammatically correct options or a statement (or part sentence) with grammatically correct completions as options. Multiple choice questions can ask for the right answer, the best answer or for a sentence to be completed.

Advantages:

Multiple choice questions:

- are very effective for testing knowledge and the application of knowledge
- are versatile and can be used in a number of situations
- require a minimum of writing for the candidate
- reduce the opportunity for guessing
- can cover a broad range of information and knowledge.

Limitations:

Multiple choice questions:

- are hard to construct (difficult to think up realistic options).

Hints for developing multiple choice questions

The assessor should:

- present a single, clearly formulated problem
- write the stem in clear, easy to use language
- make sure the distracters/options are plausible and grammatically correct
- present alternatives in a logical manner on separate lines
- place correct answers at random
- make each question independent of other questions
- make sure that a candidate who knows the answer could answer the question before reading the alternatives
- use more than three alternatives (four is best).

The assessor should not:

- use 'all of the above' or 'none of the above' because the candidate can guess based on knowing one answer even if there is uncertainty about the others
- use double negatives
- use the same responses in more than one answer because it is confusing and decreases the discrimination of those who know the answer.

The following is an example of a **poorly** constructed multiple choice question.

When spraying chemicals what do you have to wear?

- a) gloves and goggles
- b) boots and goggles
- c) mask and helmet
- d) mask and goggles
- e) all of the above.

As the same items occur in more than one option the candidate is able to eliminate plausible options and is left with the answer 'e' all of the above.

True/false questions

True/false questions ask the candidate to confirm or deny a statement by circling true or false. They are good for testing factual knowledge, for example:

A well adjusted type AAA engine has an engine idle speed of between 700 and 900 RPMs.

True or False.

This is a factual statement and is either right or wrong (true or false). The following statement is debatable and based on judgement and is therefore a poor true/false question.

Most economists agree that databases are the best way to present reports.

True or False.

Benefits

True/false questions:

- test a large amount of material in a short time and are easy to assess.

Limitations:

True/false questions:

- give the candidate a 50-50 chance of getting the right answer
- test facts, not the application of facts
- are not always easy to write (poorly phrased questions can confuse the candidate)
- may only test trivia.

Hints for developing true/false questions

The assessor should:

- use only one central idea in each item
- use exact language.

The assessor should not:

- use double negatives
- use long/complex sentences
- use overly specific terms such as never, only, all, none, always, might
- ask about unimportant or trivial information.

Matching questions

Matching questions ask the candidate to match one set of information with corresponding information in another set of information. For example:

Column A contains a list electrical units of measurement. For each unit of measurement select the correct definition from Column B.

Column A	Column B
1. Ampere	a. unit of electromotive force
2. Watt	b. base unit of electrical current
3. Volt	c. unit of power

Matching questions have the same limitations and benefits of multiple choice questions. They are often used to match terms with definitions, phrases with other phrases, causes with effects, parts with larger units and problems with solutions.

Advantages:

Matching questions:

- are valuable in content areas where there are a lot of facts
- can cover a lot of information in one question
- are good for discriminating between items.

Limitations:

Matching questions:

- need instructions carefully and clearly worded
- can be difficult to construct.

How to develop matching questions

The assessor should:

- give clear directions for matching
- make all options to be matched plausible and relevant
- put responses in a logical order, for example alphabetical or chronological
- include more than the required number of options to be matched to reduce the incidence of guessing.

Constructed response questions

Constructed response questions are suited to situations where the candidate has to describe, explain, analyse or evaluate.

The table below highlights the differences between selected and constructed response questions.

Selected response question	Constructed response question
Time consuming for the assessor to write	Comparatively easy for the assessor to write
Quick to answer for the candidate	Takes the candidate more time to complete
Quick to assess and mark	Takes the assessor longer to assess and mark

Completion question/fill the gaps

Completion questions focus on one or two word answers. They are useful for the recall of information, without the cues provided in multiple choice or matching questions. For example:

_____ is the name of a small food portion of one or two bites, which is served at the commencement of a meal.

Advantages:

Completion questions:

- can cover a lot of factual information
- can be used pictorially (to label diagrams/pictures).

Limitations:

Completion questions:

- can be difficult to construct
- may test reading comprehension rather than underpinning knowledge.

Hints for developing completion question/fill the gaps

- Do not just copy a sentence of text and leave a key word out.
- The statement should pose a specific problem so that the answer is specific and factual.
- If a blank is used, it should represent a key word.

Short answer questions

Short answer questions concentrate on a single issue or concept and require the candidate to write a brief response to the question. These questions usually start with 'who', 'what', 'where', 'when' and 'how'. For example:

What safety equipment would you wear if you were spraying chemicals?

Advantages:

Short answer questions:

- are easy to construct
- minimise the opportunity for guessing
- assess that the candidate can recall the correct information rather than just recognise it.

Limitations:

Short answer questions:

- can emphasise the recalling rather than the application of information
- are harder to correct than selected response questions and require the assessor to develop a list of acceptable answers
- assume that the candidate has a set level of language and literacy skills.

Hints for developing short answer questions

The assessor should:

- use direct questions
- phrase the question so that the candidate is given guidance to the scope of the required response
- use language familiar to the candidate
- leave sufficient space for writing answers.

Extended response/short report questions

Extended response/short report questions give the candidate an opportunity to communicate ideas in writing and to demonstrate the extent of the candidate's knowledge of a topic or issue. These questions are useful for assessing cognitive skills such as comparison, analysis and synthesis. For example:

Write a short report (approximately 1000 words) to describe how conservation principles are applied in your museum. List the principles, explain each and find an example of how it is applied.

This type of question should relate directly to the unit of competency. It is important that the language and literacy skills required do not exceed the level required by the unit of competency.

Advantages:

Extended response questions:

- assess the application of knowledge
- are easy to design
- allow the candidate to be creative and to distinguish different levels of performance.

Limitations:

Extended response questions:

- can be hard to assess (a marking guide is usually needed)
- can be irrelevant to the workplace
- can be a test of skills other than those in the unit of competency (for example research, layout and writing).

Hints for developing extended response/short report questions

The assessor should:

- provide reasonable time limits for writing and thinking
- give the candidate a tangible task to achieve (such as describe, compare, evaluate)
- give clear instructions with an example of what is expected
- develop a checklist of acceptable responses/criteria to use when assessing responses.

Assessing written questions

An assessment guide, containing acceptable responses to questions, should be developed for all written questions given to the candidate, whether the questions are set under test conditions or not. It is good practice to write the expected response(s) to a question as the question is being written. Developing responses to questions helps to ensure that the answers are assessed objectively and consistently, increasing the reliability and validity of the assessment.

Sample written questions

Figure 29 is an example of a set of written questions used to assess knowledge of manual handling risks. In this example, note that:

- both selected and constructed response questions are used
- some questions minimise the amount of writing a candidate needs to do (recall of facts)
- other questions ask for longer responses to allow the candidate the opportunity to demonstrate knowledge of the topic (probing and contingency questions)
- an explanation of risk is provided in question 2 so that the candidate understands what is expected
- a diagram is used and the labels provided so that it is not a test of spelling or recall
- some questions require the candidate to apply knowledge to the workplace situation.

Figure 29: Written questions

1. Which of the following aspects of your job involve manual handling hazards.
Tick (✓) Yes or No for each.

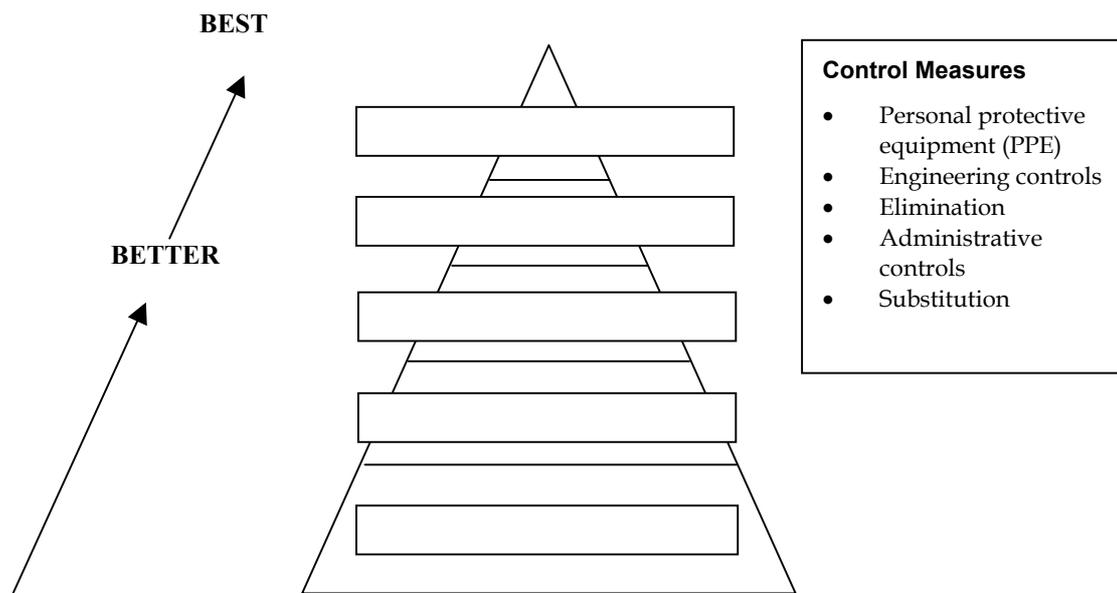
		YES	NO
a)	Performing work tasks	<input type="checkbox"/>	<input type="checkbox"/>
b)	Operating machinery, equipment and tools	<input type="checkbox"/>	<input type="checkbox"/>
c)	Using chemicals and cleaning agents	<input type="checkbox"/>	<input type="checkbox"/>
d)	General duties such as housekeeping	<input type="checkbox"/>	<input type="checkbox"/>

2. When we talk about 'risk' we mean how likely it is that a particular hazard will cause an injury. Give two examples of manual handling risks in your workplace:

Example 1: _____

Example 2: _____

3. a) Write the 'control measures' used for manual handling risks, in the correct order, in the graphic of the 'hierarchy of control' below.



b) Why is the control measure that is at the top of the 'hierarchy of control' the best control measure for manual handling risks?

4. In practical terms, risk control for manual handling is usually best carried out by a combination of which three options? One is provided, list the other two:

- Job re-design
-
-

5. Give one example of a procedure or regulation used in your workplace that aims to reduce the risk of a manual handling injury.

6. Give one example of personal protective equipment (PPE) used in your workplace and the possible manual handling injury that it aims to prevent.

Personal protective equipment (PPE) _____

Possible manual handling injury _____

7. a) Describe the greatest manual handling risk in your section of the workplace.

b) Explain two actions that it might be possible to take to eliminate this risk.

8. Explain the action you would take if a worker in your area had a serious manual handling accident.

Work related projects

A work related project can be a good way to assess work activities over a period of time. A project will usually require the candidate to perform a number of different tasks or activities around one theme.

Examples of work related projects are:

- writing a workplace document, for example an induction manual, a policy or a procedure
- solving a work based problem, such as how to rearrange an office to improve work flow
- researching information, for example finding out about workplace procedures, processes, products or legislation
- writing progress reports, for example reports of research, interviews or stages in a process
- conducting a verbal presentation, for example doing a presentation of research or a proposal, or conducting a training session
- designing and producing a product, for example a merchandise stall or a tool for metal work.

How to design a project

In designing a work-related project, the assessor should:

- identify a relevant workplace activity that is based on the unit(s) of competency to be assessed
- identify the required end product, such as a model, report, presentation or a service
- identify the steps needed to complete the task or make the product
- develop a realistic time frame for achieving the end product
- identify feedback points
- prepare a set of clear instructions for the candidate
- provide the criteria against which the candidate will be assessed.

Figure 30 provides an example of a project designed for candidates working in the children's services industry. It involves the establishment of a physical environment for a group of infants. This project outline includes the following information:

- the units of competency and elements to be assessed
- instructions for the candidate
- resources that the candidate can use
- expectations of performance
- how the evidence will be gathered
- the time frame for the project.

Figure 30: A workplace project

Project instructions

This project will allow you to demonstrate competency for the first two elements of the Unit: of Competency *CHCPR2A Organise experiences for children*

- Establish a stimulating and positive environment
- Encourage children's involvement in experiences.

How to prepare

In consultation with your supervisor, assist in setting up the physical environment for a group of children in age groups: 0-2, 3-5 OR 6-12. This should remain set up for one week.

You will have to consider the placement of furniture and equipment, the accessibility of toys and play materials, visual stimulation, lighting, ventilation and other relevant factors.

Readings that can help you with this project are:

- Introduction to Play and Leisure, Units 2 and 3
- Play and Development, Units 4 and 5.

How to perform

Your environment, as well as your interactions with the children, must show that you can organise experiences for children that are safe, stimulating and positive and that encourage the children to be involved in experiences.

This project enables you to demonstrate your understanding of the issues and procedures as well as your practical skills on-the-job.

Evidence gathering

1. Self-assessment

At the end of the week, evaluate the environment you have set up by answering the following questions:

- Is the environment safe?
- Is the environment non-threatening?
- Is the environment stimulating?
- Is the environment challenging?
- Is the range of experiences sufficient for the child to make choices?
- Did your interactions with children support children's play?

You should provide examples that illustrate your answers.

2. Observation

Your work for this project will also be observed over the week by your supervisor.

Portfolios

What is a portfolio?

A portfolio contains individual pieces of evidence demonstrating work outputs that have been collected by the candidate. The items are usually produced over a period of time and come from different sources. A well-constructed portfolio incorporates a selection of evidence that is clearly benchmarked against the relevant unit(s) of competency and indicates consistent performance of work activities in accordance with workplace standards.

As indicated below, portfolios may be organised and presented in a variety of forms:

A design portfolio. A graphic designer put together a portfolio including a range of materials to illustrate design processes and technical skills developed over a period of time. It comprised samples of work completed including brochures, invitations and logos.

A recognition portfolio. A candidate seeking recognition as a frontline manager presented a portfolio of documents relating to management, such as reports, letters and policies, meeting agendas and minutes, as well as copies of qualifications and references.

A learning activity portfolio. A New Apprentice kept a portfolio of learning activities which included examples of work completed on-the-job, such as copies of tickets designed, returns documentation filled out and activity sheets.

Portfolio evidence

Portfolios can include a wide variety of evidence. In many cases evidence will come from the candidate's day to day work. However, the portfolio can also include evidence from other work situations, previously certificated learning and other activities such as recreational pursuits. This evidence may derive from either current performance or past achievements.

The evidence presented in a portfolio must be **valid**. That is, it must relate to the elements, performance criteria, range statement and evidence guide of the relevant unit(s) of competency. It must be **sufficient** and **current**, demonstrating that the candidate is competent across the full range of activities described in the relevant unit(s).

Oral evidence from the candidate that is likely to contribute to the assessment process and the assessor's records of assessment results from tests, observations and interviews may also be included in the portfolio.

Figure 31 provides a breakdown of the different forms of evidence that might be included in a portfolio.

Figure 31: Portfolio materials

Form of evidence	Application
Self-assessment schedule	Allows the candidate to rate own performance against the requirements of the relevant unit(s) of competency.
Official transcripts, qualifications, Statements of Attainment, certificates	Provides evidence of prior education or training completed on- or off-the-job.
Assessment feedback or completed checklists	Provides evidence of on-the-job performance, observers' comments and future action as a result of assessment.
Written statements or references	Provides evidence of the candidate's job performance, responsibilities, achievements and skills levels.
Job descriptions	Provides evidence of prior work experience.
Work journals	Provides evidence of tasks, activities or other achievements accomplished by the candidate in the course of days or weeks at the workplace or in a community/volunteer role.
Work samples, for example reports, letters, designs	Provides evidence of the candidate's ability to do part or whole of work tasks or processes.
Finished products, for example tools completed	Provides evidence of candidate's ability to produce a product or service.
Product descriptions or specifications	Provides evidence that the candidate is aware of the inputs, outputs or standards required to produce a product or provide a service.
Statutory declarations	Provides evidence that work samples are the candidate's own work.

Portfolios may contain both direct and indirect evidence. A portfolio may include work samples produced by the candidate, performance evidence such as photographs and video tapes and reports describing what the candidate has been observed doing in the past. It may also contain written evidence describing what the candidate would do in response to emergencies, breakdowns or other contingencies (supplied by the candidate).

There are no set rules about the proportion of direct evidence to indirect evidence in a portfolio. The importance attached to any given item of evidence varies according to its context, age and whether or not it is supported by other evidence.

Assembling a portfolio

The development of a portfolio involves four key stages. These are:

- the candidate reviews prior learning and experience in relation to the unit(s) of competency and decides which aspects of that learning or experience matches the outcomes of the unit(s)
- in the light of this review the candidate establishes a plan for collating existing evidence and the generation of new evidence
- the candidate collates the evidence, taking into account the requirements of the relevant unit(s) of competency (the elements and performance criteria, range statement and evidence guide)
- the candidate submits the portfolio for assessment in line with any requirements set by the assessor.

Assessors should always provide candidates with guidelines for assembling portfolios.

These should include advice on:

- how portfolio evidence is used in assessing competence
- the criteria against which the portfolio will be assessed
- the kinds of evidence to be included in the portfolio
- how to present the portfolio (so it is easy to navigate)
- how to cross-reference portfolio items against the relevant units of competency.

Figure 32 provides an example of the advice which might be given to candidates on how to assemble a portfolio. Figure 33 is a sample cover sheet which candidates might use to identify and organise their portfolios.

Figure 32: Portfolio instructions

Portfolio for:	<i>BSBCMN306A Produce business documents</i>
Due date:	
Description of the portfolio:	
<p>General overview</p> <p>The portfolio should include samples of business documents you have produced or edited within the last six months. Supporting materials must also be included. Wherever possible, you must include paper and electronic files for work samples.</p> <p>Assessment criteria</p> <p>Documents will be checked for:</p> <ul style="list-style-type: none"> • appropriate style and layout • use of software features for consistency and efficient production such as font styles, text formatting, style sheets and tables • appropriate use of basic graphic elements including logos, rules and shading. <p>Presentation of the portfolio</p> <p>Each work sample in your portfolio will need to be supported by a statement which outlines:</p> <ul style="list-style-type: none"> • the purpose of the document and the organisational requirements you had to consider • how the document relates to the requirements of the unit of competency • how the design and layout of the document were determined • the reasons why specific equipment and software features were used • the resources you used in preparing the documents. <p>Portfolio contents</p> <p>Contents will include:</p> <ul style="list-style-type: none"> • paper and electronic files that you have produced or edited • related planning notes and requirements you followed for the design of the documents • letters from supervisors or clients that verify your involvement with the production of the documents • work samples and/or statements of achievement from any relevant learning exercises, including computer based tutorials and courses. <p>Progress and feedback</p> <p>This portfolio should be ongoing, to include samples of work you do over the period of this assessment.</p> <p>The portfolio will be checked as you progress through this assessment. Feedback about the quality of your evidence will be given before the final due date.</p> <p>The final presentation will be on the agreed date.</p>	

Figure 33: Portfolio cover sheet

Name:	Date submitted:
I declare this evidence to have been produced by the undersigned. Candidate's signature:	
Portfolio evidence presented	
<input type="checkbox"/> Outcomes from learning programs (including self-learning and online learning) <input type="checkbox"/> Assessment feedback (from a trainer or assessor) <input type="checkbox"/> Observation checklists (from a workplace supervisor or assessor) <input type="checkbox"/> Written statements or references (including workplace supervisors, community leaders) <input type="checkbox"/> Job descriptions <input type="checkbox"/> Work journal <input type="checkbox"/> Work samples <input type="checkbox"/> Finished products <input type="checkbox"/> Product descriptions or specifications (supporting the product samples included) <input type="checkbox"/> Statutory declarations	
Other evidence (List each piece):	
Assessor to complete Evidence is Valid Sufficient Authentic Current <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Assessor's signature: _____	
Date: _____	

Format of the portfolio

There is no set format for portfolios. However, while portfolios are different in content, all include information about the candidate, the candidate's workplace and the evidence presented for assessment.

A portfolio could be organised under the following headings:

- cover sheet
- candidate information
- information about those who contributed or can verify evidence
- the referencing system used in the portfolio
- the glossary of terms and abbreviations
- the candidate's statement
- the index of evidence
- evidence.

The cover sheet should identify:

- candidate's name and job title
- name and address of the candidate's workplace
- qualification title
- unit(s) of competency for which evidence is submitted
- assessor
- submission date.

The information about the candidate might include:

- current employment role and status
- previous work experience
- previous training
- relevant qualifications.

The information about those who have contributed or can verify evidence should include their names, contact details and the items of evidence with which they have been involved. People involved may include:

- line manager
- colleagues
- customers or suppliers.

The referencing system should enable the assessor to relate each piece of evidence to the relevant unit(s) of competency. This may take the form of a matrix or a colour, number or letter coding that directs the assessor to particular parts of the portfolio.

The glossary of terms and abbreviations lists the technical terminology used by the candidate. The candidate statement explains the evidence, the context from which the evidence was drawn and the candidate's role within it.

The index of evidence should list items of evidence and assign each item a unique reference number. This will enable items of evidence to be used against more than one unit of competency or element.

How to check the authenticity of portfolio evidence

The assessor must check that the materials presented in a portfolio are the candidate's own work or contribution. Assessors need to beware of:

- falsified evidence
- falsified qualifications
- work samples completed by a team rather than the candidate
- work samples that have lost currency.

To ensure that evidence is authentic the assessor should:

- cite original certification rather than a photocopied documents, check security features like watermarks and stamps, and make sure that documentation has not been tampered with
- compare certification from organisations for any obvious omissions, such as signature, date or security features

- contact individuals who have provided third party reports or other supporting evidence to confirm the validity of the writer and the authenticity of the documents
- question the candidate about the evidence and ask for explanations of the candidate's involvement
- compare work samples in terms of approach, style and skill levels evident, to evaluate consistency and reasonable differences
- look for variations in dates between different documents, for example resumes and qualifications
- compare written notes, reports and research findings among a group of candidates to check there is no duplication or identical evidence.

If the assessor has doubts about the authenticity of the portfolio evidence, these should be noted and weighed in the context of all the evidence presented by the candidate.

Evaluating a portfolio

The provision of workplace documents, work samples and other records in a portfolio does not mean that the candidate is competent. This is the responsibility of the assessor. In evaluating a portfolio the assessor should:

- seek verification of the role of the candidate from others who have witnessed the events documented
- interpret the currency of the material and the way that the candidate applies the skills in the present context
- obtain explanations of the material from the candidate to clarify the context and relevance to the unit(s) of competency involved (this may be achieved by interviewing the candidate)
- evaluate the contents of the portfolio using a holistic approach (rather than taking an atomistic approach by checking each item in the portfolio against the unit requirements, assessors should consider evidence as a whole or in large integrated pieces. The benefits of this approach are that it is less time-consuming and allows assessors to concentrate on those areas where there are perceived gaps in the evidence).

The following template provides one approach for evaluating candidate portfolios. This template allows the assessor to:

- make a holistic evaluation of the contents against the unit(s) of competency
- identify gaps in the evidence and potential deficiencies in the candidate's skills and knowledge
- summarise the feedback, clarification and questions the assessor proposes to raise with the candidate during formal assessment interviews
- retain a record of the final assessment interview.

Figure 34: Evaluation of a portfolio

Evaluation of portfolio contents			
Name of candidate:	<i>Susanne Squires</i>		
Unit(s):	<i>PMLORG600A Supervise laboratory operations in work/function area</i>		
Workplace:	<i>Labskill</i>		
Name of assessor:	<i>Mario Agento</i>		
Requirements of the unit of competency	Yes	No	Unsure
The contents of the portfolio provided satisfactory evidence of the candidate's ability to:			
• achieve outcomes consistent with plans/budgets	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• implement safe working arrangements	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• contribute proposals and ideas for quality improvements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• contribute to the company's quality system	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• revise operational plans to reflect essential variations	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• make decisions that are appropriate	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• optimise resource usage in terms of the operational plans	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• communicate and consult with colleagues and clients	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• motivate and counsel personnel to improve performance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• promote a learning environment in the work area.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Following analysis of the evidence, the following issues require clarification during interview:			
• obtain more detail on previous job role (see resume)			
• clarify extent of involvement in QA Committee			
• explain production shortfall in latest quarterly operational plan			
• query issue on recent audit report			
• training plan appears to have no needs analysis.			
Additional evidence is required in the following area:			
• budgeting (annual and quarterly reports)			
• written communication (letters and memos)			
• implementing safe working arrangements (proposals and reports)			
• motivating and counselling personnel (third party report from team member).			
Signed by the assessor:		Date:	

Customising evidence gathering materials

It is not always necessary to completely design new materials for targeting and gathering evidence. A lot of good materials have been developed to support specific Training Packages. These may be accessed through ITABs, Australian Training Products and commercial sources. Some products are also available on the National Training Information Service web site (NTIS). RTOs also often develop sets of materials for assessors within the organisation to use.

It is usually necessary to modify or customise existing materials to reflect the particular needs of the candidate and the workplace. This may mean modifying the content by making general information more specific to the workplace, for example by adding the titles of jobs, the names of policies and the exact standard operating procedures.

It can also mean changing the way the materials are used to meet the needs of the candidate, for example asking oral questions instead of using a written test for a candidate with literacy problems and changing an observation into a demonstration for a workplace which cannot ensure access to a piece of equipment during normal working hours.

Materials produced for general use will normally faithfully reflect the unit of competency. However, it is important to work through the process described in this guide to identify the evidence required and how to gather it. Then review the material to ensure that:

- the materials are benchmarked against the current version of the Training Package
- specific policies, procedures and job titles used in the workplace are inserted in the materials
- the materials will provide the evidence needed for assessment purposes
- the language level is suitable for candidates in the organisation
- the ideas, stories and activities in the materials are relevant to the organisation
- the language and format of the material are user-friendly
- the scenarios mirror the materials, policies and equipment used in the organisation
- the questions asked in the materials seek knowledge related to the organisation
- the evidence gathering procedures suit the candidates in the organisation
- the materials are validated with personnel from the organisation.

CHAPTER 6: EVALUATING EVIDENCE

Once the evidence has been collected, it should be compared with the relevant unit(s) of competency to make the assessment decision. If the assessment process has been valid, reliable, fair, and flexible and the evidence meets the rules of evidence, then the decision making should be straightforward.

It will finally come down to the assessor's honest appraisal of the evidence. Sometimes the candidate has provided all the evidence required and it matches the requirements for competency but the assessor still feels unsure. Alternatively, the candidate may seem competent, but has not met all the requirements for competence specified in the evidence gathering tools. In this case it may be a case of reviewing the process.

Using intuition - that is, being aware of a mismatch in the evidence and the required picture of competence is part of the process of making judgements. Even if assessors can't put their fingers on why they feel uncomfortable about deciding competence, the important thing is to recognise that a mismatch is evident and to check all the evidence or gather more evidence.

This chapter provides advice and guidelines to help the assessor feel confident about the assessment decision.

Ensuring a fair evaluation and judgement

The assessment system and process should have policies and procedures that make it as fair as possible. These will include:

- thorough planning processes
- validation of assessment tools and materials
- an open and transparent assessment process
- collaboration with the candidate, the workplace and technical experts
- an appeals process.

Assessors need to ensure that their process for evaluating evidence is also fair. It is easy to have prejudices that are not recognised as such. For example, some individuals have opinions about whether men or women make better nannies or car mechanics.

On an individual basis, an assessor might make an assumption about competence in one area based on experience from another. For example, just because the candidate has proved competent in mustering cattle, it does not mean that the candidate can also herd sheep.

These prejudices should not interfere with the fair and rigorous evaluation of the evidence. The strategies and tools provided here should help assessors to make fair assessments.

Assessor uncertainties

Assessors have described some of the uncertainties that they have experienced when making assessment decisions.

Observations

- Is this performance truly representative of the candidate's workplace performance?
- Was the observation complete? Was anything missed?
- Was the assessment fair?
- Has the candidate demonstrated the full dimensions of competency, underpinning skills and knowledge, and the broad work processes?

Demonstrations and simulations

- Can the candidate transfer this to a real workplace situation?
- Can the candidate operate within the scope of the unit of competency at the right AQF qualification level?

Questions

- Does the candidate have a thorough understanding of the required knowledge and underpinning skills?
- Could the candidate transfer the knowledge and skills to other applications?

Projects and portfolios

- Are these products authentic?
- Is the candidate's contribution proved?
- Are these documents authentic?

Every situation is different. However, if the assessment process is one in which the candidate has fully participated and the assessor has the benefit of a supportive system of policies, procedures, advice and shared responsibility, the decision should be easy to make.

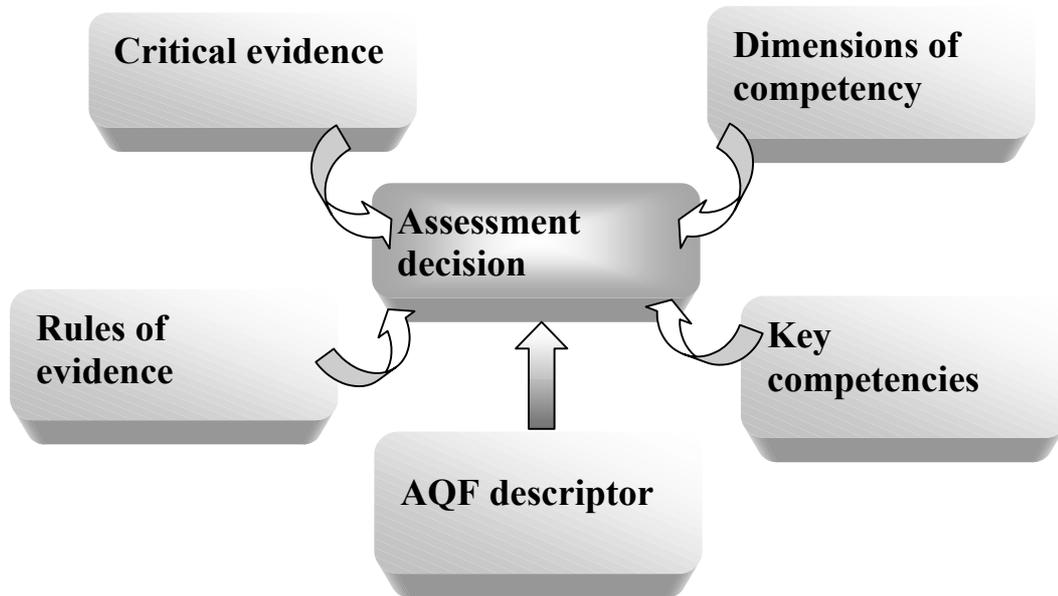
It is important to remember that the decision **not yet competent** is not failure. It means the candidate needs more training, time or support in some identified skill areas.

Reviewing the evidence

The assessor should reflect on the evidence and take some time to check that it covers the requirements for competence. The tools described in Chapter 4 can be used to double-check.

While all of these factors should have been taken into account in the planning stage, it is good to double-check them.

Figure 35: Factors in evaluating evidence



What is the critical evidence?

In making the assessment decision, four critical questions should be asked. These are:

- Did the candidate provide evidence of quality work?
- Did the candidate provide evidence of safe work practice?
- Did the candidate provide evidence of meeting the requirements of the workplace?
- Did the evidence meet the requirements of the unit of competency?

If the assessor still feels unsure, the evidence can be further analysed against the dimensions of competency, the key competencies, the rules of evidence and the AQF descriptors.

Are all the dimensions of competency demonstrated by the evidence?

In evaluating the evidence, the assessor should examine each of the dimensions of competency to ensure all aspects are demonstrated within the evidence. This involves asking four key questions.

1. Did the candidate demonstrate the appropriate task skills?

Check the evidence to ensure that the candidate carried out the work tasks according to workplace procedures.

- 2. Did the candidate demonstrate the appropriate task management skills?**
Check the evidence to ensure the candidate has appropriate skills in selecting equipment, planning, coordinating, organising and prioritising.

- 3. Did the candidate demonstrate the appropriate contingency management skills?**
Check the evidence to ensure that the candidate knows how to deal with unplanned events, emergencies and breakdowns.

- 4. Did the candidate demonstrate the appropriate job/role environment skills?**
Check the evidence to ensure that the candidate is aware of enterprise policies and procedures, functions effectively in the workplace and contributes to the organisation's quality system.

What evidence is there of the key competencies?

The key competencies are intended to represent the broad underpinning work skills that everyone needs to do a job. There are few situations in which these skills are not required. When assessors are reviewing evidence, they should check that the key competencies have been applied.

An assessor in the administration sector uses the key competencies to evaluate the evidence. After checking the evidence against all the other components of the standard(s), the rules of evidence and the workplace information, the last set of questions is about the key competencies. If she gets positive answers to these questions, she feels confident that the person is competent. If they are negative answers, it is the start of a trail to double-check the evidence. It is an in-built quality measure.

Is the evidence at the correct AQF qualification level?

When the evidence has been checked against the dimensions of competency and the key competencies, the assessor needs to ensure that the level of performance meets the requirements of the relevant AQF qualification. This involves answering the following questions:

- Does the candidate show the relevant level of knowledge and skills?
- Can the candidate apply the appropriate level of problem solving and information processing skills?
- Is the candidate able to demonstrate the appropriate level of responsibility for the candidate's own work and that of others?

Rules of evidence

The final check is that the evidence meets the rules of evidence. Assessors need to ensure that the evidence:

- reflects the skills and knowledge described in the relevant unit(s) of competency
- shows application of the skills in the context described in the range statement
- indicates that skills and knowledge are applied in real workplace situations
- demonstrates competence over a period of time
- demonstrates repeatable competency
- is corroborated
- is the work of the candidate
- is able to be verified
- demonstrates the current skills and knowledge of the candidate.

Making the judgement

When the assessor has completed all of the above checks, it should be clear whether the evidence meets the requirements for competency. The assessor can then work out what feedback and what further action is required.

CHAPTER 7: RECORDS AND FEEDBACK

Materials for recording and feedback

This section deals with the materials needed to record the assessment outcome and the methods for giving feedback to the candidate about the assessment process.

These materials includes:

- the RTO record of results
- the assessment record
- the personal picture of competence
- the competency record book
- the record of the post-assessment interview.

Why are records important?

RTOs need to keep records for a number of reasons. These include:

- registering requirements of State or Territory Registering Bodies
- auditing requirements of State or Territory Registering Bodies
- providing statistical information for AVETMISS
- providing copies of outcomes for candidates in case of lost qualifications or Statements of Attainment
- providing data for review of candidate outcomes for quality monitoring.

Records and quality

The recording process must be planned and integrated into the assessment process. The materials used should track the whole assessment process.

Australian Quality Training Framework requirements

The RTO must document and implement procedures to assure the integrity, accuracy and currency of records.

Recording assessment outcomes

An assessment record must provide a useful, individual picture of competence that the candidate can use as evidence in training, assessment or job promotion.

The competency record should include at least:

- the units of competency achieved
- the Training Package
- the name of the candidate
- the name of the assessor
- the assessment decision – competent or not yet competent
- the date of the assessment.

A summary of the evidence that was used to make the assessment decision is also important information. Figures 36 and 37 show two examples of proformas used by different RTOs to summarise information about each candidate's assessment. Figure 38 is a proforma for an assessment record from a candidate's guide developed to support the Museums and Libraries Training Package. Figure 39 is also a record of assessment, in the style of a personal picture of competence.

These templates meet the requirements in the States and Territories in which they are in use. However, States and Territories have different requirements and it is advisable to check the specific requirements in your State or Territory.

Figure 36: RTO record of assessment results

RTO record of assessment results:	
Unit(s):	
<i>Unit CHCORG1A</i>	<i>Follow the organisation's policies, procedures and programs</i>
<i>Unit CHCORG4A</i>	<i>Follow the organisation's OHS policies</i>
<i>Unit CHCAC3A</i>	<i>Orientation to aged care</i>
<i>Unit CHCDISIA</i>	<i>Orientation to work in the disability sector</i>
<input type="checkbox"/> Competent	<input type="checkbox"/> Not yet competent
Candidate details	Assessor details
Name: <i>Jenny Polsen</i>	Name: <i>Peter Keeps</i>
Position: <i>Aged Carer</i>	Qualification: <i>Cert IV In Assessment and Workplace Training</i>
Workplace address: <i>Highborn House, Worthington</i>	Workplace address: <i>Highborn House</i>
Results discussed and agreed to:	Comments and future action discussed:
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
Date: <i>3/04/01</i>	<ul style="list-style-type: none"> • Further evidence
Candidate's signature: <i>Jenny Polsen</i>	<ul style="list-style-type: none"> • Further training and assessment plan
Assessor's signature: <i>Peter Keeps</i>	<ul style="list-style-type: none"> • Assessment appeal in progress

Figure 37: Assessment summary and feedback form

Candidate information	
Name:	
Position:	
Employer:	
Manager/Supervisor:	
Assessor's name:	
Assessor's signature:	
Assessment date:	
Units of competency	
Unit code and title:	
Assessment application:	
Assessment decision	
<input type="checkbox"/> Competent	<input type="checkbox"/> Not yet competent
<input type="checkbox"/> Further evidence required	
Feedback and future action	
Gaps in performance:	
Strategies for further improvements:	

Figure 38: Assessment record

Title:	<i>CUECOR2A Work with others</i>
Descriptor:	This unit refers to working with others to meet work requirements in an environment where work may take place across different work areas.
Candidate name:	Harry Lu
Elements	Summary of evidence provided
Participate in work group/process	Third party report indicated: <ul style="list-style-type: none"> • regular participation in work meetings • discusses ideas at meetings • dealing with people at work. Evidence of well prepared messages, emails. Role-play of conflict situation demonstrated knowledge of conflict resolution techniques. Knowledge of team issues and potential problems through questions.
Contribute to the flow of relevant work information and ideas	
Contribute to the maintenance and improvement of work communication	
Deal with work issues, problems and conflicts	
Underpinning knowledge and skills	
Assessor comments:	
Harry has demonstrated competence in this unit while working at the Engine Museum, Penrith, as a museum assistant.	
<input checked="" type="checkbox"/>	Unit of competency achieved
<input type="checkbox"/>	Unit of competency not yet achieved
Candidate signature: <i>Harry Lu</i>	Date: 2/04/01
Assessor signature:	Date:

Figure 39: Candidate's record of competency

<p>ASSESSED AT AQF 3</p> <p>Unit: <i>BSBCM306A Produce business documents</i></p>	
<p>I can</p> <ul style="list-style-type: none"> • Produce business documents using an accounting package, presentation package and HTML coding. • Use software features including style sheets, basic authoring and layout templates to create documents efficiently and consistently. • Follow an organisational style guide and instructions for documents, and identify effective type and layout features for different documents. • Use a scanner, laser printer and duplex copier to produce documents and copies and basic technical requirements for print and screen documents. • Consistently follow my organisation's procedures for computer and paper filing systems. • Manage these tasks primarily on my own and use online help and tutorial manuals. • Set up my workstation so that it is safe to use and practise techniques for avoiding strain. 	
<p>Evidence produced</p> <ul style="list-style-type: none"> • Workplace demonstration of using software, work station and equipment. • Portfolio presented of documents produced, planning notes and workplace references. • Demonstrated understanding of technical issues in interviews and task exercises. 	
<p>Further action plan</p> <ul style="list-style-type: none"> • Investigate a learning program to develop visual design skills. 	
<p>Candidate name and signature:</p>	<p>Date:</p>
<p>Assessor name and signature:</p>	<p>Date:</p>

Giving feedback

Assessment is an ongoing process. It happens over a period of time and usually involves collecting evidence both on- and off-the-job. This means it is necessary to record outcomes as they are achieved and provide ongoing feedback to the candidate.

A traineeship assessor meets her candidate after each on-the-job assessment. Together they complete the candidate's assessment record of the outcomes, agreeing on areas of strength and improvement. These areas include whole job tasks or workplace activity, elements and performance criteria, as well as performance relating to key competencies and dimensions of competency.

The workplace supervisor is also invited to add comments at this stage about progress or any other issues about the assessment.

The candidate's record book includes space for comments about the assessment so far, which the assessor can use for evaluating the evidence, her own role, and for passing on feedback.

Figure 40 shows a template that can be used as a training record sheet. It is taken from the Information Technology Training Package.

An assessment and training unit for a national organisation gives candidates a personal assessment planner designed as an ongoing assessment resource and record. The planner provides advice for targeting and gathering evidence. It can be used as a learning schedule for candidates attempting units of competency toward a qualification. It records the feedback stages between the candidate and assessor and also notes training gaps.

Getting feedback

An RTO specialising in developing workplace assessments for the manufacturing industries conducts post-assessment interviews for all candidates. The purpose of the interviews is to discuss and sign the candidate's assessment record and discuss strategies for the candidate's training and assessment pathway. It is also a round-up of feedback about the assessment process and the assessor's techniques.

Figure 41 is an example of an assessor's checklist and record of discussion points during a post-assessment interview.

Some RTOs gather evidence about their processes from a range of people, including the candidate, workplace personnel and other participants.

An assessment company servicing the aged care industry includes the aged customers of their candidates in the feedback loop. Informal feedback is gathered through assessors chatting with customers in their homes when the assessor is visiting to conduct an observation.

Feedback contributes to the ongoing quality of the whole assessment process and the materials that are developed to support it.

Figure 40: Competency record book

Unit:	<i>ICAITU018B Develop macros and templates for clients using standard products</i>		
Elements and performance criteria		Successfully completed	
		Assessor initials	Date
1	Determine macro/template requirement	<i>JW</i>	4/9/00
1.1	Client requirements are determined in line with organisational guidelines		
1.2	Macro/template specifications are developed and client's needs are confirmed		
2	Develop macro/template for client	<i>JW</i>	6/9/00
2.1	Macro/template specifications are developed using standard package in line with organisational guidelines		
2.2	Client feedback is obtained		
2.3	Amendments are made as required for client		
3	Provide client support for the macro/template	<i>JW</i>	6/9/00
3.1	Support/instruction requirements are determined and documented		
3.2	Client is instructed in use of macro/template		
3.3	Client documentation to help desk is provided for future support		
Comments:			
<p>Macros/templates were developed for clerical/administrative staff for the purposes of streamlining advertising mail-outs. Software packages included MS Word for Windows 7, and MS Publisher 2 on a Windows NT platform. Four clerical/administrative members of staff were instructed in the use of the macros/templates. Implementation has resulted in considerable time saving for staff completing advertising mail-outs. Joseph completed the project well within the specified time frame.</p> <p>Completing this project gave me much improved confidence in instructing and supporting staff.</p>			
<i>J Wilson</i> <u>6/9/00</u>		<i>J Chen</i> <u>6/9/00</u>	
Assessor signature/date		Candidate signature/date	

Figure 41: Record of post-assessment interview

Post-assessment interview		
Assessment results		
	YES	NO
• Evidence summary discussed	<input type="checkbox"/>	<input type="checkbox"/>
• Judgement of competency discussed	<input type="checkbox"/>	<input type="checkbox"/>
• Assessment record signed	<input type="checkbox"/>	<input type="checkbox"/>
Candidate's feedback		
• Understood assessment process and requirements	<input type="checkbox"/>	<input type="checkbox"/>
• Expectations met	<input type="checkbox"/>	<input type="checkbox"/>
Candidate's comments: ----- ----- ----- -----		
Future strategies agreed as a result of the decision: ----- ----- ----- -----		
Date of interview: _____	Candidate signature: _____	Assessor signature: _____

APPENDIX A: KEY COMPETENCIES WITHIN TRAINING PACKAGES

Adapted from the Training Package Developer's Handbook - ANTA

Introduction

Industry and educators have recognised the critical role of generic competencies in ensuring that the Australian workforce is equipped with the necessary skills for effective participation in current and emerging forms of work organisation. There is ongoing work to determine the extent of generic competencies that underpin employability and the capacity to adapt to different types of work, job roles and also personal and community activities throughout an individual's life.

In the early 1990's considerable work was directed to defining transferable and widely useful work and life skills that all Australians should have the opportunity to achieve. One outcome was the key competencies, a set of generic competencies foreshadowed in the Finn report (AECRC 1991) and formalised by the Mayer Committee in *Putting Education to Work: The key competencies report* (Mayer 1992). The key competencies were described in the Mayer report as being fundamental to the transfer and application of learning to and within workplaces.

Since their development, the key competencies have been identified in all national industry competency standards to ensure they are part of the learning and assessment process in vocational education and training. They have also been widely taken up in school curriculum. Consistent with this, the National Training Quality Council considers that all Training Packages 'require the effective integration of key competencies'.

The key competencies

There are seven key competencies identified in the Mayer (1992) report. These are:

1. Collecting, analysing and organising information

The capacity to locate information, sift and sort information in order to select what is required and to present it in a useful way, and evaluate both the information itself and the sources and methods used to collect it.

2. Communicating ideas and information

The capacity to communicate effectively with others using the range of spoken, written, graphic and other non-verbal means of expression.

3. Planning and organising activities

The capacity to plan and organise one's own work activities, including making good use of time and resources, sorting out priorities and monitoring one's own performance.

4. Working with others and in teams

The capacity to interact effectively with other people both on a one-to-one basis and in groups, including understanding and responding to the needs of a client and working effectively as a member of a team to achieve a shared goal.

5. Using mathematical ideas and techniques

The capacity to use mathematical ideas, such as number and space, and techniques such as estimation and approximation, for practical purposes.

6. Solving problems

The capacity to apply problem solving strategies in purposeful ways both in situations where the problem and the solution are clearly evident and in situations requiring creative thinking and a creative approach to achieve an outcome.

7. Using technology

The capacity to apply technology, combining the physical and sensory skills needed to operate equipment with the understanding of scientific and technological principles needed to explore and adapt systems.

The key competencies are defined as the set of competencies which enable people to transfer and apply knowledge and skills developed in classrooms and other learning situations to the workplace.

Key competencies are competencies essential for effective participation in the emerging patterns of work and work organisation. They focus on the capacity to apply knowledge and skills in an integrated way in work situations. Key competencies are generic in that they apply to work generally rather than being specific to work in particular occupations or industries.

(Mayer 1992, p. 5)

Applying key competencies encourages individuals to initiate creative insights, construct new meanings and to find new links and integrations within all workplaces and within adult life in general. This is compatible with changes currently being introduced within industry, involving a shift from individual, highly specific and often repetitive jobs at low skill levels to involvement in workplace teams that are expected to:

- manage a broad range of activities
- take greater responsibility for quality
- solve problems
- work with advanced technologies and new work systems
- develop new products
- adapt products for new markets
- deliver improved or new services.

The key competencies are relevant to all workplaces. It is through the application of the key competencies that people are able to:

- integrate work tasks and to undertake them as a meaningful whole rather than a number of discrete actions
- better understand the social, cultural and organisational forms and complexities of the workplace
- transfer skills across different work tasks, functions and workplaces and, therefore, contribute more efficiently to the productivity and social balance of the enterprise, whether it is a small business or a larger enterprise.

Levels of performance

The Mayer committee (1992, p. 13) established three levels of performance in each of the seven key competencies. These are stand alone levels and do not correspond to the Australian Qualifications Framework (AQF) as this was not in place when the key competencies were developed.

performance levels

Performance Level 1 describes the competency needed to undertake activities efficiently and with sufficient self-management to meet the explicit requirements of the activity and to make judgements about the quality of outcome against established criteria.

Performance Level 2 describes the competency needed to manage activities requiring the selection, application and integration of a number of elements and to select from established criteria to judge quality of process and outcome.

Performance Level 3 describes the competency needed to evaluate and reshape processes, to establish and use principles in order to determine appropriate ways of approaching activities, and to establish criteria for judging quality of process and outcome.

In simple terms, Level 1 is concerned with the level of competency needed to **undertake** tasks effectively, Level 2 with the ability to **manage** tasks and Level 3 with concepts of **evaluating and reshaping** tasks.

Descriptions of the key competencies

The overview of each key competency includes an indication of applications, particularly in work settings. It also explains the major ideas which underpin the key competency and provide a basis for establishing the performance levels.

The description of each key competency at the three performance levels is followed by some examples of applications. These applications present situations in which the key competency, at the given performance level, is needed in order for the activity to be completed successfully.

While the key competencies have a future orientation, the descriptions presented here convey a sense of 'present'. This is to simplify the language used in the descriptions and present them as goals for young people currently in education and training.

Collecting, analysing and organising information

One of the catchphrases to emerge in recent years refers to an 'information explosion'. This represents much more than a catchy cliché, for it is firmly rooted in reality. It underscores the dominance that information has across the spectrum of work and life more generally. Much of this information is contained in oral communication and it is conventional to think of information as being contained in text. But information is also presented in statistical, graphical, pictorial and tabular forms, in spreadsheets, databases, diagrams, formulae and equations, and ledgers.

Growth in the capacities to store and access information, to collect and present it in many and varied forms, and to apply to it techniques of analysis and research has led to work practices and organisational structures which now depend on these capacities. Many organisations use a structure based on a network of small units, perhaps in separate locations. This structure must be underpinned by the effective use and management of information. Further, as technology becomes more sophisticated, greater proportions of the total work effort are being devoted to generating, managing and using information. Similarly, learning in further and higher education requires the ability to sift, select and present information as a critical part of the educative process.

Collecting, analysing and organising information focuses on the capacity to locate information, sift and sort information in order to select what is required and present it in a useful way, and evaluate both the information itself and the sources and methods used to obtain it. It is based on four main ideas.

Responsiveness to purposes of the information, the nature of the sources and the audience

This involves being responsive to the nature and expectations of those who might receive the information, those who might be affected by the information and the purposes to which the information might be put. It includes the notion of social, cultural and ethical responsibility in the use and management of information. At lower levels this might mean clarifying the nature and expectations of the audience and the purpose of the information, or

fulfilling responsibilities for maintaining the integrity of the information source. It might involve following guidelines on the format and protocols specific to the organisation. At higher levels it might mean reflecting upon and evaluating the processes by which information is collected, analysed and organised or identifying and using principles for the responsible use and management of information.

Application of access and retrieval techniques and principles

This can be as straightforward as accessing a library book which is known to contain the factual information sought, asking someone for directions or taking data from a graph. But it can also be more complex, perhaps drawing on the investigative skills of searching and researching.

Analysis and organisation of information

In the simplest sense, analysis and organisation of information amounts to extracting factual information and organising it into a predetermined format. In the more complex sense, the variety of theoretical approaches to some information gives rise to many different themes, categories and ways of viewing the information. This may require the creation of categories or organising structures which are unique to that information.

Evaluation of quality and validity of information

At lower levels this might mean checking that factual information is as complete as can be expected, has been correctly allocated to categories and is free of error. At higher levels it might mean establishing or clarifying criteria for judging the validity, quality and salience of information, and using those criteria judiciously.

The primary focus of Performance Level 1 is the retrieval and reporting of specific information. Performance Level 2 moves beyond this to the management of information within a broader work process. It includes the selection of management techniques and identification of relevant sources. At Performance Level 3 the emphasis broadens again to the establishment and application of principles that underpin information retrieval and organisation. It requires the capacity to create ways of organising information for new situations.

Performance Level 1

At this level a person: follows existing guidelines for the collection, analysis and organisation of information, and accesses and records information from given sources; and organises information into predetermined categories, and checks information for completeness and accuracy.

Some applications of collecting, analysing and organising information at this level are: accessing routine personnel information from a computerised database; filing invoices using file numbers and names; determining tolerances from a book of technical specifications; updating a telephone and address index; determining from committee members an optimum meeting date; finding examples of the music of a particular composer.

Performance Level 2

At this level a person: clarifies the needs of the audience and the purposes of the information, and accesses and records information from a variety of sources; and selects categories or structures by which to organise information; and assesses information for relevance, accuracy and completeness.

Some applications of collecting, analysing and organising information at this level are: establishing requirements of members of a group tour, preparing a training plan; establishing an information base for selecting a child car restraint; establishing requirements for materials and equipment from building specifications.

Performance Level 3

At this level a person: defines the needs of the audiences and the purposes of the information; and critically investigates sources to identify and distil relevant information, and identifies within information the main organising categories and structures; and evaluates the quality and validity of information.

Some applications of collecting, analysing and organising information at this level are: establishing a database of decisions, agenda papers and information for a committee which meets regularly; using records such as profitability, consumer demand and seasonal variations to plan offerings in a cafe; establishing an information base of travel services in an overseas location; undertaking a literature search on family patterns in Australian society.

Communicating ideas and information

Being able to communicate ideas and information is essential to all forms of work and human activity. It may involve spoken, written or visual language and may involve sign or gesture. Young people entering adult life and work need access to all forms of communicative competence, from the most ordinary and everyday, such as simple requests for advice, to the most prestigious, such as formal speeches.

How people apply the competency in paid work can be part of the work process and its goal. Knowing how to explain, describe, respond to questions, justify and argue assists the worker's confidence and efficiency. Being able to explain or recommend prices, services or goods to a customer underlies a productive approach and tailors communication to the perceived needs and interests of the customer. In unpaid, community or voluntary work, communicating ideas and information to others in speech, writing and visual language is the basis of ongoing activity between and among participants. Explaining the rules of a game, recording and presenting minutes of a meeting, filling in forms, making speeches or reports, formulating suggestions, responding to requests call on this competency in all its forms. This competency is the foundation for lifelong learning. Being able to explain, argue and discuss with others enables a person to clarify, build on and share ideas and exchange information and consequently enlarge their knowledge and understanding.

Communicating ideas and information focuses on the capacity to communicate with others using the range of spoken, written, graphic and other non-verbal means of expression. It is based on four main ideas.

Identification of and response to audience and purpose of communication

The first idea involves the identification of the function of a communication and of its recipients. This will determine the choice of mode and style of the communication. Thus, the communicator needs to know what forms and styles to choose from and how to choose combinations that will achieve the best effect for a particular purpose. In some cases the communicator will need to use technology to communicate effectively.

Selection of forms and styles

This includes the communicator's response to the social and cultural dimensions of the context and audience. These may affect the purpose, function, form and mode of communication. In modern workplaces, for example, effectiveness of the communication could be diminished by telling racist and sexist jokes. An important feature here is the emphasis placed on the communicator's flexibility in communicating across a variety of social and cultural contexts.

Carriage of intended meaning

The third idea relates to the effectiveness with which the intended communication is conveyed, and involves the clarity and coherence of the communication. Clarity of communication depends on the use and adaptation of conventions particular to the mode of communication. In writing, for example, effective communicators not only know how to use formal grammatical conventions, but when to apply them and when not to. In oral communication, knowing how to modulate the voice is an important part of communication, and in visual communication, knowing how to place charts or diagrams will increase the effectiveness of the communication. Coherence of communication depends on putting ideas and information into formats that are appropriate to the contexts and the audience.

Revision and correction of communication

This involves checking for accuracy and appropriateness and revising where necessary. It may take place in response to feedback from others or require the communicator to change course during composition or presentation. For instance, a speaker, sensing that an audience is becoming bored, may introduce an anecdote or shorten the talk.

At Performance Level 1, the emphasis is on communicating certain established and predetermined forms and styles, and in single modes, such as speech or writing. At Performance Level 2 the emphasis is on communicating in situations and to audiences where there are a number of choices of form and style. Performance Level 3 focuses on the ability to use, adapt and transfer communicative forms and modes to meet a variety of demands.

Performance Level 1

At this level a person: adapts the form of the communication to the anticipated contexts and audiences, and communicates using prescribed forms and styles; and communicates clearly and coherently so that prescribed information is organised for the purpose, and checks the communication for accuracy and effectiveness.

Some applications of communicating ideas and information at this level are: interviewing a person and filling out a structured form on his or her behalf; explaining a procedure so that others can carry it out successfully; suggesting items for a meeting agenda; sketching a seating plan.

Performance Level 2

At this level a person: adapts ideas and information to anticipated contexts and audiences; and communicates by choosing from set alternative modes and styles the most appropriate to a particular context and audience; and establishes and conveys coherence between disparate ideas and information; and revises communication in the light of feedback.

Some applications of communicating ideas and information at this level are: giving directions on the best ways to get to a meeting venue; writing an accident report; preparing a maintenance report for a piece of equipment; communicating a hazardous situation on a building site; making cross-sectional sketches to describe internal structures.

Performance Level 3

At this level a person: chooses the mode and form appropriate to a context and audience, and revises and evaluates the communication in the light of feedback; and varies style of presentation to suit a variety of contexts; and uses ideas to interpret and represent information in a variety of contexts, and adapts ideas and information to unanticipated responses from audiences.

Some applications of communicating ideas and information at this level are: using and adapting appropriate technologies to enhance communication; writing a critique of a concert; answering questions put by an audience at the end of a speech or talk; revising a leaflet to remove sexist or racist language; demonstrating a recipe to an audience from different cultural backgrounds; translating an idea into another language.

Planning and organising activities

In work, whether it is paid, unpaid or voluntary, individuals are expected to accept responsibility for planning and organising their own work activities. All organisations rely on their members to carry out functions and tasks in a way that contributes to defined and desired outcomes. In some cases, this means responding to a clear and simple instruction to complete a routine task. In others, it includes initiating, planning and monitoring the activity, and evaluating one's own performance.

Some work settings are highly structured with lines of responsibility, authority positions and supervisory roles. Organisational structures of other settings are much less formal and are determined by continuing processes of negotiation and collaboration between participants. However, across this range of settings individuals must accept responsibility for the management of their work. The capacities encompassed by this key competency are particularly applicable in further and higher education. Being able to plan and organise one's own study, undertake tasks independently and maintain the integrity of one's own work among competing demands are likely to lead to enriched and satisfying learning experiences.

Planning and organising activities focuses on the capacity to plan and organise one's own work activities, including making good use of time and resources, sorting out priorities and monitoring one's own performance. It is based on three main ideas.

Management of priorities and process

This involves managing an activity with a degree of independence. The term 'independence' is not used to mean 'alone'. It relates to the capacity for autonomy of thought and action, a capacity which is applied when working alone or in team or group settings. Managing an activity includes being able to clarify the purpose and objectives, set up the conditions for effective work, maintain focus on the task and complete it. It usually involves determining priorities and appropriate process. In some instances what constitutes a well managed activity, effective work practices or a complete activity is reasonably explicit and tangible. In others this is not the case, and the individual is responsible for monitoring work flow within more broadly established boundaries.

Evaluation of performance and process in planning and organising activities

In some instances this means checking the quality of work against predetermined criteria. But it also includes evaluation of the use of time and self in relation to completing an activity. For example, in manufacturing, tolerances, rate of production and error rates are some of the criteria by which outcomes are judged. In other instances it means the capacity to reflect on what constitutes 'good work' and to establish criteria by which it is to be judged. Included here is the ability to cope with contingencies. In some instances this means recognising when the limit of the process has been reached. In others it may mean maximising the outcomes within the given circumstances.

Responsiveness to factors affecting priorities

This includes the personal responsibilities which apply to self and self management. In some instances, such as occupational health and safety, there are guidelines which may be applicable. More specifically, within a corporation, the requirements of strategic plans and mission statements need to be translated into work priorities. Other instances require the capacity to establish or interpret the principles which underpin these broader aspects of work and to use them to determine how work should be planned, conducted and evaluated. For example, in the emerging context of work, accommodation of differing perspectives arising from cultural background forms an essential component of planning and organising activities.

Performance Level 1 focuses on the completion of activities which are guided by explicit instructions or by procedures for which common usage provides strong guidance. It includes the full process of planning and organising for effective completion. Performance Level 2 focuses on the completion of work processes which incorporate several related activities and require coordination and management. It includes taking action to enhance the effectiveness of the processes and the quality of the outcomes. Performance Level 3 focuses on the establishment and use of principles of effective work organisation. Underpinning all levels is the management of self in relation to the activity, its planning and its organisation.

Performance Level 1

At this level a person: establishes and maintains focus in completing a defined activity, and checks process and outcomes against predetermined criteria for quality and completion, and clarifies and uses established priorities.

Some applications of planning and organising activities at this level are: undertaking piecework production in clothing manufacture; undertaking routine maintenance on a boundary fence; maintaining the stocks in a brochure rack; establishing and maintaining a personal study schedule.

Performance Level 2

At this level a person: coordinates and manages processes to achieve defined objectives, and maximises quality of outcomes and process, and establishes effective work priorities.

Some applications of planning and organising activities at this level are: managing a variety of clerical responsibilities; installing a ducted vacuum system; organising the rehearsal schedule for a band; establishing family and care giving schedules; preparing a series of ticket stock payments; planning and maintaining a personal daily work schedule.

Performance Level 3

At this level a person: incorporates strategic goals into the planning and organisation of own work, and incorporates criteria for quality and efficacy of outcome into the planning and organisation of own work, and incorporates goals, plans and priorities of a strategic nature into planning and organisation of own work.

Some applications of planning and organising activities at this level are: managing competing demands when working for several people; designing and installing curtains to enhance energy efficiency; establishing and reviewing routines for home-based care for children; establishing a distribution system for promotional information about a resort.

Working with others and in teams

Working with others and in teams is essential to all aspects of work and adult life. It includes working with another individual, working with groups or in teams, and working with clients or customers.

Efficient, productive and smoothly functioning workplaces of the 1990s are relying increasingly on individuals' thoughtful and cooperative contributions at staff and work meetings and in formally structured teams. Similarly, a customer or client orientation, whether the client is external to the enterprise in counter or sales service or a member of another section of the same organisation, is central to achieving the competitive edge. These contexts require the skills to work with others to ensure that interactions are consistent with the goals of the organisation and that individuals are able to make appropriate judgements and apply an appropriate mix of courtesy and assertiveness in their workplace and service interactions. In all cases, the needs and aspirations of others as well as one's own contribution need to be considered to achieve the desired outcomes.

In unpaid, voluntary and community work the focus may be on less formal applications. The skills developed through domestic, voluntary and community work are of growing importance in client-oriented and service employment and team-based work structures. In further and higher education, including lifelong learning, working with others and in teams is also valued. These skills characterise the emerging patterns of work and work organisation.

Working with others and in teams focuses on the capacity to interact effectively with other people both on a one-to-one basis and in groups, including understanding and responding to the needs of a client and working effectively as a member of a team to achieve a shared goal. It is based on three main ideas.

Clarification of the purpose and objectives of working with others

Sometimes this will take the form of a simple transaction, such as selling a product over the counter, with someone who specifies what they want. Sometimes it will involve a complex collaborative process, with outcomes negotiated and subject to compromise over time, in which the ability to represent a certain interest or point of view effectively is an essential component.

Identification and taking account of different roles and perspectives

These roles and perspectives may derive from social, gender or cultural differences, or from the nature and structure of workplaces. The capacity to see a product or service from the perspective of the client is vital to customer satisfaction, whether that customer is within or outside the organisation. In community, voluntary and domestic work there is an equivalent need to be able to step into another's shoes in order to achieve shared objectives or to assert a point of view.

Achievement of objectives

This involves working towards agreed time frames and objectives. In one situation it could mean working with others where objectives are clearly defined. In another, it may mean negotiating objectives at the start and monitoring tasks to ensure their continued relevance.

At Performance Level 1 the emphasis is on interactions that have established roles and follow established patterns of procedure. Performance Level 2 focuses on collaborative planning and completion of processes to achieve agreed results. This may involve agreeing on the processes, procedures and objectives that the people in the pair, group or team are going to use. Performance Level 3 focuses on defining and redefining interactions, processes and objectives.

Performance Level 1

At this level a person: clarifies defined purposes and objectives to be achieved by working with others, and identifies and responds to defined roles and perspectives; and works with others to achieve agreed objectives within agreed time frames.

Some applications of working with others and in teams at this level are: selling pastries in a cake shop; working with a partner to improve goal shooting in netball; working as a member of a team in a fast food outlet; working as a chaser in conjunction with a crane driver.

Performance Level 2

At this level a person: interprets purposes and objectives to be achieved by working with others; and organises procedures and time frames to take account of different roles and perspectives; and works with others to achieve agreed objectives.

Some applications of working with others and in teams at this level are: assisting with care giving for children; recognising and including the abilities of fellow workers, including those who have disabilities; preparing tables and waiter stations for service; establishing improved morale in a team after serious defeat or disappointment.

Performance Level 3

At this level a person: defines purposes and objectives to be achieved by working with others, and establishes roles, procedures and time frames taking into account different perspectives, and negotiates with others to define objectives and, where necessary, to monitor and redefine them.

Some applications of working with others and in teams at this level are: directing a play, working in a sales representative team for travel firms; leading a work team on a building site; representing a point of view in a debate.

Using mathematical ideas and techniques

Mathematical ideas and techniques are used in a wide variety of work activities and in everyday life. In some instances their use is explicit and requires deliberate and considered selection and application. For example, installing a ducted heating system in a house requires the explicit application of mathematical ideas and techniques to specifications and costs so that comparisons can be drawn between alternative systems. But in other instances the extent to which mathematical ideas and techniques are involved may be obscure. In part, this arises because of the common perception that mathematical ideas and techniques are about basic number skills. Although basic number skills and operations are essential, mathematical ideas and techniques also involves the 'know-how' of being able to choose efficient ways of doing things or judging when a particular outcome represents an appropriate answer or solution.

In the contemporary world the use of mathematical ideas and techniques is an important part of the functioning of organisations. It is integral to the process of making judgements and ensuring the quality of a product or service. Many organisations rely on careful analysis of market trends, projections of growth and feedback from customers or clients. Analysing work flows and pinpointing areas for more efficient production techniques also draw on the use of mathematical ideas and techniques. As work organisation changes, there is a demand for the use of mathematical ideas and techniques by a broader range of people.

Using mathematical ideas and techniques focuses on the capacity to use mathematical ideas, such as number and space, and techniques, such as estimation and approximation, for practical purposes. It is based on five main ideas.

Clarification of the purposes and objectives of the activity

This is necessary so that the most appropriate mathematical ideas and techniques may be selected. A shop assistant needs to be clear about the kind of account a customer requires before selecting say, addition as the appropriate mathematical process. At a more complex level it may involve selecting the appropriate ideas and techniques to identify the factors involved in designing a container, including measuring and comparing lengths and calculating costs and quantities.

Selection of mathematical ideas and techniques

In making a garment, for example, mathematical procedures and techniques underpin the laying and cutting of the fabric. At another level, mathematical procedures and techniques are needed to adapt a pattern to incorporate the design requirements of a client.

Application of mathematical procedures and techniques

This involves making judgements about precision and accuracy. It can be demonstrated by the way in which a store hand will comply with the instructions to complete a stocktake.

Judgement of level of precision and accuracy needed

This involves judging when an estimate is sufficient for the situation. When estimating materials, a fencing contractor only needs to be accurate to the nearest two or three metres. But the estimate must be on the upper limit to allow for losses due to cutting and attaching and shaping.

Interpretation and evaluation of solutions

This means, for example, checking that the bill is reasonable for the order taken in a restaurant. It also involves evaluating the methods used in achieving a solution.

At Performance Level 1, the primary focus is on the efficient and reliable use of mathematical techniques in everyday situations which are clearly defined. Performance Level 2 focuses on the sequencing and application of mathematical ideas and techniques in situations which require the selection of appropriate methods. Performance Level 3 focuses on the selection, sequencing and application of mathematical ideas and techniques in situations where the best strategy requires evaluation and adaptation of the method and the solution.

Performance Level 1

At this level a person: clarifies the nature of the outcomes sought; and selects the ideas and techniques for a task; and uses mathematical ideas and techniques reliably and efficiently; and meets accuracy requirements; and checks that the answer makes sense in the context.

Some applications of using mathematical ideas and techniques at this level are: preparing an itemised account in a retail shop; extracting data from a specifications chart or spreadsheet; estimating the amount of cement required for a bricklaying task; using a street directory to establish a delivery route; managing own Austudy finances; calculating and measuring medicine doses.

Performance Level 2

At this level a person: clarifies the purposes of the activity and the nature of the outcomes sought; and identifies the mathematical ideas and techniques which are applicable; and selects, sequences and applies the mathematical ideas and techniques reliably and efficiently; and judges the level of accuracy required, and checks that the answer makes sense in the context.

Some applications of using mathematical ideas and techniques at this level are: providing a quote for construction of a fence given the types of materials to be used and a regular area to be enclosed; calculating the number of bars of music required to provide backing for a film sequence; making a garment from a commercial pattern; estimating the amount and cost per annum of fertiliser for a garden; managing food quantities and nutritional balance in a childcare centre.

Performance Level 3

At this level a person: defines the purposes and objectives of the activity, and recognises the assumptions which need to be made in order to apply an idea and technique; and adapts the idea and technique to fit the constraints of the situation; and makes decisions about the level of accuracy needed to resolve competing demands; and interprets and evaluates methods and solutions.

Some applications of using mathematical ideas and techniques at this level are: designing and making a feed container to hold a specified amount and fit in a given location; making a piece of furniture having produced a design brief which includes the working drawings and a summary of the quantities and costs; constructing a spreadsheet to calculate wages, tax, and the required denominations of notes and coins for pay packets based on the input of hours worked and rate of pay; designing the lighting plan for a play; modifying a commercial pattern to the design requirements of a client; managing household finances.

Solving problems

Some of the essential attributes for successful participation in work are the capacities to frame questions, to identify the sources and contexts in which problems arise and to work through dilemmas and ideas in a coherent way. Solving problems captures these capacities. It is not only about the capacity to respond to problems as they present themselves, but also the capacity to anticipate problems and devise suitable response strategies. It is about the nature of solving problems as a process, including the control that is exerted over the process.

The term 'problem' is used generally, encompassing several interpretations including a practical difficulty or a social situation where something is obviously wrong, a challenge to accomplish a specific result, perhaps under prescribed conditions, an invitation to investigate something and a situation in which there is no obvious problem requiring immediate attention, only a perception that something could be improved. It can involve capitalising on opportunities to explore ideas.

Applications of solving problems may be found in work, whether it is paid, unpaid or voluntary work, where processes rarely operate without the need for continuous anticipation and resolution of problems. Problems arise which require judgements and decisions. Some applications entail routine and known issues which have standardised responses. Others include unusual or less predictable problems which require initiative and innovation to identify the problem and find possible responses. These also apply to participation in further and higher education settings.

Solving problems focuses on the capacity to apply problem-solving strategies in purposeful ways, both in situations where the problem and the desired outcomes are clearly evident and in situations requiring critical thinking and a creative approach to achieve an outcome. It has four main ideas.

Clarification and framing of problems

At lower levels this might involve locating the source of a problem by matching symptoms against known sources. At higher levels the links between symptoms and conditions are much less defined, and require clarification of the major factors involved. For example, frequent and unexplained weariness in a colleague or friend is a problem for which there is

no 'routine maintenance' style of solution. It requires the framing of the problem in developmental and exploratory terms.

Achievement of appropriate completion

In some instances completion means that the outcome sought is achieved. In others, a decision might be made to refer the problem elsewhere, a cost-benefit assessment may indicate that the process should cease or the need for a solution to the problem may have passed. Under all of these conditions, it is essential that focused effort be expended until appropriate achievement has been attained. At one level this may involve using a recognised strategy to resolve a problem. At another level it may mean drawing on a range of processes, and adapting them to achieve the outcome.

Anticipation of problems, sources and contexts

At lower levels anticipating problems amounts to accepting that problems can arise and that they must be addressed and resolved. This applies as much to technical faults in machines as to issues and difficulties which arise personally or for colleagues. At higher levels, being able to anticipate problems means also being able to anticipate the conditions which generate problems.

Evaluation of outcomes and processes

At lower levels this means checking that outcomes are accurate and in accord with what was intended. It also means checking that the process used is efficient and is socially responsible. At higher levels it involves reflecting on and making judgements about efficiency of process and validity and usefulness of outcomes.

At Performance Level 1, the focus is on responsiveness to problems as they arise.

Performance Level 2 focuses on the selection of appropriate processes, clarification of the relationship between the processes available and the desired outcomes, and the effective use of those processes to achieve completion. Performance Level 3 focuses on anticipation of conditions under which problems arise and the use of judgement in the approach to problem solving.

Performance Level 1

At this level a person: clarifies desired outcomes and processes, and maintains focus through to appropriate completion; and responds to faults and difficulties as they arise; and checks the accuracy of outcomes and utility of the process.

Some applications of solving problems at this level are: following procedures to have a photocopier repaired; arranging food for a group's overnight hike; receiving a complaint from a guest in a hotel; creating access up steps for concrete delivery.

Performance Level 2

At this level a person: clarifies the desired outcomes, and the relationship between those outcomes and the available processes for solving the problem; and draws on a range of processes to achieve appropriate completion; and takes opportunities to improve or enhance processes and outcomes, and assesses efficiency of processes and outcomes.

Some applications of solving problems at this level are: monitoring the repair rate of a photocopier and providing alternative solutions; generating alternatives in the provision of food for a group's overnight hike; establishing a route for cabling a concrete wall; identifying options for a client in resolving a complaint; reducing hazards on a worksite.

Performance Level 3

At this level a person: establishes major factors affecting processes and outcomes; and adapts and manipulates processes to achieve appropriate completion; and anticipates problems and opportunities, and the conditions under which they arise; and establishes and uses criteria for judging effectiveness of processes and outcomes.

Some applications of solving problems at this level are: investigating photocopying needs and developing alternative proposals and action plans; achieving innovations in the provision of food for a group on an overnight hike; resolving continued quarrelling between two children in a pre-school; designing sets for a stage that has limited depth; adapting work priorities to accommodate new orders; generating teamwork among work colleagues; creating options for street beautification.

Using technology

The structures of workplace settings, and the ways in which people interact and outcomes are achieved, are affected profoundly by technology. Effective participation in work and in society depends, at least in part, on the capacities involved in managing technological systems, processes and equipment.

Applications of using technology can be found in the workplace where production and service depend on the proficient use of technology, where practices such as multi-skilling require unprecedented levels of use of technology, and where market advantage depends on the ability to use technology to customise products and services. It is applied in further and higher education where access to learning and the learning process itself require technological competence. In personal daily life competence in the use of technology reflects some of the basics of living independently.

Using technology focuses on the capacity to use technology, combining physical and sensory skills needed to operate equipment with the understanding of scientific and technological principles needed to explore and adapt systems.

At one extreme technology is defined simply as equipment or 'high tech' equipment. At the other, the definition extends so widely that its significance as a definition becomes lost. The position adopted here draws on three dominant interpretations of 'technology': technology as equipment and materials; technology as a pattern of operations forming a process; technology as a system of principles and ideas.

The notion of 'using technology' extends from the manipulative and sensory skills required to operate basic hand tools through to the scientific and technological principles required to explore, to innovate, and to adapt. Using technology draws on knowledge and skills from a variety of areas, but particularly from scientific and technological understanding and problem solving. The focus of this knowledge and skills lies more in how technology is used than in how it is made. Competent performance in using technology relates to the ability to use appropriate technology, including the foundation knowledge and understanding, in a given context and the capacity to apply that technology to a new situation or task. It does not imply that competence in using a particular technology necessarily translates into competence in using a completely different technology.

Much of the demand for competence in this area relates to the capacity to have a feel for the application of technology - confidence in approaching and using technology. This is related to success in the use of technology - even if it is in basic forms - awareness of the extent to which technology is in use and the ability to form generalised understanding about the use of technology. Using technology involves: interpretation and use of the goals of using technology, use of scientific and technological principles and practices, social and ethical responsibility in the use of technology, accommodation to surrounding environs and personal physical capacity.

At Performance Level 1, the primary focus is the use of technological equipment and materials, and application of the related knowledge base. At Performance Level 2 the focus broadens to include being able to configure and manage a series of operations into a process. It includes selecting technology, using technologies in combination and enacting plans to achieve given objectives. At Performance Level 3, the primary focus of using technology broadens again to include being able to adapt a system of technological principles and ideas to a new situation.

Performance Level 1

At this level a person: clarifies the objectives for the use of technology, and uses technological practices within the guidelines for health and safety, environmental impact and ethical practice, and uses technological equipment and materials proficiently for the prevailing environs and physical capacity.

Some applications of using technology at this level are: entering and retrieving data from a computer software package; using an overlocker to close and finish straight seams; using hand tools to sharpen a plane blade; sorting waste materials by their second-use capacity; using a pre-timer system on a microwave oven.

Performance Level 2

At this level a person: interprets the purposes and objectives for the use of technology, and configures and manages a series of operations as a process, and selects technological practices to conform with the guidelines for health and safety, environmental impact and ethical practice, and uses them within those guidelines, and uses technological equipment and material proficiently for the prevailing environs and physical capacity.

Some applications of using technology at this level are: assembling a kit-form fitness machine to full operating condition; constructing a fitted, panel line skirt using a commercial pattern; monitoring the safety and operating condition of equipment and facilities; using electronic databases to conduct a literature search for a given area of investigation; making repairs to a windmill using on-site materials.

Performance Level 3

At this level a person: defines the purposes and objectives for the use of technology, and transfers technological principles to a new situation; and configures and manages a series of operations as a process, and selects technological practices to maximise socially and ethically responsible use of technology, and uses technological principles to reduce constraints presented by environs and physical capacity.

Some applications of using technology at this level are: customising applications software for the financial management of a community group acting as client; preparing clothing design options for the technical and management staff of a city restaurant; designing constructing and trialing a prototype for a system to manage the complex of cables emanating from a cluster of electronic stage entertainment equipment; preparing options, organised by cost-benefit outcomes, for upgrading the energy efficiency of a dwelling of simple design; preparing design options for the modification of a house to accommodate a person with a wheelchair.

APPENDIX B: SAMPLE ASSESSMENT 1

WRRCS2A – Apply point of sale handling procedures

This is an example of real assessment materials developed for *WRRCS2A Apply point of sale procedures*, from the National Retail Training Package. The candidate is enrolled in a New Apprenticeship, so the evidence is gathered from both the learning situation and work experience.

The evidence collected in this process would also be used to demonstrate competence in other units of competency, for example *WRRCS3 Interact with customers*. Assessment would normally be carried out through an integrated competency assessment.

The full competency checklist on the next page demonstrates how all the components of competency have been included in one checklist. This can be used as an evidence summary and a way of reviewing and evaluating the evidence. It could also be usefully retained by the RTO. The table below shows how each of the materials can be used to support the assessment process.

Assessment process	Materials
Visualising competence	Full competency checklist
Collaboration	Full competency checklist Evidence plan
Targeting evidence	Evidence plan
Gathering evidence	Sample operational checklist - cash register Sample role-play instructions Sample questions Third party checklist
Gathering evidence	Full competency checklist

Full competency checklist

Unit:	<i>WRRCS2A Apply point of sale handling procedures</i>
Candidate name:	
Assessor name:	

		Applications from range statement
	Activity	Evidence presented
<p>Dimensions of competency: task skills, transfer skills</p>	<p>Use different point of sale equipment within their store and transferring skills to other contexts</p> <p>Workplace application</p>	<p>Demonstrated the use of a cash register at work and a scanner and a numerical display board at college.</p> <p>Explained the differences, similarities and the procedures within this store.</p> <p>Showed completed learning activities from the course.</p> <p>Statements from the supervisor indicated that the point of sale terminal was used regularly.</p>
<p>Underpinning knowledge, contingency management</p>	<p>Operate the point of sale equipment correctly and explain what to do if there is a problem</p>	<p>Demonstrated all of the steps: opening, closing, clearing, transfer of tender on different types of equipment.</p> <p>Answered questions about store procedures.</p>
<p>Managing tasks</p>	<p>Maintain the point of sale equipment correctly</p>	<p>Demonstrated how to keep the area tidy and the POS clean.</p> <p>Supervisor indicated that it was always tidy.</p> <p>Could identify the benefits of a tidy workspace.</p>
<p>Underpinning knowledge, contingency management</p>	<p>Explain what to do if the equipment breaks down or another unplanned event occurs</p>	<p>Explained with an example when the POS crashed and how he dealt with customer and supervisor.</p> <p>Showed learning activities completed correctly about problems and solutions with equipment.</p>

Key competencies:
mathematical techniques,
problem solving,
communicating,
task skills

Underpinning skills, key competencies:
team work,
communication

Key competencies:
planning and organising

Activity	Evidence presented
Carry out payment transaction following the store procedures: <ul style="list-style-type: none"> • handling cash using mathematical tools and techniques • maintaining cash supplies • housekeeping • communicating with customers • fixing transaction errors using problem solving techniques • handling returns. 	Explained the store procedures. Demonstrated all of the cash handling procedures. Interacted well with customers. Correctly calculated change. Supervisor reported good communication, problem solving and cash handling techniques.
Maintain the supplies of documents and other materials	Explained the documents needed and procedures.
Enter data correctly into POS equipment	Observed entering data correctly. Supervisor agreed.
Communicate appropriately with different customers and colleagues using appropriate techniques such as: <ul style="list-style-type: none"> • questioning • listening • conflict avoidance. 	Observed communicating in a positive tone with customers. Role-played during learning. Supervisor agreed.
Planning and organising the customer delivery requirements	Observed different approaches. Explained processes followed. Customers agreed.
Complete the documentation correctly	Produced documents signed-off by supervisor.
Select the right packaging and wrapping materials for the item	Explained the use of different packaging and wrapping for a range of different objects. Learning activities demonstrated that skills could be applied to items not sold in this store.
Wrap the items so that they are safe for their destination	Demonstrated wrapping techniques.

Evidence plan

Candidate and assessor to complete prior to the assessment.

Candidate's name:	<i>Jeremy Hodges</i>
Address:	<i>6 Harriet St, Lewisham</i>
Telephone:	<i>95382 6145</i>
Assessor's name:	<i>Martin King</i>
Units of competency to be assessed	
<i>WRRCS2A Apply point of sale handling procedures</i>	
Evidence to be collected	
<ul style="list-style-type: none"> • Workplace observation • Supervisor feedback • Role-play activity • Evidence of formative assessment activities from learning program 	
Candidate to answer questions (yes/no)	
• Has the assessment process been explained?	
• Have you received copies of the relevant units of competency?	
• Do you understand which evidence is to be collected and how?	
• Have your rights and the appeal system been fully explained?	
• Have you discussed any special needs to be considered during assessment?	
I agree to undertake assessment in the knowledge that information gathered will only be used for professional development purposes and can only be accessed by my manager and the RTO.	
Candidate's signature: _____	
Date: _____	
Assessor's signature: _____	
Date: _____	

Sample operational checklist - Cash registers

This checklist is used to observe the candidate using the point of sale (POS) equipment.

Candidate name:	Jeremy Hodges	
Unit of competency:	<i>WRPCS2A Apply point of sale handling procedures</i>	
Application:	Cash registers in the toy department	
Assessor name:	Martin King	
Assessor position:	RTO assessor	
Can the candidate apply store policies to:	Comments	
Open and close cash register	<i>Yes</i>	
Transfer tender	<i>Yes</i>	
Handle cash	<i>Yes</i>	
Complete records	<i>Completed – see attached</i>	
Maintain documents	<i>Yes, maintained vouchers and returns documents</i>	
Communicate with customers	<i>Yes, greeted and explained the need to replace paper roll</i>	
Communicate with other employees	<i>Yes, with the supervisor</i>	
Comments		
This was undertaken in a busy period. There were a lot of people rushing in before the close of business.		

Sample role-play instructions

This role-play was given to the class to act out their strategies for dealing with difficult customers. It was used as formative evidence of competence.

The teacher used the class to act out roles in the simulated retail outlet at the college. They had access to a real cash register, items for sale and a retail counter.

The candidate was given the role of the cash register operator. Other students acted out the other roles. They were given a short time to prepare. The cash register operator did not know the roles of the other students. The teacher played the role of the supervisor.

Situation

The setting is a small food shop. It is very busy. The candidate is serving, and there is a long line of customers who are getting impatient, particularly the first customer. The candidate is halfway through serving her when the cash register runs out of paper. There isn't a spare roll, she can't find the supervisor and the customer is getting increasingly angry.

The operator has to calm the customer down sufficiently to get away and find the supervisor.

Cash register operator (candidate)

You are operating the cash register. There is a long line of customers waiting to be served. The customer you are serving is in a big hurry. The roll of paper runs out. You can't find the supervisor to get a new roll, and you don't know how to replace it. The customer is getting increasingly annoyed and the other customers are also beginning to get impatient.

Customer one (role one)

You are a customer. You are in a big hurry because you have to pick up your child from the child care centre and if you're late you have to pay a penalty. You thought you would have time to dash in and do the shopping. You hadn't counted on being served by a trainee and the cash register breaking down halfway through your goods being processed. You are getting very angry and are taking it out on the operator. You are saying things like:

- 'How long is this going to take?'
- 'Why do they put trainees on to work on their own!'
- 'Look, I'm in a terrible hurry.'
- 'I've got to pick up my child.'

Customer two (role two)

You are the next in line. You are used to being held up at the supermarket and you're not in that much of a hurry anyway. But you are feeling a bit sorry for the cash register operator because of the hysterical woman in front of you.

You says things like:

- 'Oh chill out, it's not that bad.'
- 'Give the kid a break, he's learning.'

The teacher/assessor can develop a range of different role cards for customers one and two and a range of different reasons if they need to assess a group of learners.

Sample questions

These questions were asked to check performance and underpinning knowledge.

1. What would you do if the cash register crashed and did not print out a receipt?
2. Why is it important to keep the work space tidy?
3. Can you explain what each of the documents is used for?
4. If you were introduced to a new POS machine, what functions would you look for?
5. What occupational health and safety practices should you apply when working at the point of sale?

Third party checklist

Candidate's name	Jeremy Hodges
Unit of competency name and code	<i>WRPCS2A Apply point of sale procedures</i>
Name of third party	Jeanette Kostavaros
Third party role	Assistant Manager, Sales
Work functions	POS procedures
Equipment used	Cash register
The candidate demonstrates competent performance	Comments
Using POS equipment: <ul style="list-style-type: none"> • cash register • scanner • key pad. 	<p>Uses this equipment efficiently.</p> <p>Can work out a solution if there is a problem.</p> <p>Understands operational procedures.</p> <p>Able to explain any problems and check procedures if in doubt.</p>
Maintaining POS equipment: <ul style="list-style-type: none"> • keeps areas and items tidy. 	Agree.
Carrying out payment transactions: <ul style="list-style-type: none"> • managing mathematical processes • fixing transactions errors • entering data. 	<p>Follows store procedures for correcting transaction errors and entering data.</p> <p>Is learning credit card transactions. Can complete credit cards, returns.</p> <p>Good with maths and handling cash.</p>
Communicating with customers: <ul style="list-style-type: none"> • listening to needs and queries • helping to resolve conflicts • manages and avoids conflict. 	<p>Jeremy has a pleasant manner and is always observed to be friendly and helpful toward customers.</p> <p>Can get a bit intimidated with difficult customers, however, knows store procedures and follows them.</p>
Signed:	

APPENDIX C: SAMPLE ASSESSMENT 2

PUASAR002A – Conduct road crash rescue

Introduction

This is an example of materials developed to assess a team of State Emergency Services (SES) workers in road crash rescue. The team consists of four candidates who are being assessed and a team leader. For a summative (final) assessment, they are assessed through a simulation, because it is not usually possible to assess in real time/real work activities. There are four simulations that they can choose from but they must do at least two. Sample materials for only one of the possible simulations have been included here.

Assessment stages	Materials to support the process
Visualising competence	Observation checklist - simulation Questions
Collaboration	Instructions for the assessor
Targeting evidence	Evidence summary sheet
Gathering evidence	Evidence gathering tools: <ul style="list-style-type: none"> • simulation instructions • observation checklist - simulation • questions • progressive learning record.
Records and feedback	Evidence summary sheet

Instructions for the assessor

Assessment strategy

This guide sets the strategy for managing the road crash rescue summative assessment.

Unit trainers record formative (progressive) assessment results or recognition of current competencies in the Progressive Learning Record. On successful completion of all topics, learners are ready for the final assessment.

Trainers and learners are jointly responsible for deciding when the learner is ready for final assessment. The unit trainer or training coordinator will sign-off that the learner is ready for the summative assessment tasks. Learners need to present the Progressive Learning Record to the assessors at the summative assessment. Assessors will validate the summary of formative assessment.

Competence in this unit is established through practical demonstration of road crash rescue skills, while providing evidence of underpinning knowledge.

It may not be practical or convenient to assess learners on-the-job. Consequently, the summative assessment will involve setting scenarios and simulations of road crash rescues.

Unit of competency

Individuals will be assessed against the Unit of Competency - *PUASAR002A Conduct road crash rescue*.

Assessment duration

The assessment should not take longer than two hours.

Candidate numbers

The maximum number of candidates for each assessment is four, with a minimum number of two. Where fewer than two candidates are available, assessors should include already competent team members to make up a team.

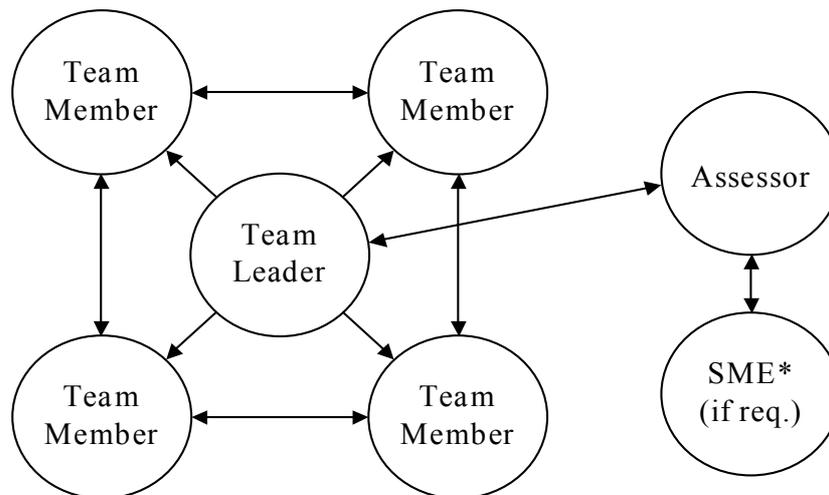
Assessment flexibility

The assessment can be carried out using a number of flexible options:

- one session completing all assessment events in a half day
- multiple sessions running in series for large groups
- multiple sessions including training nights across multiple weeks
- on-the-job during operations.

Team structure

The assessment occurs in teams, simulating the real work of a road crash rescue team. Candidates need to know how the assessment is structured, and the following system should be explained before the assessment begins. Note that the diagram is for a team of four. There may be two, three or four team members and the team leader may also be the assessor.



* SME = Subject Matter Expert

The rescue team is to be directed by a suitable existing team leader who is current in road crash rescue. The team leader is not assessed, but works with the assessor to ensure all candidates get a chance to demonstrate their competence. The assessor may require any candidate to perform any relevant task during the event. The assessor may also take the role of team leader.

Team leaders will be identified for the simulations. Each individual team member will be identified with a number (1 – 4).

Assessor qualifications

Assessors must be current in the following units from the Certificate IV in Assessment and Workplace Training:

- *BSZ401A Plan assessment*
- *BSZ402A Conduct assessment*
- *BSZ403A Review assessment*

or equivalent.

Assessors must also be currently competent in *PUASAR002A Conduct road crash rescue*. If the assessor is not current, a **subject matter (technical) expert** must be used for technical advice.

Wherever possible, an assessor must not assess members they have trained and preferably not those in their own unit. Exemptions can only be granted by the Division Training Coordinator.

Multiple assessors

If more than one assessor is involved in the assessment process, a **Coordinating Assessor** must be appointed to manage the process.

Gathering evidence:

Evidence is gathered in the following ways:

- **formative assessments** recorded in the Progressive Learning Record during training and validated by the assessor
- **summative assessment** carried out as an exercise or simulation, or on-the-job activity.

Running the assessment

The road crash rescue assessment is built around four crash rescue simulations. Assessors may not need to use all four scenarios to allow all candidates to demonstrate competence.

Candidates must participate in at least two simulations to demonstrate competence.

Each scenario is similar and allows the assessment of all elements. The following information is common to each of the assessment activities in the summative assessment.

Activity timings

Item	Duration
Briefing	5 Minutes
Activity	40 Minutes
Recovery	10 Minutes
Debrief*	5 Minutes

The assessor should ensure sufficient time is allowed for set-up prior to the team seeing the assessment activity.

** Does not include individual feedback.*

The coordinating assessor may choose to brief all candidates on all assessment activities at one time. An individual activity may take less than forty minutes if all candidates have demonstrated competence. Assessors should not need more than the forty minutes allowed to make a valid judgement on competence.

Rotating team members

The assessor should ensure the team leader rotates candidates through different tasks during the simulation.

Safety breaches

Safety is a key aspect of the assessment. The event should be stopped if the safety of participants is directly threatened. All observed individual breaches of safety must be recorded, including any failure of team members to draw attention to breaches by other members. These issues are to be raised in debriefing.

Human resources

- Set-up crew One or two per assessment activity
- Casualties One per scenario (mannequins may be used)
- Assessors Minimum of one for **each** assessment activity

Range statement

- Hazardous environmental conditions, including weather (high winds/rain) or night operations
- Traffic and bystanders
- Operations among debris.

Flexibility

The assessment specification is the **recommended** way to allow candidates to demonstrate their competence. Local conditions may require reasonable adjustment to the scenarios or the order in which they are presented.

Flexibility is encouraged, ensuring that candidates get the opportunity to demonstrate their ability to meet the competency. Assessors should use the evidence gathering tool to ensure alternative scenarios are comprehensive.

Reasonable adjustment – language, literacy and numeracy

Candidates' special needs will be accommodated where practicable and not inconsistent with the skills to be assessed.

SES members are required to have sufficient language competency to interact with one another and the public in suitable words. Candidates should be able to demonstrate an ability to listen to others and accurately interpret what is being said. Oral questioning during assessment should allow candidates the opportunity to demonstrate their verbal communication ability.

A minimum level of literacy is required for assessment in this unit. Where candidates are asked to write information they may choose to have another person record it for them.

Candidates may ask for clarification of written material. Assessors should not require additional literacy assessment tasks. Mathematical abilities are not directly assessed in this unit.

How much evidence is needed?

A key part of the assessor's role is to gather sufficient evidence to make a judgement about the competence of the candidate. Evidence gathering must be fair, flexible, valid, reliable, authentic and cost-effective.

Avoid the temptation to over-assess. To assess a candidate as competent, the assessor needs to be convinced that the candidate can do the job. To do this effectively, observation of one or more assessment events should be combined with evidence of formative assessments.

Candidate feedback

Candidates should be given a chance to comment on their performance prior to getting feedback from the assessor. Candidates should receive a copy of all written comments and the evidence summary.

At the conclusion of the assessment, the assessor will complete the evidence summary for each candidate and indicate whether the candidate is competent or not yet competent. The candidate should sign this document and add any relevant comments.

The evidence summary should be copied and the copy given to the candidate (at the time if possible, or later through DHQ) and the original sent to Division for processing and filing.

Referrals and appeals

Assessors must always offer candidates the chance to discuss the decision. Assessors must be clear in instances where more practice is required and if unsure about a particular assessment, they should not be talked into a decision. Rather, assessors should explain the need to gather further evidence and discuss ways of obtaining it. There are three options for the candidate:

- agree with the decision
- ask for a review of the evidence
- ask for a re-assessment.

If the candidate feels strongly that they have been unfairly treated, the assessor can offer a referral to another assessor.

The assessor should notify the Division Training Coordinator and, working together, they should determine the best course of action. Candidates should be involved in the decision. If common ground still cannot be reached, candidates may refer the matter through the Division to the State Training Coordinator.

On-the-job assessment

Assessment can be carried out during operations. This is probably the best form of assessment, but unfortunately is not always available. An assessor must be responsible for any on-the-job assessment.

Evidence gathering tools

Simulation instructions

Scenario

The rescue team is required to gain access to a motor vehicle which has crashed on its side, trapping one person. The team is to assess the scene and manage the hazards, stabilise the vehicle, gain access to the trapped person and remove the casualty from the vehicle. The casualty will have injuries requiring a spine stabilisation device to be used when the casualty is removed.

Candidates will have to get information from the team leader about the nature of the rescue. This should include questions to get details about the crash, including the number of vehicles, casualties and their situation, and information on the terrain, weather conditions and the route. Candidates should prepare their personal kit for the rescue, including PPE and other safety equipment as appropriate.

After the briefing, the team will conduct the rescue under the control of the team leader.

Following the rescue, candidates should participate in a debrief conducted by the team leader.

Simulation

The team should attend a simulated briefing for a road crash (this would normally take place in the rescue vehicle). The briefing should be conducted by the team leader and observed by the assessor. After the briefing, team members will prepare their personal equipment.

A motor vehicle is placed on its side on level ground. While the vehicle is held stable, one casualty is placed in the vehicle, sitting in the driver's seat. The casualty is to complain of a sore back and tingling in their legs (the seat belt is still on). The casualty is to be removed from the vehicle through the back window, preferably without damage to the car.

Candidates will demonstrate scene assessment, stabilisation of a vehicle on its side, gaining access and casualty handling.

Briefings

The team leader should wear suitable identification during the assessment event. The team leader is not being assessed, but is there to ensure the simulation is true to life. They will not be physically involved in performing any tasks other than those normally done by a team leader.

The team leader is to brief the team in the details of the task and then lead the team in the rescue. After the rescue is complete the team leader will conduct a debrief and supervise post-operation activities.

The assessor (who may be acting as the team leader) will observe candidates throughout the process.

Assessor briefing

As a team you will be briefed for a rescue. You should ask questions of your team leader, then prepare personal and team equipment as appropriate for the rescue and conditions.

The time allowed for the event is forty minutes with an additional ten minutes for recovery of equipment and five minutes for the debrief.

Team leader briefing

Police have called us to a road crash, advising that it is a single vehicle crash with one person trapped. We have been asked to assess the situation, deal with any hazards, stabilise the vehicle and gain access to the casualty. We are then to treat the casualty's injuries, extricate the casualty from the vehicle and transport to the waiting ambulance.

You will use the equipment provided to complete the rescue.

The weather is currently: *Give details of current and up-coming weather.*

I will rotate you through various activities to allow you to demonstrate your skills.

Allocate individual tasks

You have five minutes to prepare your equipment and prepare for transport to your starting location.

Equipment

All rescue team members should have access to the following minimum equipment:

Item	Qty	Comments
PPE	1	
Motor vehicle	1	May be damaged or re-used
Hand-operated hydraulic rescue kit	set	
Motorised hydraulic rescue kit	set	
Mechanical jack	1	
Cargo straps	4	Two short, two long
Acrow-props (size 0)	1	
Step-blocks	set	
Timber cribbing (100x100x600mm)	20	Approximate size
Wedges	6	Maximum angle 15°
Hand-tools	set	Various
Pickets	2	
Lashings (12m x 12mm)	1	
Spinal immobilisation device	1	Rescue board or similar as carried on unit vehicle
First aid kit	1	
Blanket	1	
Casualty protection equipment	set	As carried on unit vehicle
Fire extinguishers	2	As carried on unit vehicle

Observation checklist – simulation

Critical skills

Task	Did the candidate:
Prepare for road crash rescue	<ul style="list-style-type: none"> • obtain operation and task information? • select and wear appropriate PPE for the rescue? • select appropriate rescue equipment based on the information provided? • check equipment before use?
Establish and maintain rescue scene safety	<ul style="list-style-type: none"> • establish a safe working area? • stabilise the vehicle ensuring: <ul style="list-style-type: none"> ▪ rescuers' bodies were kept away from hazards? ▪ props/blocks/wedges were placed appropriately and secured? ▪ straps/ropes were secured? • continuously monitor hazards during the rescue?
Manage casualties	<ul style="list-style-type: none"> • assess and stabilise the casualty? • determine the nature of the injury and entrapment? • follow universal hygiene precautions? • contribute to developing an extrication plan?
Remove casualties from entrapment	<ul style="list-style-type: none"> • protect the casualty from further injury? • prepare an access path to remove the casualty? • use appropriate extrication techniques, specifically: <ul style="list-style-type: none"> ▪ maintain spinal stabilisation? ▪ smooth steady movements? ▪ clear metal and glass from access path with minimal noise and additional damage?
Conclude road crash operations	<ul style="list-style-type: none"> • recover and clean all equipment? • preserve scene and sketch notes for investigators? • participate in debrief?

Questions

(These may be written or oral).

Prepare for crash rescue

Critical aspects Did the candidate:	Related knowledge questions	Candidate				Comments
		1	2	3	4	
<ul style="list-style-type: none"> • obtain operation and task information? • select and wear appropriate PPE for the rescue? • select appropriate rescue equipment based on the information provided? • check equipment before use? 	<ul style="list-style-type: none"> • List six items of personal protective equipment you might need at a crash rescue. • Why is it important for all members of the team to hear instructions? • How would you raise a concern regarding safety? 					

Prepare for crash rescue (continued)

Critical aspects Did the candidate:	Related knowledge questions	Candidate				Comments
		1	2	3	4	
<ul style="list-style-type: none"> • establish a safe working area? • help manage rescue scene? • stabilise the vehicle ensuring: <ul style="list-style-type: none"> ▪ the prevention of vertical movement ▪ the prevention of forward/backward movement ▪ the establishment of appropriate anchors ▪ the prevention of further compression of cabin area ▪ props/blocks/wedges were placed appropriately and secured ▪ appropriate chassis tie-off points ▪ straps, ropes and ties were secured correctly? • Keep hazards away from rescuers? • Monitor hazards and vehicle stability continuously during the rescue? 	<ul style="list-style-type: none"> • Name six hazards you could find at a crash: three with a vehicle on its side and three with a vehicle on its roof. • What would you do if fuel was spilling? • What special precautions need to be taken at a crash involving LPG fuelled vehicles? • How do you manage bystanders at a crash scene? • Why do you have to stabilise a vehicle? • List three possible anchors for stabilisation. • List three ways to reduce traffic hazards at a crash. • How should stability be checked? • How high does the top of the acrow-prop need to be on the underside of the vehicle? 					

Underpinning knowledge

Questions should be asked during (or after) skill demonstration, or as part of gathering evidence, to assess underpinning knowledge. A question bank is provided with the most appropriate response.

Suggested question	Ideal response
Name three hazards you may find at a crash with a vehicle on its side.	Weather, spilt fuel, oil, water from radiator, battery acid, traffic, light (lack of).
What would you do if fuel was spilling?	Have someone stand by with an AFFF fire extinguisher. Contain any spillage to prevent danger spreading. Ensure the fire brigade is advised.
List three possible anchors for stabilisation.	Tree, vehicle, railings, holdfast system.
How would you remove a casualty where there is not enough room to get them out the back window?	Flap the roof.

Results for simulation exercise *PUASAR002A Road crash rescue*

Name:	Name:
Unit:	Unit:
Competent <input type="checkbox"/>	Competent <input type="checkbox"/>
Not yet competent <input type="checkbox"/>	Not yet competent <input type="checkbox"/>
Name:	Name:
Unit:	Unit:
Competent <input type="checkbox"/>	Competent <input type="checkbox"/>
Not yet competent <input type="checkbox"/>	Not yet competent <input type="checkbox"/>
General comments:	

Progressive learning record

Road crash rescue

This sheet is to be used as the summary of progressive learning activities for individuals.
The sections are to be completed and verified by the trainer or activity supervisor.

Candidate Name: _____

ID Number: _____

Unit: _____

Activity	Date completed	Verified
Readiness and preparation		
RCR vehicle and equipment		
Responding to a call		
Managing the crash scene		
Systematic extrication		
Access and extrication techniques		
Getting casualties out of the vehicle		
Wrapping up the rescue operation		
Comments:		

Evidence summary sheet

Road crash rescue

This sheet is to be used as the summary sheet for individuals. Each section is to be completed and signed off by the assessor, trainer and candidate where appropriate.

Please print everything!

Candidate Name: _____

ID Number: _____

Unit: _____

Pre-assessment

Candidate has completed formative exercises and assessment activities

Assessment process explained to the candidate

Candidate ready to be assessed

Candidate's signature: _____ Date: _____

Confirmed by trainer: _____ Date: _____

Verified by assessor: _____ Date: _____

Summative assessment

Prepare for crash rescue Gain access

Extricate casualty Manage hazards

Preserve scene Complete stand-down and recall

RESULT (CIRCLE)

Competent

Not yet competent

(Assessor to list/explain areas for future development to the candidate)

<p>Candidate's comments I have been appropriately debriefed about this assessment.</p>	<p>Assessor's comments I have provided the candidate with feedback, indicating areas for future development when required.</p>
<p>Signature: _____</p> <p>Date: _____</p> <p>Print name: _____</p>	<p>Signature: _____</p> <p>Date: _____</p> <p>Print name: _____</p>

Original: Coordinating assessor to submit for processing.

Copy: Candidate.

Division processing checklist:

Entered on database (RCC)

Date: _____

Award issued

Date: _____

APPENDIX D: TEMPLATES

Template	Page
1. Where to find information in a unit of competency	175
2. Overwriting a unit of competency	176
3. Record of initial interview	177
4. Interpreting the unit of competency	178
5. Self-assessment guide	179
6. Workplace assessment checklist	180
7. Targeting evidence	181
8. Evidence table	182
9. Assessment agreement	183
10. Procedural observation checklist	184
11. Complex observation checklist	185
12. Questions to support complex observation checklist	186
13. Third party checklist	187
14. Guide for developing a complex demonstration checklist	188
15. Simulation checklist	190
16. Sample recording sheet for oral questioning	191
17. Portfolio instructions	192
18. Portfolio cover sheet	193
19. Evaluation of a portfolio	194
20. RTO record of assessment results	195
21. Assessment summary and feedback form	196
22. Assessment record	197
23. Record of competency	198
24. Candidate's competency record book	199
25. Record of post-assessment interview	200

Template 1: Where to find information in a unit of competency (see Figure 3 for example)

What do you need to know about the work activity?	Where is the information found?	What does the unit of competency tell you?
What is the work activity?	Unit title	
What does the work activity involve?	Description	
What skills are needed to perform the work activity?	Elements	Key skills to perform: •
What level of skill is needed?	Performance criteria	For each skill there are specified performance criteria. For example: •
What are the conditions under which this work activity may be conducted?	Range statement	The variables to be considered in assessing this unit include: •
What evidence is needed to prove that a person is competent?	Critical aspects of competency	The assessor should check to ensure the candidate is able to: •
What knowledge and skills are needed to perform this work activity?	Underpinning skills and knowledge	The knowledge required: • • The skills required include: • •
What generic work skills are needed?	Key competencies	Performance of this task requires: •
Where should evidence of competency be gathered?	Context for assessment	This unit of competency is to be assessed in: •
What resources are required to gather the evidence?	Resource requirements	The resources required to gather evidence for assessment in this unit of competency include: • •

Template 2: Overwriting a unit of competency (see Figure 4 for example)

Unit:		
Descriptor:		
Elements	Performance criteria	Making sense to the company

Template 3: Record of initial interview (see Figure 12 for example)

Unit(s) of competency:		Candidate name:	
Description of candidate's tasks at work		Evidence to collect:	
		Preparation needed:	
Assessor signature:	Candidate signature:		Date:

Template 4: Interpreting the unit of competency (see Figure 13 for example)

Unit:	
Descriptor:	
Element:	
Performance criteria	What does this mean to the candidate?

Template 6: Workplace assessment checklist (see Figure 15 for example)

Name of enterprise:			
Address:			
Phone:		Email:	
Fax:		Mobile:	
Workplace supervisor:			
Trainee:			
Qualifications			
<p>Things to discuss with supervisor at initial meeting (tick when completed).</p> <ul style="list-style-type: none"> <input type="checkbox"/> Contract of training - Training Package and training program <input type="checkbox"/> Communication arrangements between workplace, NAC and RTO <input type="checkbox"/> RTO assessor role <input type="checkbox"/> Contact details for RTO assessor <input type="checkbox"/> Workplace supervisor role - evidence collection, training supervision <input type="checkbox"/> Assessor qualifications <input type="checkbox"/> On-the-job assessment arrangements <input type="checkbox"/> Off-the-job assessment arrangements <input type="checkbox"/> RTO assessment quality assurance arrangements <input type="checkbox"/> Use of technical experts in on-the-job assessments <input type="checkbox"/> Opportunities for collection of workplace evidence <input type="checkbox"/> Assessment recording and reporting arrangements <input type="checkbox"/> Reassessment and appeals process <input type="checkbox"/> Protocols for RTO staff to follow when visiting/contacting workplace <input type="checkbox"/> Any special requirements of workplace. 			

Template 7: Targeting evidence (see Figure 16 for example)

Unit of competency:	
Candidate's name:	
Evidence requirements	Potential sources of evidence
•	•
•	•
•	•
•	•
•	•
•	•
•	•

Template 8: Evidence table (see Figure 17 for example)

Unit(s):		
Candidate name:		
What are the evidence requirements?	How will the evidence be gathered?	What can the candidate do?

Template 9: Assessment agreement (see Figure 18 for example)

Candidate name:		
Address:		
Telephone:	Home:	
	Work:	
Assessor name:		
Unit(s) of competency to be assessed:	<ul style="list-style-type: none"> • • • 	
Evidence to be collected:	<ul style="list-style-type: none"> • • • • • 	
<p>Candidate to answer questions (yes/no)</p> <ul style="list-style-type: none"> • Have the purpose and the consequences of the assessment been explained? • Have you received copies of the relevant unit(s) of competency? • Do you understand what evidence is to be collected? • Have your rights and the appeal system been fully explained? • Have you discussed any special needs to be considered during assessment? 		
<p>I agree to undertake assessment in the knowledge that information gathered will only be used for professional development purposes and can only be accessed by my manager and the RTO.</p>		
Candidate signature:		Date:
Assessor signature:		Date:

Template 10: Procedural observation checklist (see Figure 19 for example)

Candidate name:			
Assessor name:			
Unit of competency:			
Workplace:			
Date of assessment:			
Procedure:			
Did the candidate perform the following skills:	Yes	No	N/A
	<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"/>
The candidate's performance was:	Not Satisfactory <input type="checkbox"/>	Satisfactory <input type="checkbox"/>	
Feedback to candidate			
Candidate signature:			
Assessor signature:			

Template 12: Questions to support complex observation checklist (see Figure 21 for example)

Candidate name:				
Assessor name:				
Units of competency:				
Name of workplace:				
Date of assessment:				
Questions to be answered by the candidate:			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"/>	
The candidate's underpinning knowledge was:		Satisfactory <input type="checkbox"/>	Not Satisfactory <input type="checkbox"/>	
Feedback to candidate:				

Candidate signature:				
Assessor signature:				

Template 13: Third party checklist (see Figure 22)

Candidate name:			
Unit of competency:			
Name of observer:			
Observer's role:			
Date of assessment:			
Machine process name:			
Comments regarding candidate performance			
When completing the work tasks, did the candidate:		Observer comments:	
Yes	No		(tick the correct response)
<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"/>		
Observer's signature:			
Candidate's signature:			

Template 14: Guide for developing a complex demonstration checklist (see Figure 23 for example)

Candidate name:			
Assessor name:			
Unit of competency:			
Training Package:			
Workplace:			
Date of assessment:			
Time of assessment:			
Instructions for demonstration			
Materials and equipment			
Observation			
During the demonstration of skills, did the candidate:	Yes	No	N/A
	<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"/>
The candidate's demonstration was: Satisfactory <input type="checkbox"/> Not Satisfactory <input type="checkbox"/>			

Questions	Satisfactory response	
	Yes	No
The candidate should answer the following questions:		
	<input type="checkbox"/>	<input type="checkbox"/>
The candidate's underpinning knowledge was: Satisfactory <input type="checkbox"/> Not Satisfactory <input type="checkbox"/>		
Feedback to candidate: <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>		
The candidate's overall performance was: Satisfactory <input type="checkbox"/> Not Satisfactory <input type="checkbox"/>		
Candidate signature:		
Assessor signature:		

Template 15: Simulation checklist (see Figure 25 for example)

Candidate name:			
Assessor name:			
Elements/unit(s) of competency:			
Name of workplace:			
Date of assessment:			
During the simulation, did the candidate:	Yes	No	N/A
	<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"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The candidate's performance was:	Not Satisfactory <input type="checkbox"/>	Satisfactory <input type="checkbox"/>	
Feedback to candidate: ----- ----- -----			
Candidate signature:			
Assessor signature:			

Template 16: Sample recording sheet for oral questioning (see Figure 27 for example)

Oral/interview questions		
Candidate name:		
Unit(s):		
Workplace or RTO:		
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"/>
The candidate's underpinning knowledge was: Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/>		
Signed by the assessor:.....		
Date:		
Feedback to candidate:		
Acceptable answers are: Q1 Q2 Q3 Q4 Q5		

Template 18: Portfolio cover sheet (see Figure 33 for example)

Name:	Date submitted:
<p>I declare this evidence to have been produced by the undersigned. Candidate's signature:</p>	
Portfolio evidence presented	
<p><input type="checkbox"/> Outcomes from learning programs (including self-learning and online learning)</p> <p><input type="checkbox"/> Assessment feedback (from a trainer or assessor)</p> <p><input type="checkbox"/> Observation checklists (from a workplace supervisor or assessor)</p> <p><input type="checkbox"/> Written statements or references (including workplace supervisors, community leaders)</p> <p><input type="checkbox"/> Job descriptions</p> <p><input type="checkbox"/> Work journal</p> <p><input type="checkbox"/> Work samples</p> <p><input type="checkbox"/> Finished products</p> <p><input type="checkbox"/> Product descriptions or specifications (supporting the product samples included)</p> <p><input type="checkbox"/> Statutory declarations</p>	
Other evidence (List each piece):	
<p>Assessor to complete</p> <p>Evidence is Valid Sufficient Authentic Current</p> <p style="text-align: center;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </p> <p>Assessor signature: _____</p> <p>Date: _____</p>	

Template 19: Evaluation of a portfolio (see Figure 34 for example)

Evaluation of portfolio contents			
Name of candidate			
Unit(s)			
Workplace			
Name of assessor			
Requirements of the unit of competency	Yes	No	Unsure
The contents of the portfolio provided satisfactory evidence of the candidate's ability to:			
	<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 evidence, the following issues require clarification during interview:			
Additional evidence is required in the following area:			
Signed by the assessor:		Date:	

Template 20: RTO record of assessment results (see Figure 36 for example)

RTO record of assessment results:	
Unit(s):	
<input type="checkbox"/> Competent	<input type="checkbox"/> Not yet competent
Candidate details	Assessor details
Name:	Name:
Position:	Qualification:
Workplace address:	Workplace address:
Results discussed and agreed to:	Comments and future action discussed:
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
Date:	
Candidate signature:	
Assessor signature:	

Template 21: Assessment summary and feedback form (see Figure 37 for example)

Candidate information	
Name:	
Position:	
Employer:	
Manager/Supervisor:	
Assessor's name:	
Assessor's signature:	
Assessment date:	
Units of competency	
Unit code and title:	
Assessment application:	
Assessment decision	
<input type="checkbox"/> Competent	<input type="checkbox"/> Not yet competent
<input type="checkbox"/> Further evidence required	
Feedback and future action	
Gaps in performance:	
Strategies for further improvements:	

Template 22: Assessment record (see Figure 38 for example)

Unit(s):		
Descriptor:		
Candidate name:		
Elements	Summary of evidence provided	
Participate in work group/process		
Contribute to the flow of relevant work information and ideas		
Contribute to the maintenance and improvement of work communication		
Deal with work issues, problems and conflicts		
Underpinning knowledge and skills		
Assessor comments:		
<input type="checkbox"/> Unit of competency achieved		
<input type="checkbox"/> Unit of competency not yet achieved		
Candidate signature:		Date:
Assessor signature:		Date:

Template 23: Candidate's record of competency (see Figure 39 for example)

Unit(s):	
I can perform the following: <ul style="list-style-type: none">••••••••••	
Evidence produced <ul style="list-style-type: none">•••••	
Further action plan <ul style="list-style-type: none">•••••	
Candidate name and signature:	Date:
Assessor name and signature:	Date:

Template 24: Competency record book (see Figure 40 for example)

Unit:		
	Successfully completed	
Elements and performance criteria	Assessor initials	Date
Comments:		
Assessor signature:	Candidate signature:	
Date:	Date:	

Template 25: Record of post-assessment interview (see Figure 41 for example)

Post-assessment interview		
Assessment results	YES	NO
• Evidence summary discussed	<input type="checkbox"/>	<input type="checkbox"/>
• Judgement of competency discussed	<input type="checkbox"/>	<input type="checkbox"/>
• Assessment record signed	<input type="checkbox"/>	<input type="checkbox"/>
Candidate's feedback		
• Understood assessment process and requirements	<input type="checkbox"/>	<input type="checkbox"/>
• Expectations met	<input type="checkbox"/>	<input type="checkbox"/>
Candidate's comments: ----- ----- ----- -----		
Future strategies agreed as a result of the decision: ----- ----- ----- -----		
Date of interview: _____	Candidate signature: _____	Assessor signature: _____

GLOSSARY

This glossary was compiled for use in the *Training Package Assessment Materials Project*. Where definitions have been sourced from particular documentation they have been noted. Other definitions in this glossary were developed for use in this Project.

Accreditation

Accreditation means the process of formal recognition of a course by the State or Territory course accrediting body in line with the AQTF Standards for State and Territory Registering/Course Accrediting Bodies.

From AQTF Standards for RTOs

Accredited course

Accredited course means a structured sequence of vocational education and training that leads to an Australian Qualifications Framework qualification or Statement of Attainment.

From AQTF Standards for RTOs

Appeal process

A process whereby the person being assessed, or other interested party, such as an employer, may dispute the outcome of an assessment and seek reassessment.

From Training Package for Assessment and Workplace Training

Assessment

Assessment means the process of collecting evidence and making judgements on whether competency has been achieved to confirm that an individual can perform to the standard expected in the workplace as expressed in the relevant endorsed industry/enterprise competency standards or the learning outcomes of an accredited course.

From AQTF Standards for RTOs

Assessment context

The environment in which the assessment will be carried out. This will include physical and operational factors, the assessment system within which assessment is carried out, opportunities for gathering evidence in a number of situations, the purpose of the assessment, who carries out the assessment and the period of time during which it takes place.

From Training Package for Assessment and Workplace Training

Assessment guidelines

Assessment guidelines are an endorsed component of a Training Package which underpins assessment and which sets out the industry approach to valid, reliable, flexible and fair assessment. Assessment guidelines include the assessment system overview, assessor requirements, designing assessment resources, conducting assessment and sources of information on assessment.

From AQTF Standards for RTOs

Assessment judgement

Assessment judgement involves the assessor evaluating whether the evidence gathered is current, valid, authentic and sufficient to make the assessment decision. The assessment judgement will involve the assessor in using professional judgement in evaluating the evidence available.

Assessment materials

Assessment materials are any resources that assist in any part of the assessment process. They may include information for the candidate or assessor, assessment tools or resources for the quality assurance arrangements of the assessment system.

Assessment method

Assessment method means the particular technique used to gather different types of evidence. This may include methods or techniques such as questioning, observation, third party reports, interviews, simulations and portfolios. Also see Evidence gathering technique.

Assessment plan

An assessment plan is a document developed by an assessor that includes the elements and units of competency to be assessed, when the assessment will occur, how the assessment will occur, the assessment methods to be used and the criteria for the assessment decision. Also see Evidence plan.

From Training Package for Assessment and Workplace Training

Assessment process

The assessment process is the agreed series of steps that the candidate undertakes within the enrolment, assessment, recording and reporting cycle. The process must best suit the needs of all stakeholders and be both efficient and cost-effective. The agreed assessment process is often expressed as a flow chart.

Assessment strategy

Assessment strategy means the approach to assessment and evidence gathering used by the assessor or Registered Training Organisation. It encompasses the assessment process, methods and assessment tools.

Assessment system

An assessment system is a controlled and ordered process designed to ensure that assessment decisions made in relation to many individuals, by many assessors, in many situations are consistent, fair, valid and reliable.

From Training Package for Assessment and Workplace Training

Assessment tool

An assessment tool contains both the instrument and the instructions for gathering and interpreting evidence:

- instrument(s) – the specific questions or activity developed from the selected assessment method(s) to be used for the assessment. (A profile of acceptable performance and the decision making rules for the assessor may also be included.)
- procedures – the information/instructions given to the candidate and/or the assessor regarding conditions under which the assessment should be conducted and recorded.

Also see Evidence gathering tool.

Audit

Audit means a systematic, independent and documented process for obtaining evidence to determine whether the activities and related outcomes of a training organisation comply with the *AQTF Standards for Registered Training Organisations*.

From AQTF Standards for RTOs

Auspicing

See Collaborative assessment arrangements and Partnerships.

Australian Qualifications Framework (AQF)

Australian Qualifications Framework (AQF) means the policy framework that defines all qualifications recognised nationally in post-compulsory education and training within Australia. The AQF comprises titles and guidelines, which define each qualification, together with principles and protocols covering articulation and issuance of qualifications and Statements of Attainment.

From AQTF Standards for RTOs

Australian Quality Training Framework (AQTF)

Australian Quality Training Framework (AQTF) means the nationally agreed recognition arrangements for the vocational education and training sector.

From AQTF Standards for RTOs

Candidate

A candidate is any person presenting for assessment. The candidate may be:

- a learner undertaking training in an institutional setting
- a learner/worker undertaking training in a workplace
- a learner/worker wanting their skills recognised
- or any combination of the above.

Competency

The specification of knowledge and skill and the application of that knowledge and skill to the standards of performance required in the workplace.

From Training Package for Assessment and Workplace Training

Competency standard

Competency standards define the competencies required for effective performance in the workplace. Standards are expressed in outcome terms and have a standard format comprising unit title, unit descriptor, elements, performance criteria, range statement and evidence guide. Also see Unit(s) of competency.

From Training Package for Assessment and Workplace Training

Client

Client means learner, enterprise or organisation, which uses or purchases the services provided by the Registered Training Organisation.

From AQTF Standards for RTOs

Clustering

The process of grouping competencies into combinations which have meaning and purpose related to work functions and needs in an industry or enterprise.

Adapted from Training Package for Assessment and Workplace Training

Collaborative assessment arrangements

Formal collaborative assessment arrangements are the written agreements that are undertaken between a Registered Training Organisation (RTO) and other organisations or RTOs. These arrangements enable the partners to share for mutual benefit their resources, effort, time, cost, responsibility and expertise. These arrangements are regulated by the *AQTF Standards for Registered Training Organisations*. See also Partnerships and Auspicing.

Informal collaborative arrangements refer to assessors and candidates working together, in partnership, in the assessment process.

Customisation

Customisation is the addition of specific industry or enterprise information to endorsed national competency standards to reflect the work of a particular industry or workplace or to improve the standards' relevance to industry.

Delivery and assessment strategies

Delivery and assessment strategies means delivery and assessment strategies for each qualification, or part thereof, within the Registered Training Organisation's scope of registration.

From AQTF Standards for RTOs

Dimensions of competency

The concept of competency includes all aspects of work performance and not only narrow task skills. The four dimensions of competency are:

- task skills
- task management skills
- contingency management skills
- job/role environment skills.

From Training Package Developers' Handbook

Element

An element is the basic building block of the unit of competency. Elements describe the tasks that make up the broader function or job, described by the unit.

From Training Package for Assessment and Workplace Training

Endorsement

Endorsement means the formal process of recognition of Training Packages undertaken by the National Training Quality Council.

From AQTF Standards for RTOs

Evaluation

Evaluation includes all the activities related to the registration of a training organisation to determine whether it meets, or continues to meet, all the requirements of the *AQTF Standards for Registered Training Organisations* necessary for registration. Evaluation may include review of past performance, review of complaints and other feedback, risk assessment, examination of documentation, conduct of audit, consideration of audit reports and other relevant activities in relation to the organisation.

From AQTF Standards for RTOs

Evidence and 'quality' evidence

Evidence is information gathered which, when matched against the performance criteria, provides proof of competency. Evidence can take many forms and be gathered from a number of sources. Assessors often categorise evidence in different ways, for example:

- direct, indirect and supplementary sources of evidence
- evidence collected by the candidate or evidence collected by the assessor
- historical and recent evidence collected by the candidate and current evidence collected by the assessor.

Quality evidence is valid, authentic, sufficient and current evidence that enables the assessor to make the assessment judgement.

Evidence gathering techniques

Evidence gathering technique means the particular technique or method used to gather different types of evidence. This may include methods or techniques such as questioning, observation, third party reports, interviews, simulations and portfolios. Also see Assessment method.

Evidence gathering tool

An evidence gathering tool contains both the instrument and the instructions for gathering and interpreting evidence in an assessment process:

- instrument(s) – the specific questions or activity developed from the selected assessment method(s) to be used for the assessment (a profile of acceptable performance and the decision making rules for the assessor may also be included)

- procedures – the information/instructions given to the candidate and/or the assessor regarding conditions under which the assessment should be conducted and recorded.

Also see Assessment tool.

Evidence guide

The evidence guide is part of a unit of competency. Its purpose is to guide assessment of the unit of competency in the workplace and/or a training environment. The evidence guide specifies the context of assessment, the critical aspects of evidence and the required or underpinning knowledge and skills. The evidence guide relates directly to the performance criteria and range statement defined in the unit of competency.

From Training Package for Assessment and Workplace Training

Evidence plan

An evidence plan is a document developed by an assessor, often in collaboration with the candidate and the supervisor or technical expert. It includes the units of competency to be assessed, details of the type of evidence to be collected, information regarding who is to collect the evidence and the time period for doing so. Also see Assessment plan.

Flexible learning and assessment

Flexible learning and assessment means an approach to vocational education and training which allows for the adoption of a range of learning strategies in a variety of learning environments to cater for differences in learning styles, learning interests and needs, and variations in learning opportunities (including online).

From AQTF Standards for RTOs

Holistic/integrated assessment

An approach to assessment that covers the clustering of multiple units/elements from relevant competency standards. This approach focuses on the assessment of a 'whole of job' role or function that draws on a number of units of competency. This assessment approach also integrates the assessment of the application of knowledge, technical skills, problem solving and demonstration of attitudes and ethics.

Adapted from Training Package for Assessment and Workplace Training

Industry Training Advisory Bodies (ITABs)

National and State/Territory bodies comprising representation from the industry parties responsible for the development, review and implementation of competency standards in given industries.

From Training Package for Assessment and Workplace Training

Internal audit

Internal audit means audits conducted by or on behalf of the organisation itself for internal purposes.

From AQTF Standards for RTOs

Key competency

Employment related general competencies that are essential for effective participation in the workplace.

From Training Package for Assessment and Workplace Training

Moderation

Moderation is a process which involves assessors in discussing and reaching agreement about assessment processes and outcomes in a particular industry or industry sector. This enables assessors to develop a shared understanding of the requirements of specific Training Packages, including the relevant competency standards and assessment guidelines, the nature of evidence, how evidence is collected and the basis on which assessment decisions are made.

Nationally recognised training

Nationally recognised training means training and assessment, delivered by a Registered Training Organisation, which meets the requirements specified in national industry/enterprise Training Packages or accredited courses where no relevant Training Package exists.

From AQTF Standards for RTOs

National Training Framework

National Training Framework means the system of vocational education and training that:

- applies nationally
- is endorsed by the ANTA Ministerial Council
- is made up of the Australian Quality Training Framework and endorsed Training Packages.

From AQTF Standards for RTOs

National Training Information Service (NTIS)

National Training Information Service (NTIS) means the National Register for recording information about Registered Training Organisations (RTOs), Training Packages and accredited courses. Information held on the NTIS is searchable and publicly accessible via the Internet. The NTIS contains comprehensive information on endorsed Training Packages which have been approved by Ministers and includes full details of competency standards; a listing of National Training Quality Council noted support materials with contact source; details of Australian Qualifications Framework (AQF) accredited courses/qualifications; and contact details and scope of registration of all RTOs.

From AQTF Standards for RTOs

New Apprenticeships

New Apprenticeships means structured training arrangements, usually involving on- and off-the-job training, for a person employed under an apprenticeship/traineeship training contract.

From AQTF Standards for RTOs

Partnerships

Formal partnership assessment arrangements are the written agreements that are undertaken between a Registered Training Organisation (RTO) and other organisations or RTOs. These arrangements enable the partners to share for mutual benefit their resources, effort, time, cost, responsibility and expertise. These arrangements are regulated by the *AQTF Standards for Registered Training Organisations*. See also Collaborative assessment arrangements and Auspicing.

Informal partnership arrangements refer to assessors and candidates working together in the assessment process.

Performance criteria

Evaluative statements which specify what is to be assessed and the required level of performance. The performance criteria specify the activities, skills, knowledge and understanding that provide evidence of competent performance for each element.

From Training Package for Assessment and Workplace Training

Qualification

Qualification means, in the vocational education and training sector, the formal certification, issued by a Registered Training Organisation under the Australian Qualifications Framework (AQF), that a person has achieved all the requirements for a qualification as specified in an endorsed national Training Package or in an accredited course.

From AQTF Standards for RTOs

Quality

Quality means the ability of a set of inherent characteristics of a product, system or process to fulfil requirements of customers and other interested parties.

From AS/NZS ISO 9000: 2000 in the AQTF Standards for RTOs

Range statement

Part of a competency standard, which sets out a range of contexts in which performance can take place. The range helps the assessor to identify the specific industry or enterprise application of the unit of competency.

From Training Package for Assessment and Workplace Training

Reasonable adjustment

The nature and range of adjustment to an assessment tool or assessment method which will ensure valid and reliable assessment decisions but also meet the characteristics of the person(s) being assessed.

Adapted from Training Package for Assessment and Workplace Training

Reassessment

An assessment activity initiated as a result of an appeal against the outcome of a previous assessment.

From Training Package for Assessment and Workplace Training

Recognition process

Recognition process is a term that covers Recognition of Prior Learning, Recognition of Current Competency and Skills Recognition. All terms refer to recognition of competencies currently held, regardless of how, when or where the learning occurred. Under the Australian Quality Training Framework, competencies may be attained in a number of ways. This includes through any combination of formal or informal training and education, work experience or general life experience. In order to grant recognition of prior learning/current competency the assessor must be confident that the candidate is currently competent against the endorsed industry or enterprise competency standards or outcomes specified in Australian Qualification Framework (AQF) accredited courses. The evidence may take a variety of forms and could include certification, references from past employers, testimonials from clients and work samples. The assessor must ensure that the evidence is authentic, valid, reliable, current and sufficient.

From AQTF Standards for RTOs

Recognition of Current Competency

See Recognition process.

Recognition of Prior Learning

See Recognition process.

Records of assessment

The information of assessment outcomes that is retained by the organisation responsible for issuing the nationally recognised Statement of Attainment or qualification.

From Training Package for Assessment and Workplace Training

Registered Training Organisation (RTO)

Registered Training Organisation (RTO) means a training organisation registered in accordance with the Australian Quality Training Framework, within a defined scope of registration.

From AQTF Standards for RTOs

Renewal of registration

Renewal of registration means the subsequent registration of a Registered Training Organisation following an evaluation, conducted prior to the expiry of a registration period, of a Registered Training Organisation against the requirements of the AQTF *Standards for Registered Training Organisations*.

From AQTF Standards for RTOs

Reporting assessment outcomes

The different ways in which the outcomes of assessment processes are reported to the person being assessed, employers and other appropriate personnel or stakeholders. Assessment outcomes may be reported in a variety of ways including graded, non-graded, statistical or descriptive reporting systems.

From Training Package for Assessment and Workplace Training

Risk management

Risk management means the systematic application of management policies, procedures and practices to the tasks of identifying, analysing, evaluating, treating and monitoring risk.

From AQTF Standards for RTOs

Self-assessment

Self-assessment is a process that allows candidates being assessed to collect and provide evidence on their own performances against the competency standards. Self-assessment is often used as a pre-assessment tool to help the candidate and assessor to determine what evidence is available and where the gaps may be.

Simulation

Simulation is a form of evidence gathering that involves the candidate in completing or dealing with a task, activity or problem in an off-the-job situation that replicates the workplace context. Simulations vary from recreating realistic workplace situations such as in the use of flight simulators, through the creation of role plays based on workplace scenarios to the reconstruction of a business situation on a spreadsheet. In developing simulations, the emphasis is not so much on reproducing the external circumstance but on creating situations in which candidates are able to demonstrate:

- a. technical skills
- b. underpinning knowledge
- c. generic skills such as decision making and problem solving
- d. workplace practices such as effective communication.

Skills Recognition

See Recognition process.

Statement of Attainment

Statement of Attainment means a record of recognised learning which, although falling short of an Australian Qualifications Framework (AQF), may contribute towards a qualification outcome, either as attainment of competencies within a Training Package, partial completion of a course leading to a qualification or completion of a nationally accredited short course which may accumulate towards a qualification through Recognition processes.

From AQTF Standards for RTOs

Training Package

Training Package means an integrated set of nationally endorsed competency standards, assessment guidelines and Australian Qualifications Framework qualifications for a specific industry, industry sector or enterprise.

From AQTF Standards for RTOs

Unit of competency

Unit of competency means the specification of knowledge and skill and the application of that knowledge and skill to the standard of performance expected in the workplace.

From AQTF Standards for RTOs

Validation

Validation involves reviewing, comparing and evaluating assessment processes, tools and evidence contributing to judgements made by a range of assessors against the same standards. Validation strategies may be internal processes with stakeholder involvement or external validations with other providers and/or stakeholders.