Kit to support assessor training

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.
Kit to support assessor training

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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

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.
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1. INTRODUCTION

This resource is one of ten guides designed to support quality and consistent assessment within the vocational education and training (VET) system in Australia.

The implementation of quality assessment processes and practices is in large part dependent on the skills and knowledge of assessors. The quality of assessor training has a major influence on both the quality of assessment outcomes and the confidence that stakeholders have in the national assessment arrangements. This resource is designed to support assessor training, professional development and self-development by providing information and a range of training and assessment strategies on key issues impacting on the assessment process.

Who is it for?

The Kit has been developed for facilitators of assessor training and professional development programs focused on key issues in competency based assessment.

What is in the Kit?

The Kit consists of a guide and a video. The Training Package Assessment Materials Project CD-ROM contains a copy of each of the ten guides developed through this project. The CD-ROM also contains Word versions of the facilitator resources in this guide.
The guide

This guide comprises five sections. Each section is designed around a key theme or issue in competency based assessment. These are:

Holistic assessment

This section focuses on the assessment of whole work activities. It provides assessors with guidance on visualising competence by analysing information from the workplace, the relevant units of competency and the Australian Qualifications Framework (AQF). It then outlines an approach for designing the assessment tools needed to support the assessment process.

Interpreting competency standards

This section focuses on interpreting competency standards, which are one of the three endorsed components of Training Packages. It provides detailed information on the components of a unit of competency and how to interpret this information for assessment purposes.

Establishing a quality assessment process

This section examines the stages in the assessment process, the roles of assessors and candidates in the assessment process and ways of enhancing the quality and consistency of assessment outcomes.

Gathering evidence

This section explores the role of evidence in competency based assessment and the approaches that assessors can take to gather and evaluate quality evidence.

Reasonable adjustment

This section examines the concept of reasonable adjustment and how it is applied in competency based assessment.
This guide is designed to link with the other guides produced through the Training Package Assessment Materials Project. In particular:

- Guide 1: Training Package assessment materials kit
- Guide 2: Assessing competencies in higher qualifications
- Guide 3: Recognition resource
- Guide 5: Candidate’s Kit: Guide to assessment in New Apprenticeships
- Guide 7: Assessment using partnership arrangements

Each section of the guide is presented in a standard format, which comprises:

**Introduction**

This provides an overview of the key theme which is addressed in the section. It also includes links to other guides developed through the Training Package Assessment Materials Project.

**Background information for facilitators**

This provides concise background information for facilitators on the key theme examined in the section.

**Facilitator resources**

This is a range of training and assessment activities that examines key aspects of the selected theme. Each activity includes instructions for facilitators and a set of support materials needed to conduct the activity, such as case studies, charts and checklists.

Depending on the experience and needs of any particular group, facilitators may wish to use the training and assessment activities as:

- training activities for:
  - introducing or reinforcing a key theme in competency based assessment
  - extending participants’ skills, knowledge and understanding of key aspects of competency based assessment
- assessment activities that may be incorporated in a portfolio of evidence.
The training and assessment activities do not, in themselves, provide sufficient evidence to deem participants competent as assessors. They may, however, form a useful resource to supplement other assessment activities which must include participants conducting a range of assessments either within the workplace or an appropriate simulated environment.

**The video**

The video consists of interviews with a number of assessors. Each of the themes examined in the guide are represented on the video. As each interview is self-contained and includes substantial information, facilitators are advised to use individual segments as required rather than watch the entire video in one sitting. Training and assessment activities related to the video have been included in relevant sections of the guide.

Facilitators are advised to familiarise themselves with the video content and view the video prior to showing it to participants.

**Interview 1**

Interview 1 is with Suzanne Crellin. Suzanne is a highly experienced trainer and assessor who has worked with a range of Registered Training Organisations (RTOs) in the public and community sectors. At the time of the interview she was on secondment from a TAFE institute working as a trainer and assessor at Odyssey House – a drug rehabilitation program in Victoria.

Suzanne discusses a range of issues associated with good assessment, including:

- purpose of assessment
- involving candidates
- reasonable adjustment
- evidence
- underpinning skills and knowledge
- key competencies
- holistic assessment
- assessment tools.
Interview 2

Interview 2 is with Cate Norman, a training consultant with McMillan Staff Development, a private RTO based in Canberra. Cate has recently completed 200 workplace assessments against the Certificate III in Financial Services for a large insurance company. Her skills involve the development of assessment tools and the conduct of validation activities with other assessors.

The interview provides footage of an assessment planning interview conducted by Cate. The assessment candidate is Clare Rice, a McMillan employee who has just completed Certificate II in Business (Administration) and is currently doing Certificate III in Business (Administration). The interview covers the following key areas:

- the function of assessment
- the role of the assessor and responsibility for applying the principles of validity, reliability, fairness and flexibility
- planning for assessment
- gathering evidence.

Interview 3

Interview 3 is with Greg Murphy, a senior teacher at Sydney Institute of TAFE, who is currently on secondment to the Western Division of the State Emergency Service (SES) in NSW. He is the local controller of Holroyd SES and has just been awarded an emergency services medal for his work in the SES, which has included the development of assessment materials. The interview focuses on the use of simulation in the NSW SES and includes consideration of:

- the assessment activities used by the SES
- the use of simulation as an evidence gathering technique
- the integration of technical and generic skills in simulation
- the ways of supporting assessors and candidates in the use of simulation.

Interview 4

Interview 4 is with Jan Matheson and Lynette Talbot. Jan coordinates the aged and disability care program for Batchelor Institute of Indigenous Tertiary Education. She trains and
assesses home and community care workers throughout the Northern Territory. The course offered by the Institute’s School of Health Studies prepares students to work as Aboriginal health workers providing primary health care services. The Institute’s approach is to blend Aboriginal and Torres Strait Islander knowledge and cultural values with Western academic traditions. Trainers and assessors offer courses at the Institute and also travel to remote communities to facilitate access to learning opportunities by Indigenous* communities.

Lynne has just completed the Certificate III in Community Services (Aged Care Work) with Batchelor Institute. She has worked as a carer at Juninga for five years.

The interview focuses on reasonable adjustment in the assessment process and covers the following areas:

- adjusting the assessment process to reflect the special needs of Indigenous communities
- selecting appropriate evidence gathering techniques.

This video contains pictures and voices of Indigenous Australians in the Northern Territory. If someone shown in this video has passed away, hearing their name or voice or seeing their photo may cause sadness and distress to some viewers.

1. _______________________

* ‘Indigenous’ is inclusive of Aboriginal and Torres Strait Islanders.
How to use the Kit

The Kit has been designed to support facilitators of assessor training and professional development programs for assessors. It focuses on a series of key themes which should be examined in any assessor training program, and supports assessor training programs based on the Training Package for Assessment and Workplace Training. The Kit supports but does not fully cover the Certificate IV in Workplace Training and Assessment. It can also be used in conducting professional development workshops on particular topics.

The suggested training and assessment activities included in this guide are not meant to be prescriptive. Facilitators should feel free to modify the activities to suit the nature of the participants. These activities may be used as training aids and/or to generate evidence that can be used in assessment.

In using this guide, facilitators will need to access a range of other Training Packages. If the suggested Training Packages are not readily available, these may be accessed through the National Training Information Service web site on www.ntis.gov.au.
2. **HOLISTIC ASSESSMENT**

### Introduction

Holistic assessment focuses on the assessment of whole work activities rather than specific tasks or components of a work activity. In conducting a holistic assessment the assessor develops an image or picture of how a competent worker would perform the activity.

Having established the image or picture of competence, the assessor then identifies the evidence that the candidate needs to show competence and the techniques that would be used to gather this evidence. Using this information the assessor then reviews the evidence and decides whether the candidate is competent.

This section contains information and advice on:

- developing the picture of competence
- establishing the evidence requirements
- designing evidence gathering techniques
- documenting evidence gathering techniques.

This section should be used in conjunction with two other guides from the *Training Package Assessment Materials Project*. These are:

- Guide 1: *Training Package assessment materials kit*
- Guide 2: *Assessing competencies in higher qualifications.*
Background information for facilitators

Holistic assessment

In conducting a holistic assessment (assessment of whole work activities) the assessor develops an image or picture of how a competent worker would perform the activity. This usually involves integrating information from the relevant units of competency, workplace documentation, the key competencies, the dimensions of competency and the AQF descriptor.

Many work activities are not adequately described in a single unit of competency. More often than not real work activities combine the skills and knowledge contained in a number of units. Therefore it is usually preferable to assess the candidate’s performance against a whole work activity rather than a single unit of competency. This should ensure that assessment activities are more realistic and meaningful. It should also serve to lessen the cost and the time taken to conduct assessments.

Visualising competence

Having identified the relevant work activity, the assessor should develop an image or picture of how a competent person would perform the work activity. As illustrated in the following diagram, this requires the assessor to draw together information from the relevant units of competency, workplace documentation, the AQF descriptor and the key competencies.
Competency standards

Competency standards describe work outcomes. However, many work activities draw on skills and knowledge in a number of units of competency. For example a person conducting general stores work in a warehouse may be required to pick and despatch an order. In some workplaces, this one work activity may encompass up to three units of competency from the Transport and Distribution Training Package. For example:

- Use product knowledge to complete work operations
- Pick and process orders
- Despatch stock.

The important thing to note here is that assessment is organised around the work activity rather than the way in which the units of competency are written. It is not unusual for three to five units of competency to be clustered to assess a work activity.

The unit(s) of competency is a key source of information on the work activity. It provides answers to questions such as:

- 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 of competence be gathered?
- What resources are required to gather the evidence?

In section two of this guide, advice is provided on how to find the information required (to answer each of these questions) in a unit of competency.

In addition, the unit of competency includes both specific and inferred information on the four dimensions of competency. That is the task, task management, contingency management and job/role environment skills associated with the particular work activity. An approach for identifying the dimensions of competency is also outlined in section three of this guide.
Workplace information

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

Therefore the assessor needs 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.

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 working in institutional contexts it is more difficult. In these situations assessors can:

- ask the candidates about their workplaces in an interview
- compare candidate workplaces as part of a classroom activity
- ask candidates to complete a survey or questionnaire
- access enterprise newsletters and other materials
- have candidates customise a unit of competency using their workplace information as shown in Figure 1.

In Figure 1, 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 the 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 1: Overwriting the unit of competency

<table>
<thead>
<tr>
<th>Unit BSXFMI304A Participate in, lead and facilitate work teams</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Descriptor</strong></td>
</tr>
<tr>
<td>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.</td>
</tr>
<tr>
<td><strong>ELEMENT</strong></td>
</tr>
<tr>
<td>4.1 Participate in team planning</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

**Key competencies**

A number of processes learnt throughout work and life are required in all jobs. These are fundamental processes and are transferable to other work functions. They 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 identify 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 2, 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 2: Key competencies and levels**

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

Many units of competency now include additional guidance on the application of the key competencies. For example, Figure 3 demonstrates how the key competencies may be applied within the Unit of Competency RUH301DB Prepare plant displays from the Horticulture Training Package.
**Figure 3: Key competencies**

<table>
<thead>
<tr>
<th>Unit title: RUH301DB Prepare plant displays</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>What processes should be applied to this unit of competency?</td>
<td></td>
</tr>
<tr>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>How can communication of ideas and information (1) be applied?</td>
<td>Discuss with the client, supervisor or colleagues the display, design and selection of plants.</td>
</tr>
<tr>
<td>How can information be collected, analysed and organised (1)?</td>
<td>Preparing the display plan according to enterprise guidelines will require information to be gathered and the display organised accordingly.</td>
</tr>
<tr>
<td>How are activities planned and organised (1)?</td>
<td>Developing the display requires planning, selecting, placing plants and observing safety precautions to be coordinated and organised.</td>
</tr>
<tr>
<td>How can team work (1) be applied?</td>
<td>Discussing the design process with supervisor or colleagues will require team work.</td>
</tr>
<tr>
<td>How can the use of mathematical ideas and techniques (1) be applied?</td>
<td>When the plants are fertilised and watered, and when measuring light, air and humidity, some basic mathematical techniques could be applied.</td>
</tr>
<tr>
<td>How can problem solving skills (1) be applied?</td>
<td>During the design, selection and placement of plants in the display, problems may arise requiring innovative solutions.</td>
</tr>
<tr>
<td>How can the use of technology (1) be applied?</td>
<td>Technology may be required to access information about the plants.</td>
</tr>
</tbody>
</table>

**Australian Qualifications Framework (AQF)**

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 4 compares the nature of work that should be able to be performed by people with Certificate I, II and III qualifications.

**Figure 4: AQF Certificate I, II and III descriptors**

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

It should be noted that if a unit of competency is included in more than one AQF qualification in a Training Package, for example within both a Certificate II and a Certificate IV qualification, it should always be assessed in the context of the lowest AQF qualification in which it appears in the package.
Visualising competence

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

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

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?

The assessor should use the responses to these questions to document the picture of competence. This may take a number of forms including:

- a checklist
- a written description of the work activity
- a list of characteristics of ‘competent’ and ‘not yet competent’ performance of the activity
- a job description for a person who will perform the activity.
Figure 5 provides an example of a written description of a work activity. In this case, the work activity involves assisting with the presentation of a public activity or event at a museum. The following sources of information were used:

- the Units of Competency *Work with others* and *Assist with the presentation of public activities and events* in the Museum and Library/Information Training Package
- the AQF descriptor for Certificate II
- the key competencies at performance level 1
- the four dimensions of competency
- workplace documentation.

**Figure 5: Visualising competence – presenting a public activity or event at a museum**

Matthew is an information officer who works at a Historic Colonial Village museum centre on the outskirts of Sydney. It is a large and very busy centre, a whole village, mostly original, with some reconstruction to simulate early Australian life and work.

As an information officer he is stationed at a particular venue in the village to present and explain activities to visitors, answer questions, provide written information and brochures on the village and its services and obtain feedback from the visitors. There are a number of information officers like Matthew who work closely and contribute to developing new ideas to make the village more interesting for visitors.

When a new activity or site is added to the village, the information officers are responsible for setting up the activity. This includes obtaining the relevant equipment and resources and assisting with ideas for the design of the activity. The information officers also provide input into the scheduling of the activities and help to present all or part of the activity.

The information officers share information with each other on an informal basis and once a month have a formal meeting with their supervisor to discuss improvements to activities at each site, visitor feedback, new projects, staffing and other team issues. The team is diverse in culture and background and the museum has open policies on effective communication with a variety of people.

All members of the team are expected to share information at these meetings, contribute ideas and help with maintaining good communication within the team. If there are any problems in the team they are either dealt with at the meeting or discussed with the supervisor who will help to resolve any problems. Every three months the supervisor must present a report to the General Manager of the village. To help with this report she asks the information officers to write a report on the activities/site they have been working on over the past month. To do this the information officers have to gather information from other information officers and incorporate anecdotal visitor feedback in their report.
Once the picture of competence, as illustrated above, is prepared it can be used to:

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

**Establish the evidence requirements**

Having established the picture of competence, the next step involves identifying the evidence required to determine whether a candidate can perform the work activity in accordance with the standards expected in the workplace. The key steps involved in targeting quality evidence are:

- review the picture of competence to confirm the characteristics of competent performance
- 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 (the workplace or off-the-job)
- ensure that the proposed evidence is directly relevant to the work activity
- ensure that the evidence complies with the rules of evidence.

In identifying the evidence requirements, the assessor may pose questions such as:

- What are the key tasks that the competent person would perform?
- What knowledge would the competent person require and how might this be applied in performing the work activity?
- What contingencies might arise and how would the competent person deal with them?
- What level of supervision would the competent person require?
- How much autonomy would the competent person have?
- What would the competent person not do?
- How would the competent person interact with others in the workplace?
• How would the competent person manage the different tasks associated with this work activity?
• How much responsibility would the competent person have for the work of others?

Having considered these questions, the assessor then develops a list of the evidence requirements for the work activity. Figure 6 provides a list of the evidence requirements as well as the source of each requirement for the work activity described in Figure 5; that is, assisting with the presentation of a public activity or event at a museum.

**Figure 6: Sample evidence requirements for Assist with the presentation of a public activity or event at a museum**

<table>
<thead>
<tr>
<th>Sample evidence requirements</th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participating in the work group</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Demonstrating appropriate communication and interpersonal skills with a range of</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>people including those from different cultural backgrounds</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contributing to the flow of relevant work information and ideas</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contributing to the maintenance and improvement of work communication</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dealing with work issues, problems and conflicts</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contributing to identifying opportunities for new activities and events</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Setting up of a small activity or event</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assisting with the presentation of the activity or event</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Performing defined work tasks under general or routine supervision by following</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>instructions and working to deadlines</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Responding quickly and remaining calm in contingency situations in accordance</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>with enterprise standards</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Demonstrating the required underpinning knowledge to support performance of task</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>skills</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Code | Source of evidence requirement**
--- | ---
A | Unit of competency
B | Key competencies
C | Dimensions of competency
D | AQF descriptor
Select appropriate evidence gathering techniques

Having identified the evidence requirements, the assessor must determine how the evidence will be collected. In selecting the most appropriate combination of evidence gathering techniques, the assessor must consider the nature of the work activity, the evidence requirements, the needs of the candidate and the assessment context. In assessing these factors the assessor should consider the following questions:

- Is the work activity able to be readily observed?
- What is the most timely and cost-efficient way of collecting the required evidence?
- Who will collect the evidence – the assessor, the candidate or the workplace supervisor?
- Where will the evidence be collected – on-the-job, off-the-job or combination of on- and off-the-job?
- Over what time period will the evidence be collected?
- What resources are available to support the evidence collection process?
- Does the candidate have special needs? How might the evidence collection process be planned to accommodate these needs?
- Are there any special characteristics of the assessment context that may influence the evidence collection process?

Using the responses to these questions, the assessor should identify a combination of techniques that will be used to collect the required evidence. For example, Figure 7 illustrates the techniques that might be used in collecting the evidence requirements for the work activity described in Figure 5, which involves assisting with the presentation of a public activity or event at a museum.
Figure 7: Evidence requirements and evidence collection techniques for presenting a public activity or event at a museum

<table>
<thead>
<tr>
<th>Summary of evidence collection techniques</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work activity</td>
</tr>
<tr>
<td>Unit(s) of competency</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>Registered Training Organisation</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Evidence requirements</th>
<th>Evidence collection techniques</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Workplace observation of skills</td>
</tr>
<tr>
<td>Participating in the work group</td>
<td>√</td>
</tr>
<tr>
<td>Demonstrating appropriate communication and interpersonal skills with a range of people including those from different cultural backgrounds</td>
<td>√</td>
</tr>
<tr>
<td>Contributing to the flow of relevant work information and ideas</td>
<td>√</td>
</tr>
<tr>
<td>Contributing to the maintenance and improvement of work communication</td>
<td>√</td>
</tr>
<tr>
<td>Dealing with work issues, problems and conflicts</td>
<td>√</td>
</tr>
<tr>
<td>Contributing to identifying opportunities for new activities and events</td>
<td></td>
</tr>
<tr>
<td>Setting up of a small activity or event</td>
<td>√</td>
</tr>
<tr>
<td>Assisting with the presentation of the activity or event</td>
<td>√</td>
</tr>
<tr>
<td>Performing defined work tasks under general or routine supervision by following instructions and working to deadlines</td>
<td>√</td>
</tr>
<tr>
<td>Responding quickly and remaining calm in contingency situations in accordance with enterprise standards</td>
<td></td>
</tr>
<tr>
<td>Demonstrating the required underpinning knowledge to support performance of task skills</td>
<td></td>
</tr>
</tbody>
</table>

See Facilitator resources

Activity 2.3 – Select the evidence gathering techniques
Designing the evidence gathering tools

Having identified the evidence requirements and the most appropriate techniques for collecting the evidence, the next step is to design the evidence gathering tools. This involves designing the specific tasks that the candidate must complete. For example this may involve:

- describing the work activity that will be observed by the assessor and preparing an observation checklist for use by the assessor
- preparing a set of questions that may be used in an oral questioning or interview activity
- designing a set of guidelines for a workplace supervisor to follow in preparing a third party report on the candidate’s work performance.

Figure 8 provides an overview of the evidence gathering techniques that might be developed for collecting the evidence requirements for the work activity described in Figure 5; that is, assisting with the presentation of a public activity or event at a museum.
### Figure 8: Evidence collection techniques

<table>
<thead>
<tr>
<th>Summary of evidence collection techniques</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Work activity</strong></td>
</tr>
</tbody>
</table>
| **Unit(s) of competency** | **Work with others**  
  *Assist with the presentation of public activities and events* |
| **Registered Training Organisation** | Museums Australia |

<table>
<thead>
<tr>
<th>Evidence gathering techniques</th>
<th>Task</th>
<th>Evidence requirements</th>
</tr>
</thead>
</table>
| **Workplace observation**    | Assessor observation of candidate assisting with the presentation of a public activity and an event at the candidate’s workplace. | • Participates in work group/process  
  • Demonstrates appropriate communication and interpersonal skills with a range of people including those from different cultural backgrounds  
  • Sets up a small activity or event  
  • Assists with presentation of the activity or event  
  • Performs defined work tasks under general or routine supervision by following instructions and working to deadlines |
| **Questioning** | Oral questioning by assessor focusing on:  
  • identifying new activities  
  • responding to contingency situations  
  • underpinning knowledge related to specific work activity. | • Contributes to identifying opportunities for new activities and events  
  • Responds quickly and remains calm in contingency situations in accordance with enterprise standards  
  • Demonstrates the required underpinning knowledge to support performance of task skills |
| **Third party report** | Written report from workplace supervisor, focusing on candidate's ability to:  
  • work with others  
  • deal with conflict  
  • respond to contingency situations. | • Contributes to the flow of relevant work information and ideas  
  • Contributes to the maintenance and improvement of work communication  
  • Deals with work issues, problems and conflicts  
  • Responds quickly and remains calm in contingency situations in accordance with enterprise standards |
| **Personal statement** | Self-assessment form or reflective writing in a journal. | • Demonstrates appropriate communication and interpersonal skills with a range of people including those from different cultural backgrounds  
  • Deals with work issues, problems and conflicts |
**Document evidence gathering techniques**

The evidence gathering techniques must be documented in a form that complies with the policies and procedures of the relevant RTO. This would normally include:

- an outline of the evidence gathering technique that sets out the procedure and materials required
- copies of any materials used in the assessment activity, eg observation checklists, sets of structured questions, workplace supervisor report forms, etc.

Figures 9, 10 and 11 are examples of how the evidence gathering techniques identified in Figure 7 may be documented.
**Figure 9: Sample observation checklist**

<table>
<thead>
<tr>
<th>Workplace observation checklist</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Candidate’s name</strong></td>
</tr>
<tr>
<td><strong>Assessor’s name</strong></td>
</tr>
<tr>
<td><strong>Work activity</strong></td>
</tr>
<tr>
<td><strong>Unit(s) of competency</strong></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td><strong>Workplace</strong></td>
</tr>
</tbody>
</table>

**Instructions:**

The candidate is required to assist with the presentation of:

- one public activity at the museum – this may be a holiday or weekend activities program, a cultural festival or a ceremony
- one event at the museum – this may be a cultural performance, a craft demonstration, a film screening, an open day, a field trip, a site visit or a musical recital.

<table>
<thead>
<tr>
<th>During the demonstration of skills, did the candidate:</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>• participate in work group/process?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>• set up a small activity or event?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>• demonstrate appropriate communication and interpersonal skills with a range of people including those from different cultural backgrounds?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>• assist with or conduct a presentation of the activity or event?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>• perform defined work tasks under general or routine supervision by following instructions and working to deadlines?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>• demonstrate the required underpinning knowledge to support performance of task skills?</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

The candidate’s overall performance met the standard: Yes ☐ No ☐

**Comments/observations:**

Assessor’s signature: 

Candidate’s signature: 

Date of assessment:
Figure 10: Sample oral questioning of underpinning knowledge

<table>
<thead>
<tr>
<th>Record of questioning conducted after/during assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidate’s name</td>
</tr>
<tr>
<td>Assessor’s name</td>
</tr>
<tr>
<td>Work activity</td>
</tr>
<tr>
<td>Unit(s) of competency</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>Workplace</td>
</tr>
<tr>
<td>Instructions:</td>
</tr>
<tr>
<td>The candidate is required to provide verbal answers to</td>
</tr>
<tr>
<td>the following questions that will be asked by the</td>
</tr>
<tr>
<td>assessor.</td>
</tr>
<tr>
<td>Did the candidate satisfactorily answer the following</td>
</tr>
<tr>
<td>questions:</td>
</tr>
<tr>
<td>• Why did you do X at the beginning of the</td>
</tr>
<tr>
<td>presentation/activity?</td>
</tr>
<tr>
<td>• How would you have varied the presentation/activity</td>
</tr>
<tr>
<td>if X had occurred?</td>
</tr>
<tr>
<td>• What are the organisation’s emergency procedures</td>
</tr>
<tr>
<td>for dealing with situations such as B?</td>
</tr>
<tr>
<td>• What happens to the feedback you obtained from the</td>
</tr>
<tr>
<td>visitors regarding this activity/presentation?</td>
</tr>
<tr>
<td>• What form of address would you use if you were</td>
</tr>
<tr>
<td>speaking to M?</td>
</tr>
<tr>
<td>• Why is it important to identify opportunities for</td>
</tr>
<tr>
<td>new activities and events?</td>
</tr>
</tbody>
</table>

The candidate’s underpinning knowledge was:
Satisfactory ☐ Not Satisfactory ☐

Notes/comments:

Assessor’s signature:

Candidate’s signature:

Date of assessment:
Figure 11: Sample third party evidence report

<table>
<thead>
<tr>
<th>Third party evidence report: record of questioning conducted after/during assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Candidate’s name</strong></td>
</tr>
<tr>
<td><strong>Assessor’s name</strong></td>
</tr>
<tr>
<td><strong>Work activity</strong></td>
</tr>
<tr>
<td><strong>Unit(s) of competency</strong></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td><strong>Workplace</strong></td>
</tr>
<tr>
<td><strong>Instructions:</strong></td>
</tr>
<tr>
<td>As part of the assessment for the units of competency listed above, we are seeking evidence to support a judgement about the candidate’s competence. Accordingly we require a report from the candidate’s workplace supervisor on aspects of the candidate’s work performance.</td>
</tr>
<tr>
<td>We would like you to complete this report. We value your contribution and ask that you answer the questions honestly.</td>
</tr>
<tr>
<td>Does the candidate consistently meet your organisation’s performance standards for:</td>
</tr>
<tr>
<td>• contributing to the flow of relevant work information and ideas?</td>
</tr>
<tr>
<td>• contributing to the maintenance and improvement of work communication?</td>
</tr>
<tr>
<td>• dealing with work issues, problems and conflicts?</td>
</tr>
<tr>
<td>• contributing to identifying opportunities for new activities and events?</td>
</tr>
<tr>
<td>• responding quickly and remaining calm in contingency situations in accordance with enterprise standards?</td>
</tr>
<tr>
<td><strong>Signed by the supervisor:</strong></td>
</tr>
<tr>
<td>Please provide some comments to support your response:</td>
</tr>
</tbody>
</table>

---

**See facilitator resources**

Activity 2.4 – Designing and documenting evidence gathering tools
Facilitator resources: Holistic assessment

Activity 2.1 - Visualising competence

Facilitator guidelines

This activity is designed to introduce the notion of holistic assessment and to provide participants with the opportunity to consider how information from the unit of competency, the AQF and the workplace may be combined to develop a picture or image of competent performance. Note relevant materials in the Background information for facilitators are reproduced as resources for facilitators.

- Facilitator explains holistic assessment and outlines the key steps involved in designing the evidence gathering tools needed to support a holistic assessment process. This involves:
  - developing the picture of competence
  - establishing the evidence requirements
  - designing the evidence gathering techniques
  - documenting the evidence gathering techniques.

- Facilitator takes the group through the process of developing an image or picture of competence. This may be done by using the material in the Background information for facilitators that explains the process used to develop the picture of competence for the work activity, Assist with the presentation of public activities and events. This work activity is based on two units of competency from the Museum and Library/Information Training Package (Figure 5).

- Facilitator should provide participants with a copy of Handouts 1a and 1b that illustrate two different ways of documenting the picture of competence – a written description and a list of competent/not yet competent characteristics.

- Divide the participants into pairs. Ask each pair to select a qualification from a Training Package that they are involved in delivering and identify a key work activity that would be performed by a person with this qualification. Each pair should then identify the unit(s) of competency that are incorporated in the work activity.

- Using the information in the relevant units of competency (including the key competencies and the four dimensions of competency, the relevant AQF descriptor and any relevant workplace information) each pair should prepare a written description of the selected work activity.
• Debrief the activity with the whole group by considering questions such as:
  ▪ What was the work activity?
  ▪ Is the work activity based on a single or a cluster of units of competency?
  ▪ Was the picture of competence difficult or easy to develop?
  ▪ Does the picture of competence incorporate task skills, task management skills, contingency management skills and job/role environment skills?
  ▪ Does the picture of competence capture the qualities of a competent worker?
Handout 1a: Visualising competence

One approach to documenting the picture of competence is to prepare a written description of how the competent worker would perform the work activity.

Visualising competence – presenting a public activity or event at a museum

Matthew is an information officer who works at a Historic Colonial Village museum centre on the outskirts of Sydney. It is a large and very busy centre, a whole village, mostly original, with some reconstruction to simulate early Australian life and work.

As an information officer he is stationed at a particular venue in the village to present and explain activities to visitors, answer questions, provide written information and brochures on the village and its services and obtain feedback from the visitors. There are a number of information officers like Matthew who work closely and contribute to developing new ideas to make the village more interesting for visitors.

When a new activity or site is added to the village, the information officers are responsible for setting up the activity. This includes obtaining the relevant equipment and resources and assisting with ideas for the design of the activity. The information officers also provide input into the scheduling of the activities and help to present all or part of the activity.

The information officers share information with each other on an informal basis and once a month have a formal meeting with their supervisor to discuss improvements to activities at each site, visitor feedback, new projects, staffing and other team issues. The team is diverse in culture and background and the museum has open policies on effective communication with a variety of people.

All members of the team are expected to share information at these meetings, contribute ideas and help with maintaining good communication within the team. If there are any problems in the team they are either dealt with at the meeting or discussed with the supervisor who will help to resolve any problems. Every three months the supervisor must present a report to the General Manager of the village. To help with this report she asks the information officers to write a report on the activities/venue they have been working on over the past month. To do this the information officers have to gather information from other information officers and incorporate anecdotal visitor feedback in their report.
Handout 1b: Visualising competence

An alternative approach, as shown below, involves listing the key characteristics of competent and not yet competent performance.

Visualising competence – deliver training sessions and train small groups

<table>
<thead>
<tr>
<th>A competent person can:</th>
<th>A person who is not yet competent may:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plan training programs based on:</td>
<td>Plan training programs that are not based on an analysis of training needs or a set of standards.</td>
</tr>
<tr>
<td>● a set of standards</td>
<td>Deliver training using a limited range of delivery methods and learning materials which may not:</td>
</tr>
<tr>
<td>● identified training needs.</td>
<td>● take into account student or trainer needs or availability of resources</td>
</tr>
<tr>
<td>Deliver training:</td>
<td>● provide opportunities for skills development through practice</td>
</tr>
<tr>
<td>● using a range of appropriate delivery methods and learning materials which will facilitate learning</td>
<td>● inform students about the purpose of the training or assessment</td>
</tr>
<tr>
<td>● actively involving participants in the session</td>
<td>● give students feedback on progress.</td>
</tr>
<tr>
<td>● providing opportunities for practice in skills development</td>
<td></td>
</tr>
<tr>
<td>● taking into consideration the characteristics of learners, particularly language and literacy needs</td>
<td>Get feedback from learners but not use it to improve the program or to recommend changes to program developers.</td>
</tr>
<tr>
<td>● informing learners about the nature of the training and assessment</td>
<td></td>
</tr>
<tr>
<td>● providing constructive feedback to learners about progress toward competence.</td>
<td>Engage in limited self-evaluation but not use it to improve planning or delivery.</td>
</tr>
<tr>
<td>Use feedback from learners, other stakeholders and self-evaluation to improve delivery.</td>
<td></td>
</tr>
</tbody>
</table>
Activity 2.2 – Establish evidence requirements

Facilitator guidelines

This activity is designed to provide participants with the opportunity to identify the evidence required to determine whether a person can competently perform a specific work activity. Note relevant materials in the Background information for facilitators are reproduced as resources for facilitators.

- Explain how the picture of competence developed in Activity 1 may be used to identify the evidence that the assessor will need to determine whether the candidate can competently perform the work activity. This may be explained by using the picture of competence (Figure 5) and the evidence list (Figure 6) provided in the Background information for facilitators for the work activity, Assist with the presentation of public activities and events.

- Divide the participants into pairs. Provide each pair with a copy of Handout 2.

- Ask each pair to review the picture of competence that they developed in Activity 2.1 and prepare a list of the evidence required to determine whether a candidate can competently perform the work activity. This information should be listed in the left-hand column of the chart. Alongside each piece of evidence the participants should indicate the source of each item of evidence, ie the unit of competency, the key competencies, the dimensions of competency, the workplace or the AQF descriptor.

- Debrief the activity with the whole group by considering questions such as:
  - Was the competency profile a useful guide for identifying the evidence requirements?
  - Do the evidence requirements draw on the AQF descriptor?
  - Do the evidence requirements draw on the four dimensions of competency?
  - Do the evidence requirements draw on the key competencies?
  - Do the evidence requirements provide an adequate basis for identifying the competent worker?
### Evidence requirements

<table>
<thead>
<tr>
<th>Source of evidence requirement</th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence requirements</td>
<td></td>
<td></td>
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</tbody>
</table>

**Code** | **Source of evidence requirement**
---|---
A | Unit of competency
B | Key competencies
C | Dimensions of competency
D | AQF descriptor
E | Workplace
Activity 2.3 – Select evidence gathering techniques

Facilitator guidelines

This activity is designed to provide participants with the opportunity to identify possible ways of gathering the evidence required to determine whether a person can competently perform a specific work activity. Note relevant materials in the Background information for facilitators are reproduced as resources for facilitators.

- Conduct a ‘brainstorm’ with the whole group to develop a list of possible evidence gathering techniques. Facilitator suggests that these may be categorised into four different types of activities:
  - 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.
- Ask the group to consider the advantages and disadvantages of each of these different types of evidence gathering techniques.
- Divide the participants into pairs and provide each pair with a copy of Handout 3.
- Ask each group to review the picture of competence developed in Activity 2.1 and the evidence list developed in Activity 2.2, and identify how each item of evidence may be collected.
- In explaining this task the facilitator should make reference to Figures 6 and 7 in the Background information for facilitators which shows the evidence list and associated evidence gathering techniques for the work activity, Assist with the presentation of public activities and events. In identifying appropriate evidence gathering techniques, assessors should consider the nature of the work activity, the evidence requirements, the needs of the candidate and the assessment context. In assessing these factors assessors should consider the following questions:
  - Is the work activity able to be readily observed?
  - What is the most timely and cost-efficient way of collecting the required evidence?
  - Who will collect the evidence – the assessor, the candidate or the workplace supervisor?
  - Where will the evidence be collected – on-the-job, off-the-job or a combination of on- and off-the-job?
Kit to support assessor training

- Over what time period will the evidence be able to be collected?
- What resources are available to support the evidence collection process?
- Does the candidate have special needs? How might the evidence collection process be planned to accommodate these needs?
- Are there any special characteristics of the assessment context that may influence the evidence collection process?

- Debrief the activity with the whole group by considering questions such as:
  - Which evidence gathering techniques were selected?
  - Why were these activities selected?
  - Were there any techniques that were considered totally inappropriate? If so, why?
  - Which factors do you think are most important when deciding which evidence gathering techniques to use?
## Handout 3: Select evidence gathering techniques

### Selection of evidence gathering techniques

<table>
<thead>
<tr>
<th>Work activity</th>
<th>Unit(s) of competency</th>
<th>Evidence requirements</th>
<th>Evidence gathering techniques (place a tick in the box to indicate selected technique)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Workplace Observation</td>
</tr>
</tbody>
</table>
Facilitator guidelines

This activity is designed to provide participants with the opportunity to design and document the tools required for gathering the evidence to determine whether a person can competently perform a specific work activity. Note relevant materials in the Background information for facilitators are reproduced as resources for facilitators.

Take the group through the steps involved in designing and documenting a set of evidence gathering tools. This may be done by referring to the example in the Background information for facilitators, which shows the evidence gathering techniques for the work activity, Assist with the presentation of public activities and events.

In providing this explanation, the facilitator should:

- review the picture of competence, the evidence list and the selection of evidence gathering tools
- explain how the specific tools were selected
- provide participants with a copy of Handout 4a which shows the relationship between the type of evidence gathering techniques selected, the evidence requirements and the specific assessment tasks
- provide the participants with a copy of the three sample assessments tools (Handouts 5, 6 and 7). In discussing these tools the facilitator should highlight:
  - the key features of each tool, such as the details of the assessor and candidate, the sign-off by candidate and assessor on assessment outcome, and the specific actions to be observed or recorded
  - the description of the observation task and the observation points in the checklist
  - the use of prepared questions in the oral questioning guide
  - the specific instructions given to workplace supervisors in the third party report form.
• Divide the participants into pairs and ask them to design and develop the evidence gathering tools for the work activity they have been considering in Activities 2.1, 2.2 and 2.3. In completing this task each pair should:
  ▪ complete Handout 4b which outlines the relationship between the type of evidence gathering techniques selected, the evidence requirements and the specific task
  ▪ document the evidence gathering tools in a form similar to the sample tools considered in this exercise (Handouts 5 – 7)
  ▪ prepare a brief statement outlining how they would see the tools being implemented in either a workplace or off-the-job assessment context.
## Handout 4a: Designing and documenting evidence gathering techniques

### Summary of evidence collection techniques

<table>
<thead>
<tr>
<th>Work activity</th>
<th>Presenting a public activity or event at a museum</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Unit(s) of competency</strong></td>
<td><strong>Work with others</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Assist with the presentation of public activities and events</strong></td>
</tr>
<tr>
<td><strong>Registered Training Organisation</strong></td>
<td>Museums Australia</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Evidence gathering techniques</th>
<th>Task</th>
<th>Evidence requirements</th>
</tr>
</thead>
</table>
| Workplace observation        | Assessor observation of candidate assisting with the presentation of a public activity and an event at the candidate’s workplace. | • Participates in work group/process  
• Demonstrates appropriate communication and interpersonal skills with a range of people including those from different cultural backgrounds  
• Sets up a small activity or event  
• Assists with presentation of the activity or event  
• Performs defined work tasks under general or routine supervision by following instructions and working to deadlines |
| Questioning                  | Oral questioning by assessor focusing on:  
• identifying new activities  
• responding to contingency situations  
• underpinning knowledge related to specific work activity | • Contributes to identifying opportunities for new activities and events  
• Responds quickly and remains calm in contingency situations in accordance with enterprise standards  
• Demonstrates the required underpinning knowledge to support performance of task skills |
| Third party report           | Written report from workplace supervisor focusing on candidate's ability to:  
• work with others  
• deal with conflict  
• respond to contingency situations. | • Contributes to the flow of relevant work information and ideas  
• Contributes to the maintenance and improvement of work communication  
• Deals with work issues, problems and conflicts  
• Responds quickly and remains calm in contingency situations in accordance with enterprise standards |
| Personal statement           | Self-assessment form or reflective writing in a journal.             | • Demonstrates appropriate communication and interpersonal skills with a range of people including those from different cultural backgrounds  
• Deals with work issues, problems and conflicts |
### Handout 4b: Designing and documenting evidence gathering techniques

#### Summary of evidence collection techniques

<table>
<thead>
<tr>
<th>Work activity</th>
<th>Unit(s) of competency</th>
<th>Registered Training Organisation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence gathering techniques</td>
<td>Task</td>
<td>Evidence requirements</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Evidence gathering techniques</th>
<th>Task</th>
<th>Evidence requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Handout 5: Sample observation checklist

**Workplace observation checklist**

<table>
<thead>
<tr>
<th>Candidate’s name</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessor’s name</td>
<td></td>
</tr>
<tr>
<td><strong>Work activity</strong></td>
<td>Presenting a public activity or event at a museum</td>
</tr>
</tbody>
</table>
| **Unit(s) of competency** | Work with others  
  Assist with the presentation of public activities |

**Workplace**

Instructions:

The candidate is required to assist with the presentation of:

- one public activity at the museum – this may be: holiday or weekend activities program, cultural festival or ceremony
- one event at the museum – this may be: cultural performance, craft demonstration, film screening, open day, field trip, site visit or musical recital.

<table>
<thead>
<tr>
<th>During the demonstration of skills, did the candidate:</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>• participate in work group/process?</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>• set up a small activity or event?</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>• demonstrate appropriate communication and interpersonal skills with a range of people including those from different cultural backgrounds?</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>• assist with or conduct a presentation of the activity or event?</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>• perform defined work tasks under general or routine supervision by following instructions and working to deadlines?</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>• demonstrate the required underpinning knowledge to support performance of task skills?</td>
<td>□</td>
<td>□</td>
</tr>
</tbody>
</table>

The candidate’s overall performance met the standard: **Yes** □  **No** □

Comments/observations:

---

Assessor’s signature: 

Candidate’s signature: 

Date of assessment:
Handout 6: Sample oral questioning of underpinning knowledge

<table>
<thead>
<tr>
<th>Record of questioning conducted after/during assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Candidate’s name</strong></td>
</tr>
<tr>
<td><strong>Assessor’s name</strong></td>
</tr>
<tr>
<td><strong>Work activity</strong></td>
</tr>
<tr>
<td><strong>Unit(s) of competency</strong></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td><strong>Workplace</strong></td>
</tr>
</tbody>
</table>

**Instructions:**

The candidate is required to provide verbal answers to the following questions that will be asked by the assessor.

Did the candidate satisfactorily answer the following questions:

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Why did you do X at the beginning of the presentation/activity?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• How would you have varied the presentation/activity if X had occurred?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• What are the organisation’s emergency procedures for dealing with situations such as B?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• What happens to the feedback you obtained from the visitors regarding this activity/presentation?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• What form of address would you use if you were speaking to M?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Why is it important to identify opportunities for new activities and events?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The candidate’s underpinning knowledge was:

- Satisfactory [ ]
- Not Satisfactory [ ]

Notes/comments:

Assessor’s signature:

Candidate’s signature:

Date of assessment:
Handout 7: Sample third party evidence report

<table>
<thead>
<tr>
<th>Third party evidence report</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidate’s name</td>
</tr>
<tr>
<td>Assessor’s name</td>
</tr>
<tr>
<td>Work activity</td>
</tr>
</tbody>
</table>
| Unit(s) of competency      | Work with others  
|                             | Assist with the presentation of public activities and events |
| Workplace                  |

**Instructions:**
As part of the assessment for the unit(s) of competency listed above, we are seeking evidence to support a judgement about the candidate’s competence. As part of the process of gathering evidence of competence, we are seeking reports from the supervisor and other people who work closely with the candidate.

We would like you to complete this report. We value your contribution and ask that you answer the questions honestly.

<table>
<thead>
<tr>
<th>Does the candidate consistently meet your organisation’s performance standards for:</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>contributing to the flow of relevant work information and ideas?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>contributing to the maintenance and improvement of work communication?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>dealing with work issues, problems and conflicts?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>contributing to identifying opportunities for new activities and events?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>responding quickly and remaining calm in contingency situations in accordance with enterprise standards?</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

Signed by the supervisor: ___________________________ Date: ___________________________

Please provide some comments to support your responses:

-----------------------------------------------------------------
-----------------------------------------------------------------
-----------------------------------------------------------------
-----------------------------------------------------------------
3. INTERPRETING COMPETENCY STANDARDS

Introduction

This section focuses on interpreting competency standards, which are one of three endorsed components in a Training Package.

Competency standards define the skills, knowledge and attitudes required for effective performance in the workplace. Standards are expressed in outcome terms and have a common format comprising unit title, unit descriptor, elements, performance criteria, range statement and evidence guide. They are descriptions of the competencies required for effective performance in the workplace, both in the routine conduct of the job role and in the ability to adapt to changing role definitions. Competency standards relate to the industry as a whole, but need to be interpreted in terms of a specific worksite. In other words, assessors need to take the information contained within the competency standards, relate this to the particular workplace, then use or customise that information to inform the assessment process.

Within the national VET system, competency standards form the benchmarks for assessment and the basis for nationally recognised qualifications.

Assessors must be able to identify and apply the information in units of competency in order to establish the required evidence and make sound assessment judgements.
This section contains information on:

- understanding competence
- identifying the dimensions of competency
- accessing the information contained in a unit of competency
- unpacking a unit of competency
- relating a job role to the units of competency in a Training Package.

This section should be used in conjunction with two other guides from the Training Package Assessment Materials Project. These are:

- Guide 1: Training Package assessment materials kit
- Guide 2: Assessing competencies in higher qualifications.
Background information for facilitators

Understanding competence

A central aim of the reforms to the national VET system, which are encompassed in the National Training Framework (NTF) and more specifically Training Packages and the Australian Quality Training Framework (AQTF), is the development of a competent workforce.

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.

The view of competence:

- 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.

Competence within the national VET system is defined as the specification of knowledge and skill and the application of that knowledge and skill to the standards of performance required in the workplace.

Effective workplace performance requires both the skills to function effectively in the workplace and the knowledge and attitudes to apply those skills in routine and non-routine situations. In other words, being competent to do a job requires a number of observable and non-observable skills; it is more than just the technical know-how. Together, these different aspects of workplace performance are known as the dimensions of competency.
Dimensions of competency

- Task skills refer to the performing of a task at an acceptable level of skill.
- Task management skills refer to the ability to manage a number of different tasks that form part of the job.
- Contingency management skills refer to the ability to deal with unexpected problems or changes to the normal routine.
- Job/role environment skills refer to meeting the expectations of, and adhering to responsibilities of, the worksite.

See facilitator resources
Activity 3.1 - *The dimensions of competency*

**Identifying the dimensions of competency in a unit of competency**

All work activities involve people in using the four dimensions of competency. While task skills are usually clearly documented in units of competency, there are many units where the other dimensions of competency must be inferred. All of the dimensions of competency may not be covered in one unit of competency. However, most work activities that cover a cluster of units of competency will usually cover all the dimensions of competency. 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 candidates.

The following example illustrates how the four dimensions of competency may be identified in a unit. In this example, Figure 12 is an extract from the Unit of Competency *Pick and process orders* from the Transport and Distribution Training Package and Figure 13 outlines how the four dimensions of competency are incorporated in the unit.
Figure 12: Extract from Unit of Competency *Pick and process orders*

**Description**

This unit of competency applies to employees required to collect and assemble goods for despatch and storage.

<table>
<thead>
<tr>
<th>Elements</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Identify workplace order picking processes, policies and procedures</td>
<td>1.1 Company procedures for order picking and related workplace documentation are interpreted</td>
</tr>
<tr>
<td></td>
<td>1.2 Stock allocation and location systems are identified and located</td>
</tr>
<tr>
<td></td>
<td>1.3 Appropriate manual handling equipment is selected for the required occupational health and safety regulations</td>
</tr>
<tr>
<td>2. Pick and despatch an order</td>
<td>2.1 Work requirements are planned with appropriate equipment and documentation assembled</td>
</tr>
<tr>
<td></td>
<td>2.2 Zones of the warehouse which store required products are identified and located</td>
</tr>
<tr>
<td></td>
<td>2.3 Pick path is established</td>
</tr>
<tr>
<td></td>
<td>2.4 Where required appropriate pallet(s) of orders are selected and stacked to minimise stock damage and maximise stability</td>
</tr>
<tr>
<td></td>
<td>2.5 Products are selected and consolidated</td>
</tr>
<tr>
<td></td>
<td>2.6 Products/pallets are located in despatch areas</td>
</tr>
<tr>
<td></td>
<td>2.7 Products are assembled to meet workplace schedules</td>
</tr>
<tr>
<td></td>
<td>2.8 Orders are consolidated, secured, arranged and placed in storage zones in accordance with the schedule</td>
</tr>
<tr>
<td>3 Record stock levels</td>
<td>3.1 Storage areas are checked and stocks noted for replenishment in accordance with company procedures</td>
</tr>
<tr>
<td></td>
<td>3.2 Workplace records are completed as required</td>
</tr>
</tbody>
</table>
### Figure 13: Identifying the four dimensions of competency in the Unit of Competency

**Pick and process orders**

<table>
<thead>
<tr>
<th>TASK SKILLS</th>
<th>TASK MANAGEMENT SKILLS</th>
</tr>
</thead>
<tbody>
<tr>
<td>This requires performance of the task(s) to the required standard as described in the unit of competency and expected in the workplace.</td>
<td>Captures the skills used as people plan and integrate a number of potentially different tasks to achieve a complete work outcome.</td>
</tr>
<tr>
<td>Assessor needs to collect evidence that candidates can do the individual actions as well as the whole task.</td>
<td>Candidates should provide evidence that they can work efficiently to meet deadlines, handle a sequence of interrelated tasks and progress smoothly between tasks.</td>
</tr>
</tbody>
</table>

**TDTA1297A – The task skills involve the candidates in picking and processing an order in accordance with enterprise requirements.**

**TDTA1297A – The task management skills include:**
- arranging the sequence of work efficiently, eg moving through Elements 1 – 3
- carrying out tasks simultaneously, eg pick and despatching an order (Element 2) while recording stock levels (Element 3).

<table>
<thead>
<tr>
<th>CONTINGENCY MANAGEMENT SKILLS</th>
<th>JOB/ROLE ENVIRONMENT SKILLS</th>
</tr>
</thead>
<tbody>
<tr>
<td>The requirement to respond to irregularities and breakdowns in routines.</td>
<td>The requirement to deal with the responsibilities and expectations of the work environment.</td>
</tr>
<tr>
<td>Candidates should show evidence of dealing with contingencies, eg breakdowns, irregularities, imperfections or the unknown.</td>
<td>The capacity to work with others and adapt to different situations is central to successful performance.</td>
</tr>
</tbody>
</table>

**TDTA1297A – Assessor may use questions such as:**
- What if the incorrect pick path is established?
- What if the products are assembled and do not meet the workplace schedules?
- What if stock levels are not recorded correctly?
- What would happen if the required stock item was not in the allocated bay?
- What would you do if the stock item was damaged or had perished?

**TDTA1297A – Assessors may use questions such as:**
- Does the candidate comply with workplace procedures in performing the task?
- Does the candidate communicate effectively with others?
- Does the candidate observe enterprise occupational, health and safety requirements?

---

**See facilitator resources**

Activity 3.2 – *Identifying the dimensions of competency in a unit of competency*
**Accessing information in a unit of competency**

The unit of competency provides the benchmark against which candidate performance will be judged. Assessors need to carefully read the unit of competency in order to understand the work activity, the evidence that will need to be collected and the skills and knowledge that candidates must possess.

If the assessment is to take place in the workplace, the unit of competency needs to be read in conjunction with actual workplace documents such as standard operating procedures, health and safety procedures, Australian Standards and material safety data sheets.

If the assessment is to take place in an institutional setting, the assessor will need to ensure that actual workplace conditions are replicated as accurately as possible. (See Section 5: Gathering evidence for further information on the use of simulation.)

Knowing how to access the information in a unit of competency is an essential step in planning the assessment process. One approach to identifying information is provided in Guide 1: Training Package assessment materials kit. It involves posing a series of questions about the work activity and extracting the information from the relevant unit of competency. These questions are:

- 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 of competence be gathered?
- What resources are required to gather evidence?

Figure 14 identifies the information needed to answer each of these questions and where it is located in a unit of competency. This is illustrated by highlighting the relevant sections of the Unit of Competency Process and record data from the Laboratory Operations Training Package.
Figure 14: Finding information in a unit of competency

<table>
<thead>
<tr>
<th>Unit of competency</th>
<th>Process and record data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training Package</td>
<td>Laboratory Operations Training Package</td>
</tr>
</tbody>
</table>

**What do you need to know about the work activity?**

<table>
<thead>
<tr>
<th>What is the work activity?</th>
<th>Unit title</th>
<th>What does the unit of competency tell you?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Process and record data</td>
</tr>
</tbody>
</table>

**What does the work activity involve?**

<table>
<thead>
<tr>
<th>What skills are needed to perform the work activity?</th>
<th>Elements</th>
<th>In this unit the key skills to perform are:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>• record and store data</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• perform laboratory computations</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• present data in tables, charts and graphs</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• interpret data in tables, charts and graphs</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• keep accurate records and maintain their confidentiality.</td>
</tr>
</tbody>
</table>

**What level of skill is needed?**

<table>
<thead>
<tr>
<th>What are the conditions under which this work activity may be conducted?</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>For each skill there are specified performance criteria. For example, the element Record and store data has five performance criteria:</td>
</tr>
<tr>
<td></td>
<td>• code and transcribe data as directed</td>
</tr>
<tr>
<td></td>
<td>• record data in accordance with document traceability requirements</td>
</tr>
<tr>
<td></td>
<td>• enter data into laboratory information system or record sheets as directed</td>
</tr>
<tr>
<td></td>
<td>• rectify errors in data using enterprise procedures</td>
</tr>
<tr>
<td></td>
<td>• store and retrieve data using appropriate files and/or application software.</td>
</tr>
</tbody>
</table>

**Range statement**

- 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.
<table>
<thead>
<tr>
<th>Unit of competency</th>
<th>Process and record data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training Package</td>
<td>Laboratory Operations Training Package</td>
</tr>
</tbody>
</table>
| 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:
* 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:
* 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.
The skills required include the:
* 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 1. |
| Where should evidence of competence be gathered? | Context for assessment | This unit of competency is to be assessed in the workplace or simulated environment. |
| What resources are required to gather the evidence? | Resource requirements | The resources required to gather evidence for assessment in this unit of competency include:
* data sets and records
* computer and relevant software or laboratory information system
* relevant workplace procedures. |
Relating the unit of competency to real work

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 all at once. As illustrated in the following example, the preparation of a fish stock involves combining or clustering a number of units of competency from the Hospitality and Tourism 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
- THHBKA01A 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.
How to identify language, literacy and numeracy skills in a unit of competency

Some competencies are more literacy and numeracy work activity dependent than others, but there are few that have no connection at all. Even when a task seems purely mechanical, there is often a large component of language, literacy and numeracy in the underpinning knowledge. For instance, when the candidate is required to apply occupational health and safety, to know about hazardous chemicals, and to follow manufacturers’ instructions, there is usually a requirement to read quite complex information.

Language, literacy and numeracy skills may be quite explicit or they may be embedded in a unit of competency. For instance, language, literacy and numeracy skills may appear in documentation:

- as a whole unit of competency – for example *Communicate appropriately with clients and colleagues* (Aged Care, Certificate II); *Write reports* (Metals and Engineering, Certificate II); *Apply mathematical concepts* (Wine Industry, Certificate II)
- as an element, either explicitly or embedded in other statements – for example, *Maintain documentation of jobs* (Metals and Engineering, Heat Treatment Unit)
- in the range statements, or as underpinning skills and knowledge in the evidence guide – for example, *Written communication skills as required to fulfil organisation procedures*. (They may vary from writing a few sentences on a work topic to completing forms. Literacy competencies may be required in English or another language). (Aged Care); *Read and interpret chemical and safety information labels* (Agriculture). Sometimes they are the main underpinning skills, but words like ‘read’, ‘write’, ‘calculate’ do not appear at all. For example, the performance criteria in a Hospitality unit of competency requires production schedules to be planned with consideration given to menu constraints, labour costs to be controlled with consideration given to rosters, scheduling, award conditions and rates.

Unpacking a unit of competency

One of the key challenges facing assessors is ensuring that they are able to identify the full requirements of a unit of competency and the evidence needed to make the assessment decision. One way of gathering this information is by ‘unpacking’ the unit of competency.
This involves analysing the key information found in the different components of the unit of competency:

- the elements and performance criteria
- the range statement
- the evidence guide.

The outcome of this analysis is then used to develop an evidence table which details the potential sources of evidence that may be used in the assessment process.

The following example (Figure 15), which is taken from Guide 2: Assessing competencies in higher qualifications, illustrates the process of unpacking a unit of competency to identify potential sources of evidence for the Unit of Competency PMLORG600A Supervise laboratory operations in work/functional area from the Laboratory Operations Training Package. This involves analysing the information in the:

- elements and performance criteria
- range statement
- evidence guide.

**Analysing the elements and performance criteria**

The first stage in the process involves analysing the elements and performance criteria to determine the potential sources of evidence. In this example, the assessor has made notes about possible sources of evidence for each element.
Figure 15a: Identifying sources of evidence from the elements and performance criteria

<table>
<thead>
<tr>
<th>PMLORG600A Supervise laboratory operations in work/functional area</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Element</strong></td>
</tr>
<tr>
<td>----------------</td>
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</tbody>
</table>
| 1 Program and direct work practices within functional area | 1.1 Ensure that personnel follow all relevant procedures, regulations and standards  
1.2 Confirm that all technical work is performed in accordance with relevant standards, SOPs and schedules  
1.3 Ensure that analytical results/data are checked, collated and distributed in accordance with enterprise requirements  
1.4 Monitor testing and sampling procedures for quality control in accordance with enterprise requirements  
1.5 Identify and resolve complex problems by using agreed problem solving strategies and acting to prevent their recurrence. |
| 2 Manage personnel within work area | 2.1 Develop and coordinate rosters to balance job requirements, laboratory efficiency and skill development opportunities  
2.2 Empower work groups/teams in dealing with technical and work flow problems and suggesting improvements  
2.3 Provide coaching and mentoring to support personnel who have difficulties with meeting targets for performance and/or resource usage  
2.4 Establish and maintain effective communication with all personnel and clients to ensure smooth and efficient operations. |
| 3 Establish resource requirements and operating budgets | 3.1 Collect and analyse available resource information in consultation with appropriate personnel  
3.2 Prepare operational plans which make the best use of available resources, taking into account client needs and enterprise plans  
3.3 Identify and analyse possible variances due to external/internal factors and prepare contingency plans  
3.4 Compile operating budgets as required. |

Possible sources of evidence

This job role could not be accurately observed by an assessor over one or two assessment events. Competence will only be confirmed over a period of time. Third party reports from managers (written reports, logs, structured observation checklist, etc) would be appropriate. Other evidence could be:

- questioning to confirm knowledge of procedures, regulations and standards (1.1, 1.2, 1.3, 1.4)
- workplace/audit documents (1.2, 1.3, 1.4), quality systems reports (1.4), non-conformance reports (1.5)
- practical demonstration of fault finding including interview on critical incidents (1.5).

Possible sources of evidence

Personnel management roles do not lend themselves to assessment by observation, although assessors may for example observe a supervisor at team meetings. Skills and knowledge are demonstrated over time and in a range of contexts. Sources of evidence could be:

- workplace documents (schedules, rosters, production records, training plans) (2.1, 2.4)
- workplace documents (quality improvement reports) (2.2)
- third party reports (team, manager, customers, suppliers) (2.3–2.4).

Possible sources of evidence

Opportunities for observation maybe limited, so use candidates' contributions to business plans, budgets and operation plans. Other sources of evidence could be:

- workplace documents (periodic reports on resource usage against budgets, contingency plans) (3.2, 3.3, 3.4)
- third party reports (manager) (3.1–3.4)
- questioning/interview about critical incidents (3.3).
### 4 Procure resources to achieve operational plans

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<tbody>
<tr>
<td>4.1</td>
<td>Analyse resource requirements and sources of supply in terms of suitability, cost, quality and availability</td>
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<tr>
<td>4.2</td>
<td>Select and purchase new materials and equipment in accordance with enterprise procedures</td>
</tr>
<tr>
<td>4.3</td>
<td>Coordinate stocktaking of materials and equipment to ensure maintenance of stock at prescribed levels</td>
</tr>
<tr>
<td>4.4</td>
<td>Ensure that personnel are competent to perform required tasks and organise training if required</td>
</tr>
<tr>
<td>4.5</td>
<td>Arrange for the recruitment and induction of personnel as appropriate.</td>
</tr>
</tbody>
</table>

**Possible sources of evidence**

This job role will produce workplace documents as a primary source of evidence (eg purchase proposals, benefit/cost analyses, stocktaking records, training plans/records, recruitment/induction programs). Other evidence may be:

- questioning about enterprise procedures (4.2)
- third party reports (managers, suppliers) (4.1– 4.5)
- workplace documents (specific personnel reports such as training needs analyses, performance reports) (4.3, 4.4)
- project (eg a workplace project about improved procurement or skills development practices) (4.1, 4.2, 4.4)
- practical demonstration (observation of specific events such as stocktaking, induction of new employees) (4.3–4.4)
- training records (4.4).

### 5 Monitor and optimise operational performance and resource usage

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<tbody>
<tr>
<td>5.1</td>
<td>Monitor the relationship between budget and actual performance to foresee problems</td>
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<td>5.2</td>
<td>Analyse variations in budget performance and either report or rectify abnormal/sub-optimal performance</td>
</tr>
<tr>
<td>5.3</td>
<td>Negotiate with designated personnel and seek approval for variations to operational plans as required</td>
</tr>
<tr>
<td>5.4</td>
<td>Assess utilisation of plant, equipment and consumables and compare with planned usage</td>
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<tr>
<td>5.5</td>
<td>Rectify sub-optimal utilisation of plant, equipment and consumables</td>
</tr>
<tr>
<td>5.6</td>
<td>Program and arrange for maintenance of plant and equipment in accordance with enterprise maintenance schedules</td>
</tr>
<tr>
<td>5.7</td>
<td>Maintain systems, procedures and records associated with resource usage in accordance with enterprise requirements.</td>
</tr>
</tbody>
</table>

**Possible sources of evidence**

Evidence for this element will be accumulated over time and as opportunity presents. Workplace documentation such as plans, budgets and resource proposals in Elements 3 and 4 are monitored and revised as appropriate. The documents derived from this process will provide evidence of competence. Other evidence may be:

- third party reports (managers) (5.1– 5.7)
- questioning/interview about critical incidents (usually sub-optimal performance and strategies implemented to rectify) (5.1– 5.5)
- questioning about enterprise procedures and maintenance schedules (5.6, 5.7)
- project (eg a workplace project to identify production and resource efficiencies, say, within the enterprise’s QA process) (5.1– 5.7)
- practical demonstration (eg observation by managers in the event of unscheduled maintenance) (5.5).
Analysing the range statement

In seeking to identify the range of evidence sources, assessors need to ensure that the evidence requirements are relevant to the assessment context. The range statement component of the unit of competency is a valuable source of advice in ensuring that the assessment caters for a range of tasks, procedures, techniques, situations, equipment and information sources. Assessors will need to introduce the variables that are relevant to each particular workplace or context. In Unit PMLORG600A these are:

- procedures, processes and standards relevant to the job role
- workplace documents generally prepared by supervisors
- range of resources and equipment managed by laboratory supervisors
- specific supervisory roles performed by staff at this level.

Assessors could further customise the evidence sources by identifying the actual procedures, standards, documentation, resources, equipment and job roles within the enterprise in which the assessment will take place.

Analysing the evidence guide

By spending the time to analyse the content of the elements, performance criteria and range statement for the unit of competency, a wide array of possible evidence sources has been identified. The next stage in unpacking the unit of competency is to analyse the information in each of the components of the evidence guide to confirm (or add to) the evidence requirements identified above.

Assessors should begin by looking at the ‘Critical aspects of competence’ as shown in Figure 15b and try to relate these requirements directly to the elements and performance criteria. Cross-referencing the evidence requirements in this way will ensure that all critical aspects of competence are covered by the evidence sources identified in Figure 15a. If they are not all covered, the sources will need to be supplemented.
Figure 15b: Analysing the critical aspects of competence component of the evidence guide

**PMLORG600A Critical aspects of competence**

Competence must be demonstrated in the ability to supervise laboratory operations and personnel so that planned outcomes are achieved within agreed resource and budget parameters without compromising safety, quality and ethics.

<table>
<thead>
<tr>
<th>In particular, assessors should look to see that candidates can:</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>• collect, analyse and report information for enterprise operational plans, budgets and performance management</td>
<td>3.1–3.4, 4.1, 5.1, 5.2, 5.4</td>
</tr>
<tr>
<td>• organise and optimise the use of resources within agreed parameters to achieve planned outcomes</td>
<td>2.1, 3.1–3.3, 4.1, 4.3–4.5</td>
</tr>
<tr>
<td>• revise plans to take account of the unexpected</td>
<td>1.5, 3.3, 5.1–5.3, 5.5</td>
</tr>
<tr>
<td>• make decisions within limits of responsibility and authority</td>
<td>1.5, 2.1, 2.2, 4.2, 4.4, 4.5, 5.5, 5.6</td>
</tr>
<tr>
<td>• ensure that legislation, statutory and enterprise requirements are met in work operations</td>
<td>1.1–1.4, 4.2, 5.6, 5.7</td>
</tr>
<tr>
<td>• monitor outputs, analyse processes and introduce ways to improve operations</td>
<td>1.4, 1.5, 2.2, 5.1–5.3, 5.5</td>
</tr>
<tr>
<td>• use effective consultative processes</td>
<td>1.1, 2.2–2.4, 3.1, 5.3</td>
</tr>
<tr>
<td>• promote a learning environment for personnel in immediate work area</td>
<td>2.2, 2.3, 4.4</td>
</tr>
<tr>
<td>• motivate and counsel personnel to improve performance</td>
<td>1.1, 2.2, 2.3, 4.4</td>
</tr>
<tr>
<td>• access information from relevant external sources.</td>
<td>1.1, 1.2</td>
</tr>
</tbody>
</table>

After working through this process, it can be seen that Figure 15b confirms that all critical aspects of competence are addressed comprehensively in the performance criteria for the unit of competency.

Next, assessors should look in the essential knowledge section of the evidence guide and prepare a list of underpinning knowledge that candidates should be able to apply. These statements can be linked to the elements and performance criteria in Figure 15a to indicate where questioning and interviewing of candidates are relevant to the demonstration of competence. Figure 15c cross-references the essential knowledge with the performance criteria. The framing of specific questions for use during an assessment interview is usually done at a later time and in consultation with workplace managers to ensure relevance to each candidate’s context.
Figure 15c: Analysing the essential knowledge component of the evidence guide

### PMLORG600A Essential knowledge

The candidate requires sufficient knowledge of the enterprise’s business, strategic and operational plans and key performance indicators; laboratory services; and enterprise products, services and customers to be able to supervise laboratory operations within a work or functional area.

<table>
<thead>
<tr>
<th>Competence includes the ability to apply and explain:</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>• legislation, codes, standards and registration criteria relevant to the work area or function</td>
<td>1.1–1.5, 4.2, 5.6, 5.7</td>
</tr>
<tr>
<td>• principles of budgeting, operational planning and efficient resource use</td>
<td>3.1–3.4, 4.1, 5.1-5.7</td>
</tr>
<tr>
<td>• workplace industrial agreements and regulations dealing with hygiene, dress and behaviour of employees</td>
<td>1.1, 4.4, 4.5</td>
</tr>
<tr>
<td>• SOPs and the technical details of sampling, testing, equipment and instrumentation within the work area</td>
<td>1.1–1.5</td>
</tr>
<tr>
<td>• problem solving techniques and contingency planning</td>
<td>1.5, 2.2, 5.5</td>
</tr>
<tr>
<td>• broad trends in production data (eg seasonal, annual)</td>
<td>3.1–3.4, 5.1</td>
</tr>
<tr>
<td>• auditing procedures</td>
<td>1.2–1.4, 3.1</td>
</tr>
<tr>
<td>• team leadership and development techniques</td>
<td>2.1-2.4, 4.4, 4.5</td>
</tr>
<tr>
<td>• mentoring and coaching techniques</td>
<td>2.1-2.3, 4.4, 4.5</td>
</tr>
<tr>
<td>• the organisation’s business goals, as an overall basis for decision making and actions.</td>
<td>3.1–3.4, 5.1, 5.2</td>
</tr>
</tbody>
</table>

Now look at the entry for ‘Assessment methods and resources’ in the evidence guide. It provides guidance on the assessment approaches that may work best for this unit of competency, and ways of gathering and recording evidence.

Methods and resources suggested for Unit PMLORG600A have been summarised in Figure 15d and cross-referenced against the relevant performance criteria.
**Figure 15d: Analysing the recommended assessment methods and resources**

<table>
<thead>
<tr>
<th><strong>PMLORG600A Assessment methods and resources</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Because of the comprehensive nature of this unit and the need to integrate a wide range of knowledge and skills, the assessment timeframe must allow for adequate assessment over a planning cycle and address a range of non-routine problems.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>The following assessment methods are suggested in the unit:</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>• direct observation of the candidate’s interactions with personnel</td>
<td>1.5, 2.2, 4.3, 4.4</td>
</tr>
<tr>
<td>• review of reports from subordinates, peers, managers and customers</td>
<td>All criteria</td>
</tr>
<tr>
<td>• review of reports, operational budgets and plans generated by the candidate</td>
<td>3.1–3.4, 5.1, 5.2</td>
</tr>
<tr>
<td>• review of performance reports for the candidate’s work area</td>
<td>1.2–1.5</td>
</tr>
<tr>
<td>• review of documented examples of quality performance improvements achieved and examples of significant problems solved</td>
<td>1.4, 1.5, 2.2</td>
</tr>
<tr>
<td>• simulations/role plays to assess situations which are critical but did not arise during the negotiated assessment period</td>
<td>1.5</td>
</tr>
<tr>
<td>• questioning/interview to assess underpinning knowledge</td>
<td>1.1–1.4, 3.3, 4.2, 5.1–5.7</td>
</tr>
<tr>
<td>• relevant workplace policies, procedures, operational reports, financial reports and stock records.</td>
<td>1.2–1.4, 2.1, 2.4, 4.3</td>
</tr>
</tbody>
</table>

Note that the evidence sources identified in Figure 15a are consistent with all the assessment methods suggested in the unit of competency (Figure 15d). By way of illustration, this assessment:

- will gather evidence over an extended period as plans and budgets are prepared, monitored and revised during the planning cycle
- makes only limited use of direct observation of candidates by the assessor, specifically relating to interactions with personnel (the assessor should observe the candidate conducting team meetings and inducting a new employee, as opportunity permits; the candidate’s manager should also observe the conduct of unscheduled maintenance procedures following a breakdown in equipment)
- makes extensive use of third party reports by managers and customers/suppliers
- reviews a wide range of workplace documents
- proposes the use of third party observation and simulations/role plays to assess situations which are unlikely to arise in the presence of the assessor.
In addition to the recommended assessment methods, some workplace projects should be negotiated with candidates to demonstrate a contribution to improving processes and practices (Elements 4 and 5).

Finally, in unpacking the unit of competency there are seven generic competencies, referred to as key competencies, that should be considered in the assessment design. They focus on the overall capacity of candidates to apply knowledge and skills in an integrated way in the workplace. It is expected that they will be achieved as a person develops competence in the unit.

Assessors should ensure that their assessments will confirm that candidates possess these key competencies. In the first instance, assessors can check whether they are already incorporated within the evidence requirements for the unit.

The following checklist has been produced to ensure that the key competencies are assessed as a part of the assessment design. In Figure 15e the key competencies are checked to ensure that they are incorporated at the appropriate level within the performance criteria for the unit of competency. This ensures that these requirements are assessed indirectly by the evidence gathered to meet the performance requirements of the unit. Obviously, if an assessor’s checklist reveals gaps, there will need to be other sources of evidence provided to cover the deficiency in evidence.

Figure 15e: Ensuring the key competencies are assessed

<table>
<thead>
<tr>
<th>Key competency</th>
<th>Level</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communicating ideas and information</td>
<td>3</td>
<td>1.3, 2.4</td>
</tr>
<tr>
<td>Collecting, analysing and organising information</td>
<td>3</td>
<td>1.3, 1.4, 2.1, 3.1–3.4, 4.1, 5.1, 5.2</td>
</tr>
<tr>
<td>Planning and organising activities</td>
<td>3</td>
<td>1.1–1.5, 2.2, 2.3, 3.2, 4.2–4.5, 5.5–5.7</td>
</tr>
<tr>
<td>Working with others and in teams</td>
<td>3</td>
<td>1.1–1.5, 2.1–2.4, 5.3</td>
</tr>
<tr>
<td>Using mathematical ideas and techniques</td>
<td>3</td>
<td>1.3, 1.4, 3.3, 4.1, 5.1, 5.2</td>
</tr>
<tr>
<td>Solving problems</td>
<td>3</td>
<td>1.5, 2.2, 2.3, 3.3, 5.3, 5.5</td>
</tr>
<tr>
<td>Using technology</td>
<td>2</td>
<td>1.3, 2.4, 3.1, 3.4, 5.1, 5.2</td>
</tr>
</tbody>
</table>
Unpacking of this unit of competency is now completed and a range of evidence sources relevant to assessing competence has been identified. This is recorded in Figure 15f by marking ( √ ) the appropriate boxes to note the sources of evidence for each element and associated performance criteria.

While this may seem a fairly tedious process, the table will show at a glance whether evidence sources are capable of covering all aspects of performance specified in the unit.

Note that unpacking this unit of competency has not identified all of the possible sources of evidence. Some of the sources (eg personal statement/resume, training records) will be influenced by the circumstances of each candidate. This information will be identified when negotiating the range and types of evidence with candidates and can then be added to Figure 15f.

See facilitator resources
Activity 3.5 – Unpacking a unit of competency in detail
### Figure 15f: Evidence sources for a unit of competency

#### Summary of evidence sources for the unit of competency

<table>
<thead>
<tr>
<th>Unit(s) of competency</th>
<th>PMLORG600A from PML99 Laboratory Operations Training Package</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered Training Organisation</td>
<td>Labskill</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Evidence sources +</th>
<th><strong>A1</strong></th>
<th><strong>A2</strong></th>
<th><strong>A3</strong></th>
<th><strong>B1</strong></th>
<th><strong>B2</strong></th>
<th><strong>B3</strong></th>
<th><strong>B4</strong></th>
<th><strong>B5</strong></th>
<th><strong>B6</strong></th>
<th><strong>B7</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Elements and performance criteria</td>
<td>Practical Demonstration</td>
<td>Third Party Reports</td>
<td>Questioning/Interview</td>
<td>Personal Statement/Resume</td>
<td>Workplace Documents</td>
<td>Training Records</td>
<td>Case Studies</td>
<td>Projects</td>
<td>Journal/Diary</td>
<td>Testimonials/Awards</td>
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<tr>
<td>Element 1</td>
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Note: * denotes observation of a simulated or role play exercise  
+ evidence sources such as B1, B3–B7 have been identified in consultation with candidates
Facilitator resources: Interpreting competency standards

Activity 3.1 – The dimensions of competency

Facilitator guidelines

This activity is designed to assist participants to identify the four dimensions of competency. Note relevant materials in the Background information for facilitators are reproduced as resources for facilitators.

- Introduce the concept of dimensions of competency to the group.
- Ask group members to identify examples of people applying task, task management, contingency management or job/role environment skills from their own experience or knowledge of job roles at their current workplace.
- Distribute Handout 1.
- In pairs, ask the participants to read the thirteen statements and decide whether each statement describes a task skill, task management skill, contingency management skill or job/role environment skill.
- Allow the pairs to complete the task.
- Debrief the activity with the whole group by considering questions such as:
  - What are the four dimensions of competency?
  - Which of the statements illustrated task skills, task management skills, contingency management skills and job/role environment skills?
  - Were any of the tasks difficult to classify?
  - Why is it important to consider the four dimensions of competency in assessing whether a person is competent?

Note: the correct answers for Handout 1 (on the following page) are:

1 – D; 2 – A; 3 – A; 4 – B; 5 – A; 6 – B; 7 – D; 8 – B; 9 – C; 10 – C; 11 – D; 12 – A; 13 – C.
Handout 1: Identifying the dimensions of competency

Study the thirteen statements listed below. Each statement describes an aspect of work in a specific industry. Use the appropriate letter code to identify whether each statement is describing a:

- A – task skill
- B – task management skill
- C – contingency management skill
- D – job/role environment skill.

<table>
<thead>
<tr>
<th>Statement No.</th>
<th>Aspect of work</th>
<th>Dimensions of competency</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Notification of shift availability, or non-attendance for shift, is given without undue delay and according to store policies and procedures.</td>
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<tr>
<td>2</td>
<td>Equipment is checked.</td>
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<td>3</td>
<td>Boxes or kennels are cleaned and bedding replaced in accordance with stable/kennel routine.</td>
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<tr>
<td>4</td>
<td>Plan and prepare for operations.</td>
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<tr>
<td>5</td>
<td>Pre start, start up, park up and shutdown procedures are carried out in accordance with manufacturer’s instructions and site procedures.</td>
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</tr>
<tr>
<td>6</td>
<td>Plan and use race tactics.</td>
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<tr>
<td>7</td>
<td>Information on defined process changes and enhancements is made available to those responsible for control processes.</td>
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<tr>
<td>8</td>
<td>Identify sources of contamination, cross-contamination and spoilage.</td>
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<tr>
<td>9</td>
<td>Relevant safety systems information is accessed, analysed and used to assist in or confirm hazard identification.</td>
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<tr>
<td>10</td>
<td>Results of evaluation are used to guide further training, where required.</td>
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<tr>
<td>11</td>
<td>Rehearsal is monitored and conducted in accordance with the director’s requirements, rehearsal schedule, organisational policies/procedures and production budget.</td>
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<tr>
<td>12</td>
<td>Pyrotechnics are executed on cue.</td>
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<tr>
<td>13</td>
<td>Following presentation, feedback on design concept is sought from appropriate personnel. Final design concept is agreed, and modifications are determined and incorporated.</td>
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</tbody>
</table>
Activity 3.2 – Identifying the dimensions of competency in a unit of competency

Facilitator guidelines

This activity is designed to assist participants to identify the task skills, tasks management skills, contingency management skills and job/role environment skills that are either identified or inferred in a unit of competency. Note relevant materials in the Background information for facilitators are reproduced as resources for facilitators.

- Initiate this activity by taking the group through an example of how the dimensions of competency are identified in a unit of competency. A suitable example may be the case study used in this guide from the Transport and Distribution (Warehousing) Training Package Unit of Competency Pick and process orders. In presenting the case study the facilitator should:
  - walk participants through the elements and performance criteria in the unit of competency (see Figure 12)
  - explain the coverage of the four dimensions of competency in this unit of competency (Figure 13).
- Alternatively, illustrate this technique by using an example of a unit of competency from another Training Package.
- Divide the participants into groups of three or four people. Ask each group to select a unit of competency from a Training Package and provide each group with a copy of Handout 2. Ideally, participants should select a unit of competency with which they are familiar.
- Participants should read the unit title, elements and performance criteria and complete the worksheet by noting down in point form the key task, task management, contingency management and job/role environment skills incorporated in the unit of competency.
- Allow the groups time to complete the task.
- Debrief the activity with the whole group by considering questions such as:
  - What are the task, task management, contingency management and job/role environment skills associated with this work activity?
  - How might you assess the four dimensions of competency associated with this work activity?
  - Why is it important to consider the four dimensions?
Handout 2: Identifying the dimensions of competency

Select a unit of competency from a Training Package. Read the unit title, elements and performance criteria. Complete the table below by jotting down in point form the key task skills, task management skills, contingency management skills and job/role environment skills incorporated in the unit.

Unit title: 

<table>
<thead>
<tr>
<th>TASK SKILLS</th>
<th>TASK MANAGEMENT SKILLS</th>
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<tbody>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>CONTINGENCY MANAGEMENT SKILLS</th>
<th>JOB/ROLE ENVIRONMENT SKILLS</th>
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</thead>
<tbody>
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</table>
Facilitator guidelines

The purpose of this activity is to give participants the opportunity to become familiar with the layout and content of a unit of competency. The activity requires participants to closely examine and tease out essential assessment information contained in a unit of competency. In examining the unit of competency, the participants should consider the context of the industry. Note relevant materials in the Background information for facilitators are reproduced as resources for facilitators.

- Photocopy a number of units of competency from different Training Packages, or if you have a group of people from the same industry or enterprise, copy a number of different units from the relevant Training Package.
- Divide the participants into small groups and allocate each group a different unit of competency. Each member of the group will need a copy.
- Explain to the group that the unit of competency describes a work activity and that information on the activity may be extracted from the unit of competency to guide the assessment process. This is done by posing the following questions:
  - What do you need to know about the work activity?
  - 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 this work activity?
  - What generic work skills are needed?
  - Where should evidence of competence be gathered?
  - What resources are required to gather the evidence?
- Ask each group to complete Handout 3 using information from the unit of competency given to their group.
- Ask the groups to identify the section of the unit of competency in which the assessor would find the answers to each question. This information should be used to complete columns two and three of the table.
- Ask one member of each group to report on the findings to the larger group.
• Debrief the activity by considering questions such as:
  ▪ What information were you able find in the unit of competency?
  ▪ What additional information might you require in planning assessment?
  ▪ Where might this additional information be found?
Handout 3: Identifying information in a unit of competency

<table>
<thead>
<tr>
<th>Unit of competency</th>
<th>Training Package</th>
</tr>
</thead>
<tbody>
<tr>
<td>What do you need to know about the work activity?</td>
<td>Where is the information found?</td>
</tr>
<tr>
<td>What is the work activity?</td>
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<tr>
<td>What does the work activity involve?</td>
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<tr>
<td>What skills are needed to perform the work activity?</td>
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<tr>
<td>What level of skill is needed?</td>
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<tr>
<td>What are the conditions under which this work activity may be conducted?</td>
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<tr>
<td>What evidence is needed to prove that a person is competent?</td>
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<tr>
<td>What knowledge and skills are needed to perform this work activity?</td>
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<tr>
<td>What generic work skills are needed?</td>
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<tr>
<td>Where should evidence of competence be gathered?</td>
<td></td>
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<tr>
<td>What resources are required to gather the evidence?</td>
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</tbody>
</table>
Activity 3.4 – Case study Zoe – the four dimensions of competency at work

Facilitator guidelines

This activity is designed to encourage participants to think about assessment in terms of broader job roles and functions. The case study requires participants to examine a range of units of competency with a view to determining the dimensions of competency that make up the work performed by the case study subject. This activity may also assist in consolidating understandings of dimensions of competency. Note relevant materials in the Background information for facilitators are reproduced as resources for facilitators.

- Divide the participants into small groups of two or three people.
- Distribute the following case study and accompanying worksheet (Handout 4) as well as the following units of competency from the Hospitality and Tourism Training Package that form part of the Certificate III in Hospitality (Food and Beverage).
  - THHCOR01A Work with colleagues and customers
  - THHBFB09 Provide responsible service of alcohol
  - THHADFB01 Provide specialist advice on food.
- The units of competency can be obtained from the Hospitality and Tourism Training Package on the National Training Information Service web site www.ntis.gov.au.
- Participants complete the second column in the worksheet by using the information contained in the case study and the units of competency.
- Ask each group to identify the task, task management, contingency management and job/role environment skills that Zoe would require.
- Participants complete the third column in the worksheet by identifying the evidence that Zoe may provide to show that she has the required skills.
Handout 4: Case study Zoe – the four dimensions of competency at work

Zoe works in a restaurant in a large hotel as a food and drinks waiter. She is responsible for greeting and seating guests, assisting and advising them in their choice of food and drinks, serving food and drinks, and clearing the tables. Zoe does not have any formal qualifications but has worked in the hospitality industry for many years, including a number of years overseas in five-star hotels. Zoe is interested in gaining formal recognition of her skills.

You are an RTO assessor who has been contracted to assess her current competence against three units of competency from the Certificate III in Hospitality (Food and Beverage). These are:

- THHCOR01A Work with colleagues and customers
- THHBFB09 Provide responsible service of alcohol
- THHADFB01 Provide specialist advice on food.

### Case study Zoe – worksheet

<table>
<thead>
<tr>
<th>Dimension of competency</th>
<th>What skills are required?</th>
<th>What evidence might Zoe provide to show that she has these skills?</th>
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</thead>
<tbody>
<tr>
<td>Task skills</td>
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<td>Task management skills</td>
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<td>Contingency management skills</td>
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<tr>
<td>Job/role environment skills</td>
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Activity 3.5 – Unpacking a unit of competency in detail

Facilitator guidelines

This exercise involves examining a unit of competency in detail. The worked example in this guide, which is taken from Guide 2: Assessing competencies in higher qualifications may be used as a model to guide the activity.

Note: this exercise may be undertaken as an individual or group task.

- Explain the process of unpacking a unit of competency. The worked example of unit PMLORG600A Supervise laboratory operations in work/functional area might be used as a model.
- Divide the participants into groups of two or three people.
- Ask the participants to select a unit of competency of interest to them.
- Ask participants to read the unit of competency to get an overview of the work functions and level of performance described in the unit.
- Provide the participants with a copy of Handout 5 containing Tables 1 – 6.
- Ask them to analyse the elements, performance criteria, range statement and evidence guide (using Tables 1 – 5) to determine the potential sources of evidence.
- Having completed this task the participants should complete the evidence table (Table 6).
- Ask the participants to review the evidence tables they have constructed and identify the key sources of evidence they would use in assessing their selected unit of competency.
- Debrief the activity with the whole group by considering the following questions:
  - Is this a worthwhile activity to do when planning assessments? Why or why not?
  - How might you apply this procedure when dealing with a cluster of units of competency that represent a whole work activity?
Handout 5: Unpacking a unit of competency

Table 1: Identifying sources of evidence from the elements and performance criteria

<table>
<thead>
<tr>
<th>Title of unit of competency</th>
<th>Elements</th>
<th>Possible sources of evidence</th>
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<tbody>
<tr>
<td></td>
<td>Element 1</td>
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<td>Element 8</td>
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</tbody>
</table>
Table 2: Analysing the critical aspects of competence component of the evidence guide

<table>
<thead>
<tr>
<th>Critical aspects of competence</th>
<th>Performance criteria</th>
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</thead>
<tbody>
<tr>
<td>Assessors should look to see that candidates can:</td>
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</table>
Table 3: Analysing the essential knowledge component of the evidence guide

<table>
<thead>
<tr>
<th>Essential knowledge</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competence includes the ability to apply and explain:</td>
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</table>
### Table 4: Analysing the recommended assessment methods and resources

<table>
<thead>
<tr>
<th>Assessment methods and resources</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>The following assessment methods are suggested in the unit:</td>
<td>Performance criteria</td>
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</table>
### Table 5: Ensuring the key competencies are assessed

<table>
<thead>
<tr>
<th>Evidence guide</th>
<th>Key competency</th>
<th>Level</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Communicating ideas and information</td>
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<tr>
<td></td>
<td>Collecting, analysing and organising</td>
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<td></td>
<td>information</td>
<td></td>
<td></td>
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<td></td>
<td>Planning and organising activities</td>
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<td></td>
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<td></td>
<td>Working with others and in teams</td>
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<td></td>
<td>Using mathematical ideas and techniques</td>
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<td></td>
<td>Solving problems</td>
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<td></td>
<td>Using technology</td>
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</tbody>
</table>
Table 6: Summary of evidence sources for unit(s) of competency

<table>
<thead>
<tr>
<th>Elements and performance criteria</th>
<th>Evidence sources</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Element 1</td>
<td>1.1</td>
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<td>Element 2</td>
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<td>Element 3</td>
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<td>Element 4</td>
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</table>

You can choose from these possible evidence sources:

1. Practical demonstration
2. Third party reports
3. Questioning/Interview
4. Personal statement/Resume
5. Workplace documents
6. Training records
7. Case studies
8. Projects
9. Journal/Diary
10. Testimonials/Awards
11. Written test
12. Other
4. ESTABLISHING A QUALITY ASSESSMENT PROCESS

**Introduction**

This section focuses on the assessment process.

Specific advice on structuring the assessment process is provided in the assessment guidelines component of all Training Packages. Assessors and RTOs must be aware of this advice and how it may be applied in their own organisation, taking into account the purpose of the assessment, the assessment context and the structure and scope of operations of the RTO.

The key topics covered in this section are:

- the key steps in the assessment process
- the role of candidates and assessors in the assessment process
- customising the assessment process to suit the RTO and its clients
- quality assuring the assessment process.

This section should be used in conjunction with three other guides from the *Training Package Assessment Materials Project*. These are:

- **Guide 5: Candidate’s Kit: Guide to assessment in New Apprenticeships**
- **Guide 7: Assessment using partnership arrangements**
- **Guide 10: Quality assurance guide for assessment.**
Background information for facilitators

The assessment process

The assessment process is the series of steps that candidates and assessors move through while undertaking the assessment. It includes preparing, conducting, recording, reporting and reviewing the assessment.

The National Training Quality Council (NTQC) has approved a model assessment process that will be included in the assessment guidelines section of all Training Packages. This model is illustrated in Figure 16.

Each of the eight steps in the model assessment process should be included in an RTO's processes. However, RTOs are able to customise these key steps to ensure that the assessment process suits the purpose of the assessment, the context or environment in which the assessment will occur and the structure and scope of operations of the RTO.

The assessment process is a critical component of the broader assessment system. That is, the structures and processes that the RTO has established to ensure that assessment decisions made in relation to many candidates, by many assessors, in many situations are consistent, fair, valid and reliable. The other key components of the assessment system include:

- assessment policies and procedures
- assessment tools
- validation strategies
- qualified assessors and other personnel
- assessment resources
- funding arrangements.

See facilitator resources

Activity 4.1 – Mapping the assessment process
Activity 4.2 – Video interview 1
Figure 16: Model assessment process

Step 1  
Establish the assessment context

Step 2  
Prepare the candidate

Step 3  
Plan and prepare the evidence gathering process

Step 4  
Collect the evidence and make the assessment

Step 5  
Provide feedback on the assessment

Step 6  
Record and report the result

Step 7  
Review the assessment process

Step 8  
Participate in the reassessment and appeals process
The assessor's role in the assessment process

Assessors have a critical role to play in the assessment process. The following extract from the model assessment guidelines for Training Packages outlines the assessor’s role in each step in the process.

Step 1: Establish the assessment context

The assessor:

- establishes the context and purpose of the assessment
- identifies the relevant competency standards, assessment guidelines and qualification framework in this Training Package
- identifies any NTQC noted support materials that have been developed to facilitate the assessment process
- analyses the competency standards and identifies the evidence requirements
- identifies potential evidence collection methods.

Step 2: Prepare the candidate

The assessor meets with the candidate to:

- explain the context and purpose of the assessment and the assessment process
- explain the competency standards to be assessed and the evidence to be collected
- advise on self-assessment, including processes and criteria
- outline the assessment procedure, the preparation the candidate should undertake, and answer any questions
- assess the needs of the candidate and, where applicable, negotiate reasonable adjustment for assessing people with disabilities without compromising the integrity of the competencies
- seek feedback regarding the candidate's understanding of the competency standards, evidence requirements and assessment process
- determine if the candidate is ready for assessment and, in consultation with the candidate, decide on the time and place of the assessment
- develop an assessment plan.
Step 3: Plan and prepare the evidence gathering process

The assessor must:

- establish a plan for gathering sufficient quality evidence about the candidate’s performance in order to make the assessment decision (and involve industry representatives in the development of plans for the validation of assessment)
- source or develop assessment materials to assist in the evidence gathering process
- organise equipment or resources required to support the evidence gathering process
- coordinate and brief other personnel involved in the evidence gathering process
- incorporate reasonable adjustments to the assessment procedure without compromising the integrity of the competencies.

Step 4: Collect the evidence and make the assessment decision

The assessor must:

- establish and oversee the evidence gathering process to ensure its validity, reliability, fairness and flexibility
- collect appropriate evidence and assess this against the elements, performance criteria, range statement and evidence guide in the relevant units of competency
- evaluate evidence in terms of the four dimensions of competency – task skills, task management skills, contingency management skills and job/role environment skills
- incorporate reasonable adjustments to the assessment procedure without compromising the integrity of the competencies
- evaluate the evidence in terms of validity, consistency, currency, equity, authenticity and sufficiency
- consult and work with other staff, assessment panel members or technical experts involved in the assessment process
- record details of evidence collected
- make a judgement about the candidate’s competence based on the evidence and the relevant unit(s) of competency.
Step 5: Provide feedback on the assessment

The assessor must provide advice to the candidate about the outcomes of the assessment process. This includes providing the candidate with:

- clear and constructive feedback on the assessment decision
- information on ways of overcoming any identified gaps in competence revealed by the assessment
- the opportunity to discuss the assessment process and outcome
- information on reassessment and the appeals process.

Step 6: Record and report the result

The assessor must:

- record the assessment outcome according to the policies and procedures of the RTO
- maintain records of the assessment procedure, evidence collected and the outcome according to the policies and procedures of the RTO
- maintain the confidentiality of the assessment outcome
- organise the issuing of qualifications and/or Statements of Attainment according to the policies and procedures of the RTO.

Step 7: Review the assessment process

On completion of the assessment process, the assessor must:

- review the assessment process
- report on the positive and negative features of the assessment to those responsible for the assessment procedures
- if necessary, suggest to appropriate personnel in the RTO ways of improving the assessment procedures.
Step 8: Participate in the reassessment and appeals process

The assessor must:

- provide feedback and counsel the candidate, if required, regarding the assessment outcome or process, including guidance on further options
- provide the candidate with information on the reassessment and appeals process
- report any disputed assessment decision to the appropriate personnel in the RTO
- participate in the reassessment or appeal according to the policies and procedures of the RTO.

See facilitator resources
Activity 4.3 – The candidate’s role in the assessment process

See facilitator resources
Activity 4.4 – Video interview 2

Customising the assessment process

RTOs may customise the assessment process to meet the needs of clients and their own circumstances.

In doing this RTOs should review the model provided in the assessment guidelines section of the relevant Training Package and take into account:

- the reasons why the assessments are being conducted
- the context or environment in which assessments occur
- the RTO's structure and scope of operations.
**Purpose of the assessment**

The first stage in customising the assessment process is to clarify the reasons for conducting assessments. These might include:

- recognising candidates’ current competencies for:
  - access to or credits for a training program, including New Apprenticeships
  - job selection or promotion
  - classification purposes within an award or industrial agreement
  - meeting the competence requirements of a licensing or regulatory authority
  - awarding nationally recognised qualifications or Statements of Attainment
- analysing candidates’ skills gaps in a workplace context or an off-the-job training program
- identifying competencies achieved in a training program.

**The assessment context**

In some cases assessments will be conducted in a workplace context. In others they may occur at a training institution. Some assessments might be conducted within the context of a training program, while others may be conducted within a recognition process. These environmental or contextual factors are a major influence on the design of the assessment process. Questions which should be considered include:

- Are the assessments to be conducted on-the-job, off-the-job or in a mixture of on- and off-the-job environments?
- What form of organisation is the RTO, ie an enterprise, a training provider, an industry organisation, a community organisation, a professional association, a school?
- Are the assessments being conducted within industry regulatory arrangements, ie licensing or registration systems?
- Who are the candidates, ie new entrants, New Apprentices or experienced workers?
- Are the assessments being undertaken within a New Apprenticeship program?
- Are the assessments being conducted within a ‘training and assessment’ or an ‘assessment only’ pathway?
The structure and scope of operations of the RTO

In some cases the RTO may be a large public provider with a broad scope of registration, whereas in others it may be a small, specialised private provider offering services to a specific industry sector. Alternatively, the RTO may be an enterprise which offers training and assessment services for its employees in a specific range of qualifications. The structure and scope of operations of the RTO will have a significant impact on the design of the assessment process. Key questions that should be considered include:

- What sort of organisation is the RTO?
- What role does the provision of training and assessment services play in the organisation?
- What is the RTO’s scope of registration?
- How many assessors does the RTO employ?
- How many assessments does the RTO conduct?
- Over what geographic area does the RTO operate?

Clarifying the purpose of the assessment, the assessment context and the RTO’s structure and scope of operations will enable the RTO to customise the assessment process in a manner that suits both its requirements and the needs of its clients.

This will enable the RTO to provide specific answers to questions such as:

- What information will be provided for candidates and assessors?
- How will the assessment be conducted?
- How will the evidence be collected?
- Where will the assessment be conducted?
- How will reasonable adjustments be made to the assessment process?
- What guidelines will be provided on assessment decision making?
- How will feedback be provided?
- How will the assessment outcome be recorded and reported?
- How will reassessment and appeals be conducted?
- How will the assessment process be reviewed?

The outcome of this process should be a documented assessment process that reflects the needs of the RTO and its clients and is consistent with the model assessment process outlined in the assessment guidelines component of the relevant Training Package.
Quality assuring the assessment process

As indicated earlier in this section, the assessment process is a key component of the wider assessment system. In order to ensure the validity and consistency of assessment outcomes, RTOs should quality assure their assessment systems. This will strengthen the capacity of RTOs to monitor and identify ways of improving their assessment systems. The adoption of this approach is consistent with the Australian Quality Training Framework Standards for Registered Training Organisations (AQTF Standards for RTOs) which require all RTOs to have quality assured assessment arrangements.

There is a wide range of strategies that can be used to quality assure the assessment process and other components of the assessment system. A fuller discussion of these approaches is provided in two other guides in the Training Package Assessment Materials Project. These are:

- Guide 7: Assessment using partnership arrangements

Guide 10: Quality assurance guide for assessment provides detailed information on twenty different strategies that may be used for quality assuring key components of the assessment system. These are:

- assessment plan
- assessment policy
- assessment system procedures
- assessment tools
- benchmarking
- partnership assessment arrangements
- evidence collection
- exemplars and benchmarks
- internal audit
- third party evidence
- information for assessors
- information for candidates
- professional judgement
- professional development of assessors
- record keeping
- RTO self-assessment
- selection and training of assessors
- simulated assessment
- team assessments.
- validation strategies.
The following table (Figure 17) provides an overview of the twenty strategies. For ease of reference, the strategies are listed alphabetically. Each strategy is mapped against the component of the assessment system to which it relates. For example, the quality assurance requirements of the assessment process could be addressed through the use of a number of different strategies, including:

- assessment plans
- assessment policies
- assessment tools
- exemplar and benchmark materials.

**Figure 17: Strategies for the quality assurance of assessment**

<table>
<thead>
<tr>
<th>Quality assurance strategy</th>
<th>Assessment system</th>
<th>Assessment process</th>
<th>Assessors</th>
<th>Evidence</th>
<th>Assessment judgement</th>
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<tr>
<td>Assessment plan</td>
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<td>Assessment policy</td>
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<td>Assessment system procedures</td>
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<td>Assessment tools</td>
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<td>Benchmarking</td>
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<td>Evidence collection guidelines</td>
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<td>Exemplar and benchmark materials</td>
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<td>Guidelines for gathering third party evidence</td>
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<td>Information for assessors</td>
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<td>Information for candidates</td>
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<td>Internal audit</td>
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<td>Mechanisms to support professional judgement</td>
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<td>Partnership assessment arrangements</td>
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<td>Professional development of assessors</td>
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<td>Record keeping</td>
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<td>Simulated assessment guidelines</td>
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<td>Team assessments</td>
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<td>Validation strategies</td>
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Identifying which strategies to use

RTOs are not expected to implement all of the strategies identified in the chart. However, it should be a goal for all RTOs to implement a combination of quality assurance strategies that engender confidence in the organisation’s assessment process and are consistent with the organisation’s structure and scope of operations.

What is important is that strategic decisions are made about which strategies to use and in what ways to use them. The compliance requirements directly mentioned in the AQTF Standards for RTOs should be considered first. Then it is important to think about an RTO's needs in selecting a particular strategy to suit a specific requirement.

The decision made about which strategies to adopt will be dictated by:

<table>
<thead>
<tr>
<th>Regulatory requirements</th>
<th>These include AQTF Standards for RTOs, licencing requirements, State and/or Territory legislative requirements, State and/or Territory Registering Body requirements.</th>
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<tr>
<td>Business considerations</td>
<td>These include the organisation’s quality systems, strategic planning processes and issues relating to client satisfaction. RTOs may be committed to compliance with broader quality management requirements (for example, ISO 9001 2000, TQM).</td>
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<tr>
<td>Resources</td>
<td>Consider the people, physical resources and the time available. Also consider the cost of establishment, operation and maintenance of the system.</td>
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<tr>
<td>Context</td>
<td>Think about the type, size, location and complexity of the RTO and the industries/enterprises involved.</td>
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Some strategies require considerable effort and/or resources to implement, and might initially be considered to be relatively expensive (for example, conducting team assessments.) This ‘cost’ must be balanced against the benefits achieved by implementing the strategy. If it is highly effective in terms of increasing confidence or validity, then the cost is warranted. Remember too that while the costs of initiating a strategy may be high (such as a new record keeping system) the ongoing costs will be covered by the long-term benefits to the organisation. The cost of not pursuing specific strategies may be greater than the cost of implementing them. Ultimately, consideration must be given to the degree of risk involved in getting an assessment judgement wrong.

The critical thing is to pick the mix of strategies that will ensure compliance with AQTF and State/Territory requirements, give a sense of confidence in the assessment process and provide the best value for money.
See facilitator resources
Activity 4.6 – Quality assuring the assessment process
Facilitator resources: Establishing a quality assessment process

Activity 4.1 – Mapping the assessment process

Facilitator guidelines

The assessment process is the series of steps that candidates and assessors move through while undertaking the assessment. It includes preparing, conducting, recording, reporting and reviewing the assessment. The purpose of this exercise is to encourage participants to consider the key steps in the assessment process and to introduce the model assessment process that the NTQC has approved for inclusion in the assessment guidelines component of Training Packages. Note relevant materials in the Background information for facilitators are reproduced as resources for facilitators.

- Inform participants that the assessment process is a key component of any assessment system. It is the series of steps that candidates and assessors move through while undertaking the assessment.
- Divide the participants into small groups of three or four people.
- Ask each group to draw a flow chart that illustrates the key stages in the assessment process. Consideration should be given to providing participants with poster sized sheets of paper and marking pens for this task.
- Provide each group with a copy of the model assessment process (Handout 1) that the NTQC has approved for inclusion in the assessment guidelines component of Training Packages.
- Ask the groups to compare their diagrams with the model assessment process and consider the following questions:
  - What are the major similarities between the model assessment process and the diagram produced by the group?
  - What are the major differences?
  - Were there any aspects of the model assessment process that surprised the members of the group?
  - Are there any aspects of the model assessment process that should be reviewed?
  - Would the model assessment process be appropriate for your RTO or workplace?
  - How might the model assessment process be improved?
**Handout 1: Model assessment process**

<table>
<thead>
<tr>
<th>Step 1: Establish the assessment context</th>
<th>The assessor:</th>
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<tr>
<td></td>
<td>• establishes the context and purpose of the assessment</td>
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<td></td>
<td>• identifies the relevant competency standards, assessment guidelines and qualification framework in this Training Package</td>
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<td>• identifies any NTQC noted support materials that have been developed to facilitate the assessment process</td>
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<td>• analyses the competency standards and identifies the evidence requirements</td>
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<td>• identifies potential evidence collection methods.</td>
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<tr>
<th>Step 2: Prepare the candidate</th>
<th>The assessor meets with the candidate to:</th>
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<tr>
<td></td>
<td>• explain the context and purpose of the assessment and the assessment process</td>
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<td>• explain the competency standards to be assessed and the evidence to be collected</td>
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<td>• develop an assessment plan.</td>
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<th>Step 3: Plan and prepare the evidence gathering process</th>
<th>The assessor must:</th>
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<tr>
<td></td>
<td>• establish a plan for gathering sufficient quality evidence about the candidate’s performance in order to make the assessment decision (and involve industry representatives in the development of plans for the validation of assessment)</td>
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<td>• source or develop assessment materials to assist in the evidence gathering process</td>
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<td>• organise equipment or resources required to support the evidence gathering process</td>
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<td>• coordinate and brief other personnel involved in the evidence gathering process.</td>
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<td>• incorporate reasonable adjustments to the assessment procedure without compromising the integrity of the competencies.</td>
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<tr>
<th>Step 4: Collect the evidence and make the assessment decision</th>
<th>The assessor must:</th>
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<td></td>
<td>• establish and oversee the evidence gathering process to ensure its validity, reliability, fairness and flexibility</td>
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<td>• collect appropriate evidence and assess this against the elements, performance criteria, range statement and evidence guide in the relevant units of competency</td>
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- evaluate evidence in terms of the four dimensions of competency – task skills, task management skills, contingency management skills and job/role environment skills
- incorporate reasonable adjustments to the assessment procedure without compromising the integrity of the competencies
- evaluate the evidence in terms of validity, consistency, currency, equity, authenticity and sufficiency
- consult and work with other staff, assessment panel members or technical experts involved in the assessment process
- record details of evidence collected
- make a judgement about the candidate’s competence based on the evidence and the relevant unit(s) of competency.

### Step 5: Provide feedback on the assessment

The assessor must provide advice to the candidate about the outcomes of the assessment process. This includes providing the candidate with:
- clear and constructive feedback on the assessment decision
- information on ways of overcoming any identified gaps in competence revealed by the assessment
- the opportunity to discuss the assessment process and outcome
- information on reassessment and the appeals process.

### Step 6: Record and report the result

The assessor must:
- record the assessment outcome according to the policies and procedures of the RTO
- maintain records of the assessment procedure, evidence collected and the outcome according to the policies and procedures of the RTO
- maintain the confidentiality of the assessment outcome
- organise the issuing of qualifications and/or Statements of Attainment according to the policies and procedures of the RTO.

### Step 7: Review the assessment process

On completion of the assessment process, the assessor must:
- review the assessment process
- report on the positive and negative features of the assessment to those responsible for the assessment procedures
- if necessary, suggest to appropriate personnel in the RTO ways of improving the assessment procedures.

### Step 8: Participate in the reassessment and appeals process

The assessor must:
- provide feedback and counsel the candidate, if required, regarding the assessment outcome or process, including guidance on further options
- provide the candidate with information on the reassessment and appeals process
- report any disputed assessment decision to the appropriate personnel in the RTO
- participate in the reassessment or appeal according to the policies and procedures of the RTO.
Facilitator guidelines

Interview 1 is with Suzanne Crellin. In the interview, Suzanne discusses the qualities of good assessment practice.

The following key areas are discussed:
- the purpose of assessment
- the role of the candidate
- reasonable adjustment
- evidence
- underpinning skills and knowledge
- key competencies
- holistic assessment
- assessment tools.

Having viewed the video, the facilitator may conduct a whole group discussion with the participants using the following questions:
- What are the features of good assessment practice?
- Why is it important to identify the purpose of assessment?
- What role does reasonable adjustment play in a quality assessment process?
- How can assessors incorporate the key competencies into the assessment process?
- Why is it important to consider underpinning knowledge in deciding whether the candidate is competent?
- What are the features of an effective assessment tool?
Activity 4.3 – The candidate’s role in the assessment process

Facilitator guidelines

The NTQC has approved a model assessment process for inclusion in the assessment guidelines section of all Training Packages. The purpose of the activity is to encourage participants to reflect on the relative roles of assessors and candidates in the assessment process.

- Explain to participants that the NTQC has approved a model assessment process for inclusion in the assessment guidelines section of all Training Packages.
- Provide each participant with a copy of the model assessment process (Handout 1) and the worksheet titled Role of the candidate in the assessment process (Handout 2).
- Divide the participants into small groups of three or four people.
- Ask the groups to complete the worksheet by noting what they think candidates should do during each step in the assessment process.
- Ask the groups to report back on their discussions.
- Debrief the activity with the whole group by considering the following questions:
  - What role should candidates play in the different steps in the assessment process?
  - Did any members of the group have different opinions about the role of candidates in the assessment process?
  - What factors may influence the level of involvement that candidates have in the assessment process?
  - What things can be done to empower candidates in the assessment process?
  - Would increasing the involvement of candidates in the assessment process have any impact on the role of assessors?
  - What benefits and issues might this present?
### Handout 2: The role of the candidate in the assessment process

<table>
<thead>
<tr>
<th>Step in the assessment process</th>
<th>Candidate role</th>
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<tbody>
<tr>
<td>Establish the assessment context</td>
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<tr>
<td>Prepare the candidate</td>
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<tr>
<td>Plan and prepare the evidence gathering process</td>
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<td>Collect the evidence and make the assessment decision</td>
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<td>Provide feedback on assessment</td>
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<td>Record and report the outcome</td>
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<td>Review the assessment</td>
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<td>Participate in the reassessment and appeals process</td>
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Facilitator guidelines

Interview 2 features Cate Norman, an assessor with McMillan Staff Development. The first segment of the interview is an example of a pre-assessment interview. The second segment of the interview is a discussion with Cate on workplace assessment. View the video and consider the following questions at the conclusion of the first segment of the interview:

- What is the purpose of the pre-assessment interview?
- What did you think were the positive features of the way in which Cate conducted the pre-assessment interview?
- What aspects of the pre-assessment interview would you do differently?
- Was the pre-assessment process a useful process? Why or why not?

View the second segment of the interview and consider the following questions:

- What are the advantages of using a holistic approach to assessment in the workplace?
- What are the potential disadvantages?
- How can assessment methods and tools be customised to suit the needs of the workplace?
- What other actions can be taken to ensure the assessment process reflects the needs of the workplace?
Activity 4.5 – Customising the assessment process

Facilitator guidelines

RTOs should customise the model assessment process provided in the assessment guidelines to ensure that the process meets their needs and the requirements of their clients. In doing this RTOs should take into account the reasons why assessments are conducted, the context or environment in which assessments occur and the structure and scope of operations of the RTO. The purpose of the activity is to encourage participants to consider ways in which the model assessment process may be customised to suit the needs of an RTO.

- Explain to participants that the NTQC has approved a model assessment process for inclusion in the assessment guidelines section of all Training Packages and that this may be customised to suit the specific needs of RTOs and their clients.
- Provide each participant with a copy of the model assessment process (Handout 1) and the worksheet titled Customising the assessment process (Handout 3).
- Divide the participants into pairs or small groups of three or four people. Ideally, the pairs or groups should comprise people who are employed by the same RTO or enterprise.
- Ask the participants to read the model assessment process and think about how it might apply to their organisation. They may consider questions such as:
  - Why do we conduct assessments?
  - What is the assessment context of our organisation?
  - What is the structure and scope of operation of our organisation?
  - How do these things impact on our existing assessment process?
  - What aspects of the model process are the same as what we currently do?
  - What aspects are different?
  - Which aspects of the model process would we need to modify?
  - Are there aspects of the model process that should be incorporated into our existing process?
- Ask each group to complete the first column of the worksheet by noting the ways in which they would change the model process to suit the needs of their organisation and clients. Then complete the second column by noting the reasons for the changes.
- Ask each group to report back on their discussions.
• Debrief the activity with the whole group by considering the following questions:
  ▪ How does the assessment context impact on the assessment process?
  ▪ How does the scope and structure of the RTO impact on the assessment process?
  ▪ How does the purpose of assessment impact on the assessment process?
  ▪ What were the most common aspects of the model process that participants felt needed to be customised?
  ▪ Why were these changes needed?
### Handout 3: Customising the assessment process

<table>
<thead>
<tr>
<th>Step in the assessment process</th>
<th>RTO customisation</th>
<th>Reason for customisation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establish the assessment context</td>
<td></td>
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<tr>
<td>Prepare the candidate</td>
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<tr>
<td>Plan and prepare the evidence gathering process</td>
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<tr>
<td>Collect the evidence and make the assessment decision</td>
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<tr>
<td>Provide feedback on assessment</td>
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<td>Record and report the outcome</td>
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<td>Review the assessment</td>
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<tr>
<td>Participate in the reassessment and appeals process</td>
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</table>
Activity 4.6 – Quality assuring the assessment process

Facilitator guidelines

In order to ensure the validity and consistency of assessment outcomes, RTOs should quality assure their assessment systems. This will strengthen the capacity of RTOs to monitor and identify ways of improving their assessment systems. The adoption of this approach is consistent with the AQTF Standards for RTOs which require all RTOs to have quality assured assessment arrangements.

The purpose of the activity is to encourage participants to assess the various strategies that may be used for quality assuring the assessment process and to think about which combination of strategies may be appropriate for quality assuring the assessment process used in their own organisation. Note relevant materials in the Background information for facilitators are reproduced as resources for facilitators.

- Explain to the participants the reasons for quality assuring the assessment process and the requirements for assessment quality assurance in the AQTF Standards for RTOs.
- Provide each participant with a copy of the chart titled Strategies for the quality assurance of assessment (Handout 4), the worksheet titled Quality assuring the assessment process (Handout 5) and the information sheet titled Descriptions of quality assurance strategies relevant to the assessment process (Handout 6).
- Divide the participants into small groups of three or four people. Ideally, the small groups should comprise people who are employed by the same RTO or enterprise.
- Ask the participants to study the chart titled Strategies for the quality assurance of assessment (Handout 4) and to identify the strategies that are noted as being relevant for quality assuring the assessment process.
- Then using the material in the information sheet titled Descriptions of quality assurance strategies relevant to the assessment process (Handout 6), each group should complete the worksheet titled Quality assuring the assessment process (Handout 5) by indicating how they think each strategy contributes to quality assuring the assessment process.
- Having considered the various strategies, each group should review the assessment process that operates in their RTO or workplace and identify the combination of strategies that might be relevant for their own organisation. In completing this task, the groups should consider the advice in the information sheet titled Thinking strategically about assessment quality assurance strategies (Handout 7).
- Ask each group to report back on their discussions.
• Debrief the activity with the whole group by considering the following questions:
  ▪ Which strategies appeared to be the most popular? Why?
  ▪ Which appeared to be the least popular? Why?
  ▪ Were there any clear combinations of strategies?
  ▪ What factors influenced the selection of particular strategies?
  ▪ Were some of the strategies more relevant at the time of setting up the assessment process?
  ▪ Were others more relevant for the ongoing monitoring of the process?
  ▪ What factors might serve to inhibit/facilitate the implementation of these strategies in your RTO/workplace?
  ▪ Would the implementation of quality assurance measures such as these enhance the assessment process?
Handout 4: Strategies for the quality assurance of assessment

<table>
<thead>
<tr>
<th>Quality assurance strategy</th>
<th>Assessment system</th>
<th>Assessment process</th>
<th>Assessors</th>
<th>Evidence</th>
<th>Assessment judgement</th>
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<tbody>
<tr>
<td>Assessment plan</td>
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<tr>
<td>Assessment policy</td>
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<td>Assessment system procedures</td>
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<td>Assessment tools</td>
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<td>Benchmarking</td>
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<td>Evidence collection guidelines</td>
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<td>♦</td>
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<tr>
<td>Exemplar and benchmark materials</td>
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<td>♦</td>
<td>♦</td>
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<tr>
<td>Guidelines for gathering third party evidence</td>
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<tr>
<td>Information for assessors</td>
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<tr>
<td>Information for candidates</td>
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<tr>
<td>Internal audit</td>
<td>♦</td>
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<td>♦</td>
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<tr>
<td>Mechanisms to support professional judgement</td>
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<td>Partnership assessment arrangements</td>
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<td>Professional development of assessors</td>
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<td>Record keeping</td>
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<td>RTO self-assessment</td>
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<tr>
<td>Selection and training of assessors</td>
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<td>Simulated assessment guidelines</td>
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<td>Team assessments</td>
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<td>Validation strategies</td>
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</tbody>
</table>
### Handout 5: Quality assuring the assessment process

<table>
<thead>
<tr>
<th>Quality assurance strategy</th>
<th>How this strategy contributes to the quality assurance of the assessment process</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment plan</td>
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<tr>
<td>Assessment policy</td>
<td></td>
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<tr>
<td>Assessment system procedures</td>
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<tr>
<td>Assessment tools</td>
<td></td>
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<tr>
<td>Exemplar and benchmark materials</td>
<td></td>
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<tr>
<td>Information for candidates</td>
<td></td>
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<tr>
<td>Internal audit</td>
<td></td>
</tr>
<tr>
<td>Mechanisms to support professional judgement</td>
<td></td>
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<tr>
<td>Record keeping</td>
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<tr>
<td>RTO self-assessment</td>
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<tr>
<td>Team assessments</td>
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<tr>
<td>Validation strategies</td>
<td></td>
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</tbody>
</table>
### Handout 6: Descriptions of quality assurance strategies relevant to the assessment process

| 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 an overview of instructions for the candidate(s).

This plan draws all the components of the assessment together as a comprehensive summary. It is useful to use in conjunction with candidates as a planning tool. It is a tool that assists assessors to organise unit(s) of competency into tasks/jobs that reflect workplace practice. Validation by industry is also recommended. |
| Assessment policy | An assessment policy could be quite brief, outlining the organisation’s commitment to certain principles relating to assessment; for example, that candidates will be fully informed of the assessment process and that they have the right to appeal. |
| Assessment system procedures | 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.

Assessment system procedures and guidelines are a critical link between the assessment policy and the process of assessment. In other words, they turn policy into practice. They dictate how the policy will be implemented.

Some RTOs choose to put the policy and procedures documentation in the one document, while others maintain separate documentation. Assessment system procedures need to be documented and widely circulated to assessors within the RTO. |
| Assessment tools | An assessment tool contains both the *instrument* and the *instructions* for gathering and interpreting evidence.

**Instrument** – 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.

**Instructions** – the information given to candidates and/or assessors regarding conditions under which the assessment should be conducted and recorded. |
| Exemplar and benchmark materials | Benchmark materials or exemplars are sample assessment tools or evidence which assessors agree are good examples. These include proformas and templates, ‘model answers’ for written material, lists of possible responses to verbal questions, product samples and descriptions of competent performance. Developing and using exemplar and benchmark materials is an important strategy for RTOs to ensure that their assessments meet the requirements as stated in *AQTF Standards for RTO*, ‘Standard 8: RTO assessments’. |
| **Information for candidates** | There are two levels of information provided to candidates regarding assessment. Pre-enrolment/assessment information includes overall assessment policy, rights and responsibilities of candidates and assessors, organisational assessment procedures, and policies relating to Recognition processes, grievances and appeals. This information may take the form of a Code of Practice for Assessment and is governed by requirements in Standard 6 of the *AQTF Standards for RTOs*. RTOs should refer to their State or Territory Registering Body for any additional requirements. Information relating to the assessment of specific unit(s) of competency is governed by the requirements in Standard 8 of the *AQTF Standards for RTOs*. |
| **Internal audits** | Under the *AQTF Standards for RTOs* Clause 1.4, RTOs are required to monitor and evaluate their compliance with the Standards and also with their own internal policies and procedures. This monitoring and evaluation process must take place at least once a year and can be done using:  
  - internal audit  
  - self-assessment of equal rigour.  
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 RTOs*. |
| **Mechanisms to support professional judgement** | Professional judgement involves an assessor making a judgement about competence based on:  
  - evidence gathered  
  - interpretation and understanding of the unit of competency  
  - breadth and depth of experience working with the Standards  
  - thorough understanding of current industry practice.  
In the assessment decision an assessor is required to infer competence. This always involves an element of professional judgement. Assessors must use their professional judgement to decide what evidence to collect and what evidence is critical to the assessment decision.  
Assessment is a subjective activity. To minimise errors of judgement it is wise to establish a set of guidelines or strategies to support assessors’ professional judgement. |
Record keeping

Record keeping systems are a critical link between the delivery of training, the assessment process and the outcomes. Clear assessment records are required for the issuance of AQF qualifications and/or Statements of Attainment and for the feedback process. They also provide vital information in an appeal process.

The AQTF Standards for RTOs Standard 4 outlines the requirements for effective administrative and records management procedures. In addition there may be some record keeping requirements set by State or Territory Registering Bodies, particularly in the area of New Apprenticeships. RTOs should contact their State or Territory Registering Body for these.

Apart from assessment records kept at RTO level, individual assessors should maintain additional records to assist candidate feedback and clarify issues that may arise in any appeal process.

<table>
<thead>
<tr>
<th>RTO self-assessment</th>
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</thead>
<tbody>
<tr>
<td>Under the AQTF Standards for RTOs Clause 1.4, RTOs are required to monitor and evaluate their compliance to the Standards and their own internal policies and procedures. This monitoring and evaluation process must take place at least once a year and can be done using:</td>
</tr>
<tr>
<td>• internal audit</td>
</tr>
<tr>
<td>• self-assessment of equal rigour.</td>
</tr>
<tr>
<td>Self-assessment is a disciplined process that identifies strengths and opportunities for improvement of the assessment system.</td>
</tr>
</tbody>
</table>

Team assessment

Team assessment involves two or more people coming together to undertake an assessment and to make an assessment decision. Team assessment is an effective strategy for checking assessments. Information in the form of a Code of Practice for Assessors or clear guidance on the roles and responsibilities of the members is necessary to quality assure the outcomes of team assessments.

The AQTF Standards for RTOs Standards 7.3 (a) and (b) directly relate to such team or panel assessments. Regardless of the number of members in the team, together they must demonstrate the required competencies or their equivalent for assessors and the relevant technical competencies, at least to the level being assessed.

<table>
<thead>
<tr>
<th>Validation strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Validation involves reviewing, comparing and evaluating assessment processes, tools and evidence contributing to judgements made by a range of assessors against the same competency standards. Validation strategies are mandated by the AQTF Standards for RTOs Standard 9.2.</td>
</tr>
</tbody>
</table>
Handout 7: Thinking strategically about assessment quality assurance strategies

It is critical that assessors and RTOs make strategic decisions about which combination of strategies to use to quality assure the assessment process.

The compliance requirements directly mentioned in the AQTF Standards for RTOs should be considered first. Then it is important to think about an RTO’s needs in selecting a particular strategy to suit a specific requirement. The decision made about which strategies to adopt will be dictated by:

**Regulatory requirements**
These include AQTF Standards for RTOs, licencing requirements, State and/or Territory legislative requirements, State and/or Territory Registering Body requirements.

**Business considerations**
These include the organisation’s quality systems, strategic planning processes and issues relating to client satisfaction. RTOs may be committed to compliance with broader quality management requirements (for example, ISO 9001 2000, TQM).

**Resources**
Consider the people, physical resources and the time available. Also consider the cost of establishment, operation and maintenance of the system.

**Context**
Think about the type, size, location and complexity of the RTO and the industries/enterprises involved.

Some strategies require considerable effort and/or resources to implement, and might initially be considered to be relatively expensive (for example, conducting team assessments.) This ‘cost’ must be balanced against the benefits achieved by implementing the strategy. If it is highly effective in terms of increasing confidence or validity, then the cost is warranted. Remember too that while the costs of initiating a strategy may be high (such as a new record keeping system) the ongoing costs will be well covered by the long-term benefits to the organisation. The cost of not pursuing specific strategies may be greater than the cost of implementing them. Ultimately, consideration must be given to the degree of risk involved in getting an assessment judgement wrong.

It is critical to pick the mix of strategies that will ensure compliance with AQTF and State/Territory requirements, give a sense of confidence in the assessment process and provide the best value for money.
5. GATHERING EVIDENCE

Introduction

Deciding what evidence is needed and how it will be collected are critical decisions for assessors. There is a range of evidence types and evidence gathering techniques for the assessor to choose from.

Assessors need to know:

- what evidence is needed to make the assessment decision
- what forms of evidence are most appropriate
- how to determine whether sufficient quality evidence has been collected in order to make the assessment decision.

This section contains guidelines and advice on:

- the nature of evidence
- the different types of evidence
- the characteristics of quality evidence
- the strategic consideration of evidence
- the use of portfolios and simulation in evidence collection.

This section should be used in conjunction with four other guides from the Training Package Assessment Materials Project. These are:

- Guide 1: Training Package assessment materials kit
- Guide 2: Assessing competencies in higher qualifications
- Guide 3: Recognition resource
Background information for facilitators

What is evidence?

The current version of the Training Package for Assessment and Workplace Training defines evidence as ‘…information gathered which, when matched against the performance criteria, provides proof of competence. Evidence can take many forms and be gathered from a number of sources.’

There are different ways of describing and categorising evidence. The most common way of categorising evidence is:

- direct evidence
- indirect evidence
- supplementary evidence.
Direct evidence is evidence that can be observed or witnessed by the assessor. This may include:

- observations by assessors of candidates carrying out work activities
- oral questioning of candidates
- demonstration of specific skills needed to complete the task.

Indirect evidence is evidence of candidate work that can be reviewed or examined by assessors. This may include:

- assessment of technical qualities of finished product
- written test of underpinning knowledge
- review of previous work performed.

Supplementary evidence is additional evidence presented to assessors to support a candidate's claim of competence. This may include:

- testimonials from employers
- reports from colleagues, clients and/or supervisors
- work diaries/journals
- evidence of training
- examples of reports or work documents.

As illustrated in Figure 18, an alternative way of categorising evidence is provided in Guide 2: Assessing competencies in higher qualifications. This guide distinguishes between:

- evidence collected by candidates
- evidence collected by assessors.

Whereas Guide 3: Recognition resource distinguishes between:

- current evidence
- historical evidence
- evidence collected by the assessor during the Recognition process.
Contrary to what many assessors believe, there is no hierarchy of evidence. In other words, direct evidence is not necessarily more valid or reliable than indirect evidence or supplementary evidence. Each form of evidence is useful and relevant to the assessment process.

Some forms of evidence may be used more frequently in different assessment contexts. For example, direct evidence may be used more often when assessing competencies at Certificates I – III, whereas indirect and supplementary evidence may be the main sources of evidence when assessing higher AQF qualifications.

**Figure 18: Summary of possible evidence sources**

<table>
<thead>
<tr>
<th>Source of evidence</th>
<th>Explanation</th>
<th>Examples</th>
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</thead>
<tbody>
<tr>
<td>A1: Practical demonstration</td>
<td>• observation of real work or simulation by assessor or agreed third party</td>
<td>• operating complex equipment&lt;br&gt;• troubleshooting equipment faults&lt;br&gt;• presentation at a meeting&lt;br&gt;• video of inducting new staff</td>
</tr>
<tr>
<td>A2: Third party reports</td>
<td>• confirmation of consistent performance over time and a range of contexts&lt;br&gt;• confirmation of candidate's application and adaptation of complex procedures&lt;br&gt;• ability to meet Key Performance Indicators</td>
<td>• reports from:&lt;br&gt;• supervisor&lt;br&gt;• manager&lt;br&gt;• customer&lt;br&gt;• suppliers&lt;br&gt;• peers</td>
</tr>
<tr>
<td>A3: Questioning/structured interview</td>
<td>• confirmation of understanding&lt;br&gt;• clarification of ethics, values and attitudes&lt;br&gt;• review of portfolio for relevance, authenticity and sufficiency&lt;br&gt;• establish capacity to handle unforeseen situations, predict and evaluate</td>
<td>• application of enterprise procedures, eg OHS&lt;br&gt;• handling of critical incidents&lt;br&gt;• application of business goals in planning and evaluation&lt;br&gt;• reflection on personal and professional practice</td>
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</tbody>
</table>
### B: Evidence collected by the candidate

<table>
<thead>
<tr>
<th>Source of evidence</th>
<th>Explanation</th>
<th>Examples</th>
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</table>
| B1: Personal statement/resume | • personal statement and self-assessment using relevant examples of performance  
• resume that outlines past work experience and qualifications | • self-assessment against performance criteria  
• outline of work experience  
• personal development activities  
• reflections in diary or journal  
• nominated referees |
| B2: Workplace documents | • verified work outputs that are relevant and current | • job cards, rosters, shift records  
• minutes of meetings  
• operational plans and budgets  
• recommendations and reports  
• explanations of procedures, manuals  
• calculations, flow charts, project plans |
| B3: Training records | • training outcomes mapped to competency standards in the relevant Training Package | • workplace assessor award  
• equipment supplier's certificate  
• RTO qualification |
| B4: Case study | • critical analysis of performance that is mapped to competency standards in the relevant Training Package | • design and implementation of new procedures  
• illustration of ethical practice |
| B5: Work project | • completion of a negotiated task to provide evidence of the capacity to analyse, synthesise, predict and evaluate | • marketing strategy for new product or service  
• quality improvement to a process |
| B6: Journal/diary entries | • record of work roles, tasks and responsibilities, contributions to team outputs, reflection on personal performance, learning  
• reflective narrative | • personal organisation and time management  
• operational planning, budgeting  
• analysis of critical incidents and contingency management  
• reflection on personal performance and development |
| B7: Testimonials/awards | • independent confirmation of personal performance | • solicited letters from customers  
• company/industry awards for innovation, excellence, achievement |
Quality 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 that is valid, sufficient, current and authentic. In reviewing evidence, assessors should consider the following questions.

Validity

- Does the evidence relate to the unit of 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 competence over a period of time?
- Does the evidence show competence in different contexts?

Current

- Does the evidence show that the candidate can currently perform the competence while working?
- Is the evidence benchmarked against the current version of the industry competency standards?

Authentic

- Is the evidence the candidate’s own work?
- Are the qualifications, references and licences presented by the candidate authentic documents?
Factors influencing the selection of evidence

The type and amount of evidence that the assessor decides to collect is influenced by a number of things, including:

- nature of the competence being assessed
- characteristics of the candidate
- context of the assessment
- skills and expertise of the assessor
- cost
- resources, facilities and time.

Strategic consideration of evidence

A key factor in the achievement of an efficient assessment process is a strategic approach to the collection, consideration and judgement of evidence.

A strategic approach is one in which key evidence is identified that gives an immediate indication of competence. Other evidence can then be collected to fill gaps or confirm less critical areas.

This strategic approach can help to identify the specific areas that need critical evidence, such as safety and quality. It is the process of identifying the various types of evidence and prioritising the sequence in which they are considered.

Expert assessors focus on critical evidence first, then systematically work through other forms of evidence that may be less important, as an indicator of current competence.

This is critical when considering old qualifications, references or examples of work that were achieved so many years previously that the assessor cannot confidently regard them as indicators of current competence.

In gathering and evaluating evidence, the assessor should adopt a priority order to focus on the most:

- critical aspects of performance and knowledge
- recent evidence which supports candidate claims of competence in these areas.
Ways of gathering evidence

There are four broad approaches to gathering evidence. 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 that include collections of evidence compiled by candidates.

Assessors commonly use some of these approaches, such as real work/real time activities and questioning. Other approaches, such as portfolios and simulation, are either used less frequently or are seen to be more problematic.

For this reason the ensuing section of this guide will focus on the use of portfolios and simulation in competency based assessment.

Portfolios

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.

Advantages of using portfolios

- It gives candidates more direct control over the assessment process.
- It can provide a broader and more in-depth coverage of candidate strengths.
- It offers the opportunity to gather evidence on underpinning skills and knowledge and generic skills.
- It allows for competence to be recognised over a period of time.
- It allows for co-assessing of a number of units.
- It is cost-effective.
Disadvantages of portfolios

- Evidence can be time consuming to collect.
- Candidates may feel overwhelmed and unsure unless there are clear guidelines on why, what and how to collect evidence.
- Unless the evidence is clearly cross-referenced to the performance criteria, it can be time consuming for the assessor to go through the materials in the portfolio.
- If evidence is old, there may be a question of currency of knowledge and skills.
- There may be a need to confirm authenticity of materials included.

Portfolio evidence

Portfolios can include a wide variety of evidence. In many cases evidence may 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, ie 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) of competency. It must also be authentic, ie the candidate’s own work. 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. The following chart (Figure 19) provides a breakdown of the different forms of evidence that might be included in a portfolio.
### Figure 19: Different forms of evidence for inclusion in a portfolio

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

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, reports describing what the candidate has been observed doing in the past and written evidence, supplied by the candidate, describing responses to emergencies, breakdowns or other contingencies.

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.
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. One approach for structuring portfolios is outlined below.

The 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.

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 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 candidates about the evidence and ask them to explain their involvement.
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 decision is the responsibility of the assessor. In evaluating a portfolio the assessor should:

- seek verification of the candidates’ roles from others who have witnessed the events documented
- interpret the currency of the material and the way that candidates apply the skills in the present context
- obtain an explanation of the material to clarify the context and relevance to the unit(s) of competency involved (this may be achieved by interviewing the candidate)
- evaluate the contents 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 areas where there are perceived gaps in the evidence.

See facilitator resources

Activity 5.2 – Portfolio – selecting the evidence

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 circumstances but on creating a situation in which candidates are able to demonstrate:

- technical skills
- underpinning knowledge
- generic skills such as decision making, problem solving, effective communication and 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 crèche 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.

When setting up a simulation, assessors must ensure that the task:

- mirrors workplace activities
- allows candidates to demonstrate competence against the relevant unit(s) of competency
- generates sufficient, quality evidence which the assessor can use to determine whether the candidate has achieved the required standards of performance.

By following these requirements assessors can ensure that:

- candidates undertaking assessments in simulated conditions have equivalent experiences to those undertaking assessments in the workplace
- candidates are able to transfer their competence from the simulated to the real work environment.
Reasons for using simulation

The four key reasons for using simulation are:

1. **Access** – candidates who are already in work may be assessed on the job. However, those who are in employment must also be given the opportunity to achieve nationally recognised qualifications by undertaking assessments in simulated work environments. This also applies to candidates who live in remote areas or work in industries with few employees spread over a wide area, making workplace assessment too expensive.

2. **Confidentiality and privacy** – sometimes assessment activities involve candidates in dealing with matters that are of a private or confidential nature. For example aged care workers, counsellors and social workers all carry out activities within their job roles that cannot be observed by an uninvolved third party for reasons of confidentiality or privacy. Nevertheless candidates have to be trained and assessed in these activities and simulation is used in order to ensure that candidates possess the required skills and knowledge.

3. **Safety** – assessments must be conducted in an environment in which candidates can safely demonstrate skills without endangering themselves or others. There may be occasions when it is not appropriate for assessment to take place as part of normal work activities. For example, pilots often undertake training on particular types of aircraft in flight simulators. These simulations allow the pilots to practise the different manoeuvres in realistic conditions without risk to passengers.

4. **Contingencies** – sometimes assessment activities require candidates to carry out emergency or contingency situations. Simulation is often the only way possible of assessing such skills.

Advantages of simulation

- Simulations can be designed to address a range of contingency situations that may not occur within a specific work environment.
- Simulations offer the opportunity to perform/practise skills not often used.
- Assessment activities can be planned at appropriate times rather than having to wait for the event to occur in real time.
- If a candidate leaves something out in responding to an event, they will be able to see the effects of their actions. This is not always possible in reality.
Disadvantages of simulation

- Simulations, no matter how carefully planned and executed, lack the totality of the complexities and contextual issues that form an integral part of an on-the-job assessment.
- The breadth of knowledge and skills evidenced may be limited compared to what would be expected in the real situation.
- Designing a ‘real’ simulated environment may be time consuming and costly to establish and maintain.

See facilitator resources
Activity 5.3 – Hazardous spill response simulation

See facilitator resources
Activity 5.4 – Video interview 3
Facilitator resources: Gathering evidence

Activity 5.1 – Strategic consideration of evidence

Facilitator guidelines

This activity is designed to encourage participants to reflect on the characteristics of quality evidence and to consider the advantages of adopting a strategic approach to the consideration of evidence.

• Divide the participants into small groups of three or four people. Tell the participants that they are an assessment panel working in the construction industry. Their task is to review the evidence that has been presented by a candidate seeking recognition for the Unit of Competency BCG2003A Carry out general demolition from the General Construction Training Package (Handout 1a). The panel’s task is to:
  ▪ review the evidence against the four criteria for quality evidence, i.e. validity, sufficiency, currency and authenticity
  ▪ establish which pieces of evidence are most critical in terms of the assessment decision.

• Provide each group with the following materials – a copy of the unit of competency, the quality evidence matrix (Handout 1b), the priority evidence diagram (Handout 2) and a set of evidence cards (Handout 3). One person in each group should cut out the evidence cards to produce a set of nine cards. The evidence cards describe the items of evidence that the candidate has submitted.

• Lay the nine cards face down on the table in front of the panel. Taking it in turns each member of the panel should pick up a card, read it out to the other members of the panel and then place it face up on the table. Continue to do this until all cards have been read out.

• The panel should then evaluate each item of evidence described in the cards against the four criteria for quality evidence. In completing this task the panel should complete the evidence matrix. This is done by indicating on the matrix whether each piece of evidence:
  ▪ clearly meets the criteria for quality evidence
  ▪ meets aspects of the criteria for quality evidence
  ▪ does not meet the criteria for quality evidence.
• The panel should then review the evidence cards and the completed quality evidence matrix. The panel should then select the evidence card that it feels provides the least critical piece of evidence for making the assessment decision. This card should be placed in the box at the bottom of the priority evidence diagram – that is, box 9.

• The panel should then select the evidence card that it feels provides the most critical piece of evidence for making the assessment decision. This card should be placed in the box at the top of the priority evidence diagram – that is, box 1. The panel should then rank the remaining cards in order of importance.

• When all the panels are satisfied with their rankings of the nine evidence cards, they should paste them on the diagram and consider the following questions:
  - Which item of evidence was the most/least critical in making the assessment decision?
  - Which items of evidence would be absolutely critical in making the assessment decision? Why?
  - Which items of evidence would have no or little impact on the assessment decisions? Why?
  - Were there any gaps in the evidence requirements for the unit of competency? Give details.
  - Were there any distinguishing features of the evidence that were considered to be critical in making the assessment decisions?
  - Based on this exercise what advice would you give assessors and candidates about selecting evidence?
### Handout 1a: BCG2003A Carry out general demolition

<table>
<thead>
<tr>
<th>Elements</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Plan and prepare work</td>
<td>- OH&amp;S requirements recognised and adhered to in accordance with demolition tasks and workplace environment.</td>
</tr>
<tr>
<td></td>
<td>- Site plan/work plan/sketch accurately interpreted and job requirements identified.</td>
</tr>
<tr>
<td></td>
<td>- Appropriate personal protective equipment selected in accordance with job requirements, correctly fitted and used.</td>
</tr>
<tr>
<td></td>
<td>- Tools, plant and equipment selected consistent with job requirements checked for serviceability and any faults reported to supervisor.</td>
</tr>
<tr>
<td></td>
<td>- Appropriate barricades, hoardings and signage erected where applicable for protection of public and isolation and identification of site.</td>
</tr>
<tr>
<td></td>
<td>- Disconnection of all previously existing services confirmed through supervisor and regulatory authorities.</td>
</tr>
<tr>
<td></td>
<td>- Scaffolding erected to OH&amp;S regulations, where required.</td>
</tr>
<tr>
<td></td>
<td>- Body harness safely used and correctly anchored/secured while working at heights.</td>
</tr>
<tr>
<td>2. Demolish building/structure</td>
<td>- Designated area safely and sequentially demolished under instructions in a team situation.</td>
</tr>
<tr>
<td></td>
<td>- Demolition procedures carried out with safe processes of dismantling/demolishing and removing materials from location.</td>
</tr>
<tr>
<td></td>
<td>- Materials safely handled using appropriate handling techniques in accordance with type of material and OH&amp;S requirements.</td>
</tr>
<tr>
<td></td>
<td>- Safety measures introduced to reduce dangerous situations of fire risk, dust and created hazards.</td>
</tr>
<tr>
<td></td>
<td>- Materials for salvaging identified, safely handled and stacked ready for transport.</td>
</tr>
<tr>
<td>3. Clean up</td>
<td>- Site cleared free from all waste and debris.</td>
</tr>
<tr>
<td></td>
<td>- Equipment and tools cleaned, maintained and stored.</td>
</tr>
</tbody>
</table>
Handout 1b: Strategic consideration of evidence

Quality evidence matrix

<table>
<thead>
<tr>
<th>Criteria for quality evidence</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
<th>9</th>
</tr>
</thead>
<tbody>
<tr>
<td>VALIDITY</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SUFFICIENCY</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CURRENCY</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AUTHENTICITY</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**KEY:**

- ✓ Clearly meets this criterion for quality evidence
- ○ Meets some aspects of this criterion for quality evidence
- X Does not meet this criterion for quality evidence
Handout 2: Strategic consideration of evidence

Priority evidence diagram

1

2 3

4 5 6

7 8

9
Handout 3: Strategic consideration of evidence

Evidence cards – photocopy one set of evidence cards for each group. Cut out each card and distribute a set of cards to each group/assessment panel.

Card 1 – Short course

The candidate has provided a copy of a certificate from a TAFE institute that indicates participation in a short course on safe demolition of residential structures. The course was conducted four years ago.

Card 2 – Employer reference

The candidate has provided a statement from his current employer which says that the candidate has carried out a range of demolition work in team situations. This has involved the demolition of internal partition walls, fences and residential buildings. The employer notes that the work has been performed in accordance with instruction and in a safe manner.

Card 3 – Videotape

The candidate has provided a short videotape of himself demolishing internal partition walls. The video was filmed last week and has been validated by the candidate’s employer. The video shows that the candidate was wearing personal protective equipment (PPE) and using appropriate equipment.
Card 4 – Client testimony

The candidate has provided a letter from a client indicating that he was satisfied with a small building job, the erection of a pergola, which the candidate undertook two years ago.

Card 5 – Work colleague testimony

The candidate has provided a statement from a work colleague. It indicates that the candidate had worked in a team on the demolition of a two-storey commercial building. The statement indicates that the candidate worked effectively in this team situation.

Card 6 – Test results

The candidate has provided results of an online test on demolition practices which was completed at a trade exhibition. The results indicate that nine of the ten questions were correctly answered.

Card 7 – Self-assessment

The candidate has provided a personal statement that assesses his skills and knowledge against each element in the unit of competency. The statement includes reference to specific work examples to support the candidate’s claim of competence.
Card 8 – Demonstration of skills

The candidate has provided a copy of an observation checklist, completed by a TAFE instructor, which indicates that the candidate safely demolished an internal partition wall in a simulated assessment activity. This activity was undertaken four years ago.

Card 9 – OH&S training

The candidate has provided a copy of a certificate from the OH&S Authority which indicates that he participated in two half-day training programs. One program dealt with safe materials handling and the other focused on dust suppression. Both programs were undertaken last year.
Activity 5.2 – Portfolio – selecting the evidence

Facilitator guidelines

This activity asks participants to consider some of the issues associated with using portfolios as a means of gathering quality evidence.

- Conduct a short brainstorming activity with the group to list all of the different forms of evidence that might be included in a portfolio.
- Provide the group with a copy of Handout 4 and compare the list that the group compiled with the items that appear in the chart.
- Divide the participants into small groups of two or three people.
- Provide each group with a copy of a unit of competency from a Training Package. Ensure that the different groups have different units drawn from a variety of Training Packages and AQF qualifications.
- Ask the group to identify the four forms of evidence most appropriate for a portfolio related to this unit, listing two reasons for each form of evidence selected.
- Debrief the activity using the following group discussion questions:
  - Which items were most regularly included in the lists of portfolio evidence? Why?
  - Which items were included least regularly? Why?
  - Was there any relationship between the items included in the portfolio and the industry sector covered by the Training Package?
  - Was there any relationship between the items included in the portfolio and the AQF qualification?
### Handout 4: Portfolio – selecting the evidence

<table>
<thead>
<tr>
<th>Form of evidence</th>
<th>Included in portfolio (✓ if included)</th>
<th>Reasons for inclusion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self-assessment schedule</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Official transcripts, qualifications, Statements of Attainment, certificates</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assessment feedback or completed checklists</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Written statements or references</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Job descriptions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Work journals</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Work samples, for example reports, letters, designs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Finished products, for example tools completed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Product descriptions or specifications</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Statutory declarations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other (give details)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Activity 5.3 – Hazardous spill response simulation

Facilitator guidelines

The following exercise is designed to give participants the opportunity to evaluate 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 from the Automotive Industry Manufacturing Training Package.

- Distribute the simulation outline (Handout 5), the checklist and the extract from the unit of competency to the participants (Handout 6 and 7).
- Divide the participants into small groups of two or three people and ask them to read the material and consider the following questions:
  - Is the simulation documented in a form that is easy for assessors to understand and implement?
  - Would the simulation provide sufficient quality evidence for use in assessing the unit of competency? Does the checklist provide an effective way of recording the evidence?
  - How might the simulation be improved?
- Ask each group to select a unit of competency and prepare a simple simulation similar to the hazardous spill response simulation. In documenting the simulation, the group should:
  - identify the unit of competency on which the simulation is based
  - describe the scenario
  - write instructions for the assessor
  - identify the required resources
  - set out the procedure for the simulation
  - prepare a checklist for recording evidence of candidate performance.
Handout 5: Hazardous spill response 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 personal 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 a designated area 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 protective equipment (face shield, rubber boots, gloves, apron).

Procedure to follow:
• Explain the purpose of the simulation and remind candidates of the assessment criteria.
• Outline the scenario to the candidates.
• Instruct the ‘clean up crew’ to put on the appropriate personal protective equipment.
• When ready, spill the ‘detergent’ by tipping the drum on its side and removing the small screw-on lid.
• Start with the first two steps of the procedure: ‘What to do ...’ and ‘Initial action ...’
• Use the checklist for ‘Correct procedure’.
• When the simulation has finished, restore the area and resources, ready for the next simulation.
Handout 6: Hazardous spill response simulation

Checklist – Hazardous spill response

<table>
<thead>
<tr>
<th>Candidate name</th>
<th>Assessor name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Element(s)/unit(s) of competency</th>
<th>Name of workplace</th>
<th>Date of assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>AUM9001A Monitor and maintain workplace environment</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>During the demonstration of skills, did the candidate:</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>• determined source and stop the flow of the liquid?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• contain the spill?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• check safety precautions on the relevant material safety data sheet?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• wear appropriate personal protective equipment?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• cover the spill with absorbent and allow time to soak?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• place contaminated absorbent in a drum or plastic bag?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• mop area and tip liquid into the drum or bag with contaminated absorbent?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• dispose of waste via the established procedure?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• complete an Environmental Incident Investigation Report?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• work effectively in a team situation?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• demonstrate appropriate communication skills?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• carry out the required tasks in the correct sequence?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The candidate’s performance was: Not satisfactory □ Satisfactory □

Feedback to candidate:
---------------------------------------------------------------------
---------------------------------------------------------------------
---------------------------------------------------------------------

Candidate’s signature: ____________________________
Assessor’s signature: ____________________________
### AUM9001A Monitor and maintain workplace environment

#### Elements

<table>
<thead>
<tr>
<th>Elements</th>
<th>Performance criteria</th>
</tr>
</thead>
</table>
| Recognise and follow OH&S and environmental regulations, policies and procedures, signs and codes as they apply to work area | • OH&S and environmental regulations, policies and procedures, signs and codes as they apply to work area are recognised and correctly interpreted.  
• OH&S and environmental regulations, policies and procedures, signs and codes as they apply to work area are followed.  
• The roles and responsibilities of key personnel within the area connected with health, safety, security and the environment are identified.  
• Employer and employee rights and responsibilities in relation to health, safety and the environment are identified.  
• Housekeeping is undertaken in accordance with enterprise procedures and OH&S guidelines. |
| Use appropriate personal protective equipment                             | • Personal protective equipment appropriate for the area of operation is identified.  
• Personal protective equipment is maintained and stored in accordance with enterprise policy and supplier instructions.  
• Personal protective equipment is used when and where required. |
| Follow appropriate manual handling techniques                             | • Manual handling techniques and equipment appropriate for the area of work are identified.  
• Appropriate manual handling techniques and equipment are used in the workplace in accordance with enterprise procedures and legislative guidelines. |
| Take appropriate action to deal with hazards and potential hazards in the workplace | • Material related to the work area which is hazardous and/or potentially hazardous to the health and safety of individuals, the workplace and the environment is identified.  
• Correct procedures and precautions necessary in the use, storage and labelling of hazardous material related to the work area are followed in accordance with enterprise procedures, and OH&S and environmental legislation.  
• Non-conformances in the use, storage and labelling of hazardous material are identified and reported to the appropriate personnel in accordance with enterprise procedures. |
| Complete incident/accident investigation reports as/when required         | • Enterprise incident/accident reporting procedures are identified.  
• Incident/accident investigation reports are completed correctly as/when required in accordance with enterprise procedures. |
| Follow emergency procedures                                              | • Appropriate personnel to notify in the event of an emergency, accident or hazardous situation, and means of contacting the appropriate personnel are identified.  
• Evacuation and emergency response procedures are identified and applied.  
• Emergency equipment and its appropriate use is identified. |
| Recognise and act on factors which lead to an unhealthy lifestyle         | • Factors within the workplace, including incorrect ergonomic practices and occupational stress that lead to an unhealthy lifestyle are recognised and acted upon.  
• Internal and external resources/agencies to assist employees deal with factors which lead to an unhealthy lifestyle are identified. |
Facilitator guidelines

Interview 3 is with Greg Murphy, from the NSW State Emergency Service (SES). In the interview, which includes footage of simulated assessments, Greg talks about the following key areas:

- training and assessment activities in the NSW SES
- why simulation is an appropriate assessment method
- integration of technical and generic skills in simulated assessment
- strengths of simulated assessment
- support for assessors and candidates.

Play the interview and ask the participants to consider the following questions:

- What are the advantages of using simulation?
- What are the disadvantages?
- The SES uses simulation to assess both technical and generic skills. How is this achieved?
- Are there any limitations in this use of simulation? What are these? How might these be addressed?
- Simulations of this nature put pressure on assessors as they are assessing a number of people performing a range of tasks simultaneously. What strategies has the SES put in place to support assessors?
- How is consistency in assessment outcomes maintained in the simulation activities?
- Is simulation an appropriate evidence gathering technique for your workplace/RTO? Why? Why not?
6. REASONABLE ADJUSTMENT

Introduction

There is a range of legislation and policies which promote access and equity within the national VET system. Some of these include:

- National Aboriginal and Torres Straits Islander Strategy for Vocational Education and Training 1999 – 2003
- Partners in a Learning Culture from 2000 – 2005
- Bridging Pathways from 2000 - 2005

(Refer to ANTA web site www.anta.gov.au for more information)

In keeping with these policies, assessors need to ensure that candidates are not disadvantaged in the assessment process due to cultural or language background, age, gender, religion or disability.

Assessors also need to be aware of the ways in which candidates can be disadvantaged in the assessment process and what steps can be taken to ensure that assessment policies and practices take account of individual needs.

This may involve adjusting the assessment process by varying the procedures for conducting assessments or for gathering evidence.

Reasonable adjustment involves varying the assessment process to take into account the special characteristics of the candidate while ensuring the validity and reliability of assessment decisions.
This section contains information and advice on:

- the definition of reasonable adjustment
- the provision of advice on reasonable adjustment in Training Packages
- adjusting the assessment process to meet the special needs of candidates
- determining whether adjustments need to be made to the assessment process.

This section should be used in conjunction with three other guides from the *Training Package Assessment Materials Project*. These are:

- Guide 1: Training Package assessment materials kit
- Guide 2: Assessing competencies in higher qualifications
- Guide 3: Recognition resource.
**Background information for facilitators**

**Training Packages and reasonable adjustment**

**Defining reasonable adjustment**

Reasonable adjustment, sometimes called reasonable accommodation or allowable adjustment, is designed to ensure that all people are treated equally in the assessment process. This means that, wherever possible, 'reasonable' adjustments are made to the assessment process to meet the individual needs of candidates.

Reasonable adjustments should be based upon the individual candidate's needs and abilities. This may involve providing interpreters for candidates from non-English speaking backgrounds, installing ramps for wheelchairs and adjustable desks for people with physical disabilities, or offering online assessment for candidates in remote locations. Other adjustments may include personal assistants, additional tutorial assistance, additional time for assessments, technology such as speech synthesisers or computer software, or assistance with managing stress and anxiety.

Adjustments are considered 'reasonable' if they do not impose an unjustifiable hardship upon the RTO or employer. In determining whether an adjustment would impose unjustifiable hardship, the following factors should be taken into account:

- the nature of the benefit or detriment likely to be experienced by the person concerned
- the effect of the disability or disadvantage on the person concerned
- the financial circumstances and the estimated amount of expenditure required to be made by the organisation claiming unjustifiable hardship.

As a result, the expectations on small RTOs might be quite different to those on larger organisations.
Advice on reasonable adjustment in Training Packages

The assessment guidelines section of all Training Packages should include the following statement on reasonable adjustment. It outlines the approach that assessors should take to making reasonable adjustments in the assessment process when dealing with people with disabilities. While this statement focuses on people with disabilities, it is equally applicable to other groups who may be disadvantaged in the assessment process.

‘Reasonable adjustments are to be made to ensure equity in assessment for people with disabilities. This means that wherever possible, 'reasonable' adjustments are to be made to meet the individual needs of a person with a disability.

Adjustments are considered 'reasonable' if they do not impose an unjustifiable hardship on a training provider or employer. When assessing people with disabilities, assessors are encouraged to apply good practice assessment methods with sensitivity and flexibility. The following guidelines will support good assessment for all learners, including those with a disability.

Identify the issues – building a rapport with the learner will help you to identify any particular needs they may have and help you to meet those needs.

Create a climate of support – successful assessment will not be possible in a climate of hostility or ignorance. As an assessor it is your role to create and foster a climate of tolerance, acceptance and support.

Ensure access – for people with disabilities access can sometimes pose a problem and it is the trainer, assessor and employer who can provide assistance to ensure access is achieved. Access needs are based on the individual’s needs and abilities and can include the provision of:

- ramps, height adjustable desks
- enlarged material, braille translations
- technology such as audio tapes and speech synthesisers
- an AUSLAN interpreter, a scribe to take dictated responses to questions.

Appropriately structure assessment – it must be stressed that it is the structure of the assessment that is being altered, not the outcomes. Appropriate changes might include breaking the assessment into smaller, more manageable segments.
and allowing more time to complete an assessment task. It may mean altering the assessment task; for example not including multiple choice assessments for people with certain learning difficulties.

**Use other expertise** – provided permission from the learner has been received, assessors should use existing expertise in the relevant field.

Assessors should consider this advice when assessing groups for whom adjustments may need to be made, including:

- Indigenous candidates
- non-English speaking background candidates
- candidates with low literacy or numeracy
- older candidates
- women
- candidates from rural/remote areas
- candidates with a disability
- candidates with low levels of education
- recent returnees to the workforce.

**Adjusting the assessment process**

Reasonable adjustment to the assessment process normally involves varying:

- the procedures for conducting the assessment – for example allowing additional time to complete work tasks, extending deadlines for assignments, or varying the venue, date or times for a demonstration of skills
- the evidence gathering techniques – for example using assignments instead of an examination, using oral rather than written questioning, using short answers instead of multiple choice questions, and varying question and response modalities (such as using audiotaped or videotaped answers instead of written answers).

**Examples of alternate assessment methods**

The following is a list of evidence gathering techniques that may be used to ensure that the assessment process addresses the special needs of candidates.
Kit to support assessor training

Use of specific personnel
- sign interpreter
- reader
- scribe
- personal assistant.

Computers/specific software/electronic aids
- personal computers
- word processors
- voice synthesisers
- closed circuit televisions
- software
  - spelling checkers
  - grammar checkers
  - thesauruses
  - print enlarging software
  - voice activated software.

Adjustments relating to time
- additional time
- breaks
- flexible time arrangements
  - changes to scheduled assessment times within a given day
  - changes to scheduled testing/assessment dates and times within the assessment period
  - assessments split into more than one session.

Assessment materials in accessible formats
- computer disk
- materials in braille (an embossed language used by some people who are blind)
- use of audiotape
- use of videotape.
Venue related changes

- separate room/venue
- provision of appropriate furniture – desk/chair heights and slopes
- adequate space for equipment and specific personnel.

Alternative forms of evidence gathering

- use of simulations, role plays, case studies
- selecting another method of assessment (eg essays, short answer questions, multiple-choice tests, direct observation, oral questions, and structured practical assessment)
- additional assignments instead of examinations/tests.

Oral assessments

- oral questions
- oral answers.

See facilitator resources

Activity 6.1 – Identifying the approach taken to reasonable adjustment in Training Packages

Determining the need to make adjustments

Spending time with the candidate prior to conducting the assessment provides the assessor with the opportunity to determine whether the candidate has special needs that may impact on the assessment process. In some cases, such needs may be apparent and the assessor can discuss how to adjust the process with the candidate or their support person. In other cases it may not be obvious. If a candidate has trouble reading printed text, for example, or has problems with hearing, they may be too embarrassed to raise the issue. Spending time with the candidate will enable the assessor to observe the candidate and speak with other relevant personnel, such as the candidate’s workplace supervisor, to see if there are any issues of which the assessor should be aware.
In determining whether adjustments need to be made to the assessment process, the assessor may consider questions such as:

- What documentation is the candidate required to complete as part of the job? Can the candidate do this independently or is assistance required?
- To whom is the candidate required to report? How is this done? Can the candidate do this independently?
- Are there meetings which the candidate is expected to attend? Does the candidate actively participate? If not, is this due to language or cultural barriers?
- Has the candidate been offered training opportunities? Has the candidate volunteered to participate? If not, is this due to timing, lack of confidence, language or literacy issues?
- What is the candidate’s background? Are there issues that may need to be explored?
- Does the candidate suffer from a disability? If so, what are the implications for the assessment?

Any adjustment is made to the assessment process must be consistent with the assessment guidelines in the relevant Training Package. Assessors should focus on what is required for candidates to demonstrate competence while being sensitive to any factors that may impact on the candidate’s performance in the assessment process. Ultimately assessors need to use their judgement in determining whether it is appropriate to make adjustments to the assessment process. They will also need to determine whether the required adjustment is so significant that the candidate is not able to meet the requirements of the competency standards.

**See facilitator resources**

Activity 6.2 – Determining the need to make adjustments
Activity 6.3 – Assessing a candidate with a physical disability (case study)
Activity 6.4 – Assessing NESB candidates (case study)
Activity 6.5 – Working with Indigenous candidates (case study)
Activity 6.6 – Video interview 4
Strategies for making reasonable adjustments

Figure 20 describes a number of ways in which the assessment process may be adjusted to meet the special needs of different groups of candidates. Assessors need to determine which strategies are appropriate given the characteristics of the candidates, the purpose of the assessment and the assessment context. It needs to be remembered that the categories are not discrete and that individuals cannot be neatly packaged and labelled. For example, an assessor may be working with an older candidate from a non-English speaking background who has a hearing impairment. It is important that assessors treat each candidate as an individual. Assessors should not assume that all candidates with particular needs have to be treated in exactly the same way.

The following case study illustrates how one assessor was able to adjust the assessment process to meet the needs of a candidate. In this case, the candidate who was undertaking the Certificate II in Business (Administration), had an intellectual disability and experienced some difficulties with time management, organisational skills, note taking and assignment writing.

Case study

A student with an intellectual disability undertaking the Certificate II in Business (Administration) experienced some difficulties with time management, organisational skills, note taking and assignment writing.

The Program Manager initiated a meeting with the student, her advocate and the RTO’s Disability Liaison Officer to collectively organise a number of assistive strategies.

Here’s what they did.

- They assisted the student to reorganise and colour code the materials in her study folder, presenting each unit of competency in a different colour and separating materials into sections.

- At the beginning of the training program the student was to be given a copy of the units of competency from the relevant Training Package. She was then responsible for making an appointment with the assessor to discuss how the unit might be assessed.

- The process of assessment was adjusted so that individual work activities were assessed on a progressive basis rather than simultaneously.

- Methods used included questioning instead of written assessments and direct observation of the student’s practices in the work environment.

- The assessor offered ongoing guidance and support and developed strategies which assisted the student to gain confidence and maintain motivation.
### Figure 20: Possible strategies for adjusting the assessment process

<table>
<thead>
<tr>
<th>Category</th>
<th>Possible issue</th>
<th>Strategy</th>
</tr>
</thead>
</table>
| Non-English Speaking Background (NESB) | • Speaking  
• Reading  
• Writing  
• Cultural background  
• Confidence | • Discuss with the candidate and supervisor whether language, literacy and numeracy are likely to impact on the assessment process  
• Use methods that do not require a higher level of language or literacy than is required to perform the job role  
• Use support person  
• Use short sentences that do not contain large amounts of information  
• Clarify information by rephrasing  
• Confirm understanding, for example ask the candidate to rephrase questions  
• Read any printed information to the candidate  
• Use graphics, pictures and colour coding instead of, or to support, text  
• Offer to write down, or have someone else write, oral responses given by the candidate  
• Consult with experts to make sure that methods and materials are culturally sensitive, for example gender issues  
• Ensure that the time available to complete the assessment, while meeting enterprise requirements, takes account of the candidate’s needs |
| Indigenous                     | • Cultural background  
• Speaking  
• Reading  
• Writing  
• Numeracy  
• Confidence | • Allow enough time to learn about the community and how this may impact on the assessment process, for example whether the age and gender of the assessor is an issue  
• Check that assessment strategies are inclusive and culturally sensitive, for example it may be more appropriate to demonstrate knowledge rather than talk about one’s knowledge  
• Identify any events and obligations that may affect the timing of the assessment, for example funerals  
• Use methods that do not require a higher level of language or literacy than is required to perform the job role  
• Encourage participants to use alternative ways of demonstrating competence, for example drawing instead of writing, using a video to record demonstration of skills  
• Use support person or other support strategies  
• Use short sentences that do not contain large amounts of information  
• Clarify information by rephrasing  
• Confirm understanding, for example ask the candidate to rephrase questions |
<table>
<thead>
<tr>
<th>Category</th>
<th>Possible issue</th>
<th>Strategy</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>- Read any printed information to the candidate</td>
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<td></td>
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<td>- Use graphics, pictures and colour coding instead of, or to support, text</td>
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<td>- Offer to write down, or have some one else write, oral responses given by the candidate</td>
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<td>- Ensure that the time available to complete the assessment, while meeting enterprise requirements, takes account of the candidate’s needs</td>
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<tr>
<td>Age</td>
<td>Educational background</td>
<td>- Read any printed information to the candidate</td>
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<td></td>
<td>Age of the assessor</td>
<td>- Make sure font size is not too small</td>
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<tr>
<td></td>
<td>Limited study skills and/or learning strategies</td>
<td>- Assessor should acknowledge age differential, for example referring to the candidate’s greater experience</td>
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<td>- Ensure that the time available to complete the assessment, while meeting enterprise requirements, takes account of the candidate’s needs</td>
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<td>- Have a number of shorter assessments rather than trying to cram too much into one session</td>
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<tr>
<td>Gender</td>
<td>Gender of the assessor</td>
<td>- Use an assessor of the appropriate gender</td>
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<td></td>
<td>Timing of the assessments</td>
<td>- Use appropriate assessment strategies, for example are there issues if a project requires men and women to work together?</td>
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<td>- Check whether there are child care issues that impact on the timing of assessments</td>
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<tr>
<td>Educational background</td>
<td>Reading</td>
<td>- Discuss with the candidate and supervisor whether language, literacy and numeracy are likely to impact on the assessment process</td>
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<td></td>
<td>Writing</td>
<td>- Use methods that do not require a higher level of language or literacy than is required to perform the job role</td>
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<tr>
<td></td>
<td>Numeracy</td>
<td>- Read any printed information to the candidate</td>
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<td></td>
<td>Limited study skills and/or learning strategies</td>
<td>- Make sure font size is not too small</td>
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<tr>
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<td>Strategy</td>
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</tr>
<tr>
<td>Disability</td>
<td>• Speaking&lt;br&gt;• Reading&lt;br&gt;• Writing&lt;br&gt;• Numeracy&lt;br&gt;• Limited study skills and/or learning strategies</td>
<td>• Discuss with the candidate and supervisor whether the disability is likely to impact on the assessment process&lt;br&gt;• Use methods that do not require a higher level of language or literacy than is required to perform the job role, for example pointing to something may meet enterprise requirements rather than talking about it&lt;br&gt;• Use support person and other support strategies as required&lt;br&gt;• Use short sentences that do not contain large amounts of information&lt;br&gt;• Clarify information by rephrasing&lt;br&gt;• Confirm understanding, for example ask the candidate to rephrase questions&lt;br&gt;• Read any printed information to the candidate&lt;br&gt;• Use graphics, pictures and colour coding instead of, or to support, text&lt;br&gt;• Offer to write down, or have some one else write, oral responses given by the candidate&lt;br&gt;• Ensure that the time available to complete the assessment, while meeting enterprise requirements, takes account of the candidate’s needs&lt;br&gt;• Have a number of shorter assessments rather than trying to cram too much into one session</td>
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Facilitator resources: Reasonable adjustment

Activity 6.1 - Identifying the approach taken to reasonable adjustment in Training Packages

Facilitator guidelines

This activity is designed to encourage participants to reflect on the advice on reasonable adjustment provided in the assessment guidelines section of Training Packages.

Provide participants with a copy of Handout 1. This outlines the approach which is provided in the assessment guidelines section of Training Packages on reasonable adjustment.

Read through the material and ask participants to consider the following questions:

- What is ‘reasonable adjustment’?
- When is an adjustment to the assessment process considered to be reasonable?
- What are some examples of reasonable adjustments that might be made when assessing in a specific industry or enterprise?
- Study the five step process for conducting assessments that is outlined in the statement:
  - What are your views on this approach to assessment?
  - Is this approach only applicable to assessing candidates with disabilities or does it have wider application?
  - How relevant is this approach to your context?
  - Would you need to vary your current approach to assessment to comply with this approach? If so, what changes would you need to make?
- Is specific advice on reasonable adjustment included in the assessment guidelines section of the Training Package for your industry?
Handout 1: Advice on reasonable adjustment in Training Packages

The assessment guidelines section of all Training Packages should contain the following statement which outlines the approach that assessors should take to making reasonable adjustments in the assessment process when dealing with people with disabilities.

‘Reasonable adjustments are to be made to ensure equity in assessment for people with disabilities. This means that wherever possible, 'reasonable' adjustments are to be made to meet the individual needs of a person with a disability.

Adjustments are considered 'reasonable' if they do not impose an unjustifiable hardship on a training provider or employer. When assessing people with disabilities, assessors are encouraged to apply good practice assessment methods with sensitivity and flexibility. The following guidelines will support good assessment for all learners, including those with a disability.

Identify the issues – building a rapport with the learner will help you to identify any particular needs they may have and help you to meet those needs.

Create a climate of support – successful assessment will not be possible in a climate of hostility or ignorance. As an assessor it is your role to create and foster a climate of tolerance, acceptance and support.

Ensure access – for people with disabilities access can sometimes pose a problem and it is the trainer, assessor and employer who can provide assistance to ensure access is achieved. Access needs are based on the individual's needs and abilities and can include the provision of:

- ramps, height adjustable desks
- enlarged material, braille translations
- technology such as audio tapes and speech synthesisers
- an AUSLAN interpreter, a scribe to take dictated responses to questions.
Appropriately structure assessment – it must be stressed that it is the structure of the assessment that is being altered, not the outcomes. Appropriate changes might include breaking the assessment into smaller, more manageable segments and allowing more time to complete an assessment task. It may mean altering the assessment task; for example not including multiple choice assessments for people with certain learning difficulties.

Use other expertise – provided permission from the learner has been received, assessors should use existing expertise in the relevant field.
Activity 6.2 – Determining the need to make adjustments

Facilitator guidelines

This activity aims to encourage participants to think about the candidates for whom reasonable adjustments may need to be considered.

- Conduct a brainstorm with the whole group to identify groups of people for whom adjustments may need to be made in the assessment process.
- Write this up as a list.
- Provide participants with a copy of Handout 2 and ask them to compare this list with the list constructed by the group.
- Discuss any differences.
- Divide the participants into small groups of two or three people.
- Ask each group to select one group of people for whom adjustments may need to be made in the assessment process. The small groups should then:
  - list any issues that might arise when gathering evidence with members of this group
  - list any issues that might arise when making the assessment decision and providing feedback to members of this group
- identify possible strategies for dealing with these issues. The strategies should address five key areas:
  - the candidate
  - the assessor
  - assessment planning
  - assessment materials
  - assessment context.
Handout 2: Groups for whom adjustments may need to be made

These groups include:

- Indigenous candidates
- non-English speaking background candidates
- candidates with low literacy or numeracy
- older candidates
- women
- candidates from rural/remote areas
- candidates with a disability
- candidates with low levels of education
- recent returnees to the workforce.
Activity 6.3 – Assessing a candidate with a physical disability (case study)

Facilitator guidelines

This case study focuses on an assessor working with a candidate with a physical disability. The activity is designed to assist assessors to identify whether adjustments are needed to the assessment process, which adjustments are appropriate and how the candidate, assessor and workplace supervisor might contribute to the establishment of assessment processes that reflect the needs of the candidate.

- Photocopy and distribute the case study (Handout 3).
- Remind the participants about the five step process for designing assessment processes that reflect the special needs of the candidate (Handout 1).
- Read through the case study with the group.
- Divide the participants into small groups of two or three people, ask each group to complete the worksheet by indicating how the participant, the candidate and the workplace supervisor might contribute to each of the five stages in the assessment process. Point out that the participant, the candidate and the workplace supervisor may have more or less prominent roles at different stages in the process.
- Debrief the activity by discussing the following questions with the group:
  - What roles might the candidate, assessor and workplace supervisor play in the assessment process?
  - How might each group contribute to ensuring that the assessment process reflects the needs of the candidate?
  - Is it realistic to assume that the candidate, assessor and workplace supervisor could contribute to the assessment process in this way?
Handout 3: Assessing a candidate with a physical disability (case study)

Case Study

You are an assessor with an RTO involved in conducting workplace assessments against the Certificate III in Business (Administration). One of the candidates you will be working with is a new trainee. You are going to meet him for the first time to discuss how the assessment process will work, give him his induction kit and arrange times for future visits. Prior to meeting the candidate, you check his file for background information and ring his employer to see how he is progressing. During this stage you find out that the trainee has a disability – he is blind.

How can the key stakeholders contribute to the assessment process?

<table>
<thead>
<tr>
<th>Five steps in the assessment process</th>
<th>Assessor</th>
<th>Candidate</th>
<th>Workplace supervisor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify the issues</td>
<td></td>
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<tr>
<td>Create a climate of support</td>
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<td>Ensure access</td>
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<td>Appropriately structure assessment</td>
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<tr>
<td>Use other expertise</td>
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</table>
Facilitator guidelines

This case study depicts a number of strategies used by an assessor to adjust the assessment process to meet the needs of candidates from non-English speaking backgrounds. In this exercise participants are asked to review the approach described in the case study and to consider its application in their workplace.

- Photocopy the case study (Handout 4) and provide a copy to all participants.
- Read through the case study and as a group consider the following questions:
  - What strategies does the assessor use to ensure that the assessment process addresses the special needs of candidates?
  - Which strategies used by the assessor should be used irrespective of the candidate?
  - Which are particularly relevant for candidates from non-English speaking backgrounds?
  - Which of the strategies would you use? Why?
  - Which of the strategies would you not use? Why?
  - Would this approach work in your workplace? Why or why not?
Handout 4: Working with candidates from non-English speaking backgrounds
(case study)

Case Study

Mary is an assessor working in a private RTO. Many of the candidates she works with come from non-English speaking backgrounds (NESB).

Having worked in the area for some time, Mary is aware of the need to be flexible when gathering evidence to ensure that NESB candidates are not disadvantaged in the assessment process. She often videos candidates at work as a form of evidence gathering because it enables candidates to demonstrate their skills and speak about them later.

Van Long comes from Vietnam and has been in Australia for nine years. His English comprehension and spoken fluency is sufficient to enable him to fulfil his work requirements. Mary realises that she must consider Van's level of English comprehension when assessing him against the Certificate II in Automotive (Retail, Service and Repair).

Prior to commencing the assessment, Mary meets Van to discuss the details of the assessment process. She gives Van some printed materials to read and arranges a second meeting with him to clarify any issues and establish an assessment plan. Mary realises that she will need to adjust her use of language if Van is to comprehend the information discussed.

Mary believes that it is important to build a relationship with candidates and to understand the context in which they work. So she arranges to visit Van at work and have him explain his job to her.

After visiting Van’s workplace, she selects the evidence gathering tools she will use. She decides to video Van performing a task. She will then view the video with him and ask him questions about his work.

Mary and Van view the video together and she asks a series of questions about his work, focusing on matters to do with safety, the use of key processes and what he would do if something went wrong. Van has some problems explaining a key process to Mary, due to his problems with English, so she rephrases her question and asks Van to use a series of sketches to explain the process.

Mary thinks that video is a useful evidence gathering tool. In commenting on the assessment process she noted that ‘... after viewing the video candidates should have the opportunity to comment on their own performance and to identify what they think they did well and what they think they would do differently in the future. This approach assists candidates to assess their own competence. It also enables the assessor to show candidates how to improve aspects of work. It is a great way of providing positive feedback.’
Activity 6.5 – Working with Indigenous candidates (case study)

Facilitator guidelines

The following case study provides an example of how assessment methods may be adjusted to meet the special needs and circumstances of candidates.

The purpose of this activity is to examine the extent to which the assessor can adjust the assessment process to meet specific contextual and individual needs while maintaining the validity of the assessment outcome.

- Provide participants with the extract from the Unit of Competency PUAOPEO3A Navigate in urban and rural environments from the Public Safety Training Package (Handout 5a) and the case study (Handout 5b).
- Read through the case study and the extract from the unit of competency and consider the following questions:
  - What evidence would you require if you were assessing this unit of competency?
  - What adjustments did the assessor make to meet the needs of the candidates?
  - Would this assessment process enable the assessor to collect adequate evidence of competence?
  - Were the adjustments reasonable?
  - How do you determine whether adjustments to the assessment process are reasonable?
Handout 5a: Working with Indigenous candidates (case study)

**PUA0PE003A Navigate in urban and rural environments (selected excerpts)**

This unit covers competency required to navigate in urban and rural environments and inland waterways.

<table>
<thead>
<tr>
<th>Elements</th>
<th>Performance criteria</th>
</tr>
</thead>
</table>
| Determine current location, destination and resource | • Incident and/or task location/requirements are obtained  
• Relevant maps and navigation equipment are gathered and checked  
• Cartographic information and navigation techniques are applied to plot positions on a map, and determine current location and destination within accepted tolerances |
| Determine and plan a safe route | • Navigation records are prepared according to organisation's practices  
• Cartographic information, navigation techniques, local and environmental conditions are interpreted to determine and plan a safe and timely route  
• Potential access restrictions which may limit thoroughfare are identified and arrangements made to gain access in accordance with organisation's policies and practices and regulatory requirements |
| Navigate to destination | • Record of proposed route and navigation aids are used to maintain compliance with planned route  
• Driver is directed to follow indicated route as required  
• Current location is regularly verified within accepted tolerances  
• Route is modified to address prevailing conditions and, if required, alternate strategies are initiated  
• Lost en-route procedures are implemented if required  
• Unanticipated access difficulties are reported in accordance with organisation's policies and procedures  
• En-route and arrival reporting information is communicated in accordance with organisation's policies and procedures |
| Complete post navigational activities | • Navigation or nominated reports are completed in accordance with organisation's policies and procedures  
• Navigational equipment is recovered, reset, updated and serviced according to operational standards and manufacturer's specifications. |
Case Study

A team of Aboriginal Emergency Service volunteers, with detailed knowledge of the land surrounding their community, were assessed against the Unit of Competency *Navigate in urban and rural environments* from the Public Safety Training Package. The assessment was conducted in the bush. The assessor used questioning and a range of aids including maps of the area and a portable whiteboard on which both the assessor and the candidates were able to draw maps of the local area. The candidates were asked about their knowledge of the area, including any search and rescue work they had done in the past. Map concepts were explained by relating the printed map of the area to their own topological knowledge. Grid references and map symbols were explained and discussed as this terminology is required to be used when reporting to headquarters. The general technique was to move from concrete knowledge of the area to a more symbolic description.

Using the whiteboard, the assessor drew a map of the area on which the candidates then marked significant features. By using diagrams, pictures and symbols, the candidates were able to describe to the assessor how they would go about the navigational aspects of a search and rescue exercise in the area. During the assessment, the assessor asked questions to make sure the candidates were able to use both their knowledge about the area and map reading skills to achieve the outcome.
Facilitator guidelines

In the video, Jan and Lynne identify a number of strategies that may be used when conducting assessments with Indigenous candidates. Many of these strategies are good practice irrespective of the background of the candidates.

View the video and then as a whole group consider the following questions:

- Why might it be necessary to adjust the assessment process in this context?
- In which ways was the assessment process adjusted? (Consider the planning, conduct and review of the assessment.)
- Were the adjustments to the assessment process reasonable?
- Are there things that you would do differently? If so, what are these?

This video contains pictures and voices of Indigenous Australians in the Northern Territory. If someone shown in this video has passed away, hearing their name or voice or seeing their photo may cause sadness and distress to some viewers.
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.

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.

**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*

**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)
Kit to support assessor training

- 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.

Mutual recognition
Mutual recognition applies nationally and means:

1. The acceptance and application of the decisions of a registering body that has registered a training organisation, or a course accrediting body that has accredited a course, by another registering body or course accrediting body, without there being any further requirement for a process beyond the initial process, including:
   a. the recognition and application by the registering body of each State or Territory of the decisions of the registering body of other States and Territories in relation to the registration of, imposition of sanctions on, including the cancellation of registration of training organisations; and
   b. the recognition and application by the course accrediting body of each State or Territory of the decisions of the course accrediting body of other States and Territories in relation to the accreditation of courses where no relevant Training Package exists;

2. The recognition by State and Territory registering bodies of the decisions of the National Training Quality Council in endorsing Training Packages.

3. The recognition and acceptance by a Registered Training Organisation of Australian Qualifications Framework qualifications and Statements of Attainment issued by other Registered Training Organisations, enabling individuals to receive national recognition of their achievements.

From AQTF Standards for RTOs

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

Nationally Recognised Training (NRT) logo
Nationally Recognised Training logo means the logo used to signify that training and assessment products and services meet the requirements agreed under the National Training Framework.

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

National Training Quality Council (NTQC)
National Training Quality Council (NTQC) means the body established by the ANTA Ministerial Council as a Committee of the ANTA Board. In relation to quality assurance arrangements in the vocational education and training system the NTQC has a role in:

- providing advice on the operation of, and any necessary change to, the Australian Quality Training Framework (AQTF);
- providing information and advice to State and Territory recognition authorities on the implementation of the AQTF; and
- providing to the ANTA Board, for incorporation in the Board’s reports to the ANTA Ministerial Council (including the Annual National Report), information and advice on the operation of the AQTF in each State and Territory, including by providing such independent advice on State/Territory registration, audit and related processes and related Commonwealth processes as deemed necessary by the NTQC.

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
Non-compliance
Non-compliance means failure to comply with one or more of the AQTF Standards for Registered Training Organisations.

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

Period of registration
Period of registration means the period for which a Registered Training Organisation is registered. The period of registration is five years (unless cancelled or suspended).

From AQTF Standards for RTOs

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*

**Registration**
Registration means the process of formal approval and recognition of a training organisation, by a State or Territory registering body, in accordance with the AQTF Standards for Registered Training Organisations and the AQTF Standards for Registering/Course Accrediting Bodies.

*From AQTF Standards for RTOs*
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

Registering body
State or Territory registering body means the body responsible under the State or Territory vocational education and training legislation and decision making framework for all decisions relating to the administration of the registration of training organisations.

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

Sanctions
Sanctions means any action imposed for non-compliance with the AQTF Standards for Registered Training Organisations, including:

a. the imposition of specific conditions on registration (which can cover any aspect of registration including the Registered Training Organisation’s scope, location or type of delivery and assessment activities);

b. amendment of registration (including a reduction in the scope of registration);

c. suspension of registration; and

d. cancellation of registration.

From AQTF Standards for RTOs
**Scope of registration**

Scope of registration means the defined scope for which a training organisation is registered that identifies the particular services and products that can be provided. A Registered Training Organisation may be registered to provide either:

a. training delivery and assessment services and products and issue Australian Qualifications Framework (AQF) qualifications and Statements of Attainment;

or

b. assessment services and products and issue AQF qualifications and Statements of Attainment.

The scope of registration is further defined by AQF qualifications and/or endorsed units of competency.

*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*
Strategic industry audit
Strategic industry audit means the compliance audit of Registered Training Organisations operating in a specific industry or industry sector targeted on the basis of identified risks relating to that industry or sector.

From AQTF Standards for RTOs

Training contract
An agreement outlining the training and assessment which forms part of a New Apprenticeship training contract and is registered with the relevant State or Territory Training Authority.

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

Training plan
Training plan means a program of training and assessment which is required under an apprenticeship/traineeship training contract and is registered with the relevant State or Territory Training/Recognition Authority.

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.