

Guidelines for competency based assessment in vocational education and training in Western Australia

a working document for trainers and assessors to help you assess to the Australian Quality Training Framework standard

Produced by the Western Australian Department of Training February 2002

These guidelines replace the 1997 *Framework for Competency Based Assessment in the vocational education and training sector in Western Australia*



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Introduction

These Guidelines for Competency Based Assessment replace a former publication produced by the Department of Training called the *Framework for Competency Based Assessment in the Vocational Education and Training Sector in Western Australia*. They provide information on the policies and processes involved in competency based assessment for practitioners and other stakeholders in the vocational education and training sector.

The Guidelines have been written specifically for Registered Training Organisations (RTOs) and organisations working in partnership with RTOs to provide them with clear and accessible information on national and state assessment policy and assessment processes. Other stakeholders such as Industry Training Councils (ITCs), Group Training Schemes and employers may also find this document useful.

The Guidelines consists of six sections as follows.

- 1. A summary of the key national and state policy requirements relevant to competency based assessment.
- 2. An introduction to competency and competency based assessment for industry and individuals new to the field.
- 3. A guide to the competency based assessment process for employers and assessors less familiar with competency based assessment.
- 4. A series of exemplar materials for adaptation and use by assessors (which link to the concepts and processes noted in Section 3).
- 5. A list of resources for assessors, including websites, organisations and materials on competency based assessment.
- 6. A list of acronyms used and a nationally developed glossary of terms for competency based assessment.

The Guidelines are available on-line at the Department of Training's website and the Training Accreditation Council's website.

These guidelines provide information on the policies and processes involved in competency based assessment for practitioners and other stakeholders in the vocational education and training sector.



Section 1: Assessment Policy

Section 1 of the Guidelines for Competency Based Assessment provides a summary of the key assessment related policy requirements with which RTOs must comply and references to national and state vocational education and training policies.

This Section does not attempt to identify every requirement on RTOs, but rather to signpost readers to the key assessment policies. The full requirements on RTOs can be found in the Australian Quality Training Framework (AQTF) Standards and other policies referred to in this document.

National and State Assessment Policies

There are nine national and state policies that relate directly to competency based assessment. These policies establish the requirements that RTOs operating in Western Australia must comply with in relation to their assessment obligations as part of registration with the Training Accreditation Council.

Key staff members within RTOs must ensure that they are familiar with all national and state policies and have up-to-date copies readily available for new trainers and assessors. All assessors should ensure that they are familiar with the assessment-related aspects of these policies.

The policies are:

The National Training Framework, consisting of:

- 1) the Australian Quality Training Framework (AQTF)
- 2) Training Packages

Other National Policies:

3) the Australian Qualifications Framework (AQF)

State Policies / Guidelines:

- 4) Skills Recognition Framework for vocational education and training in Western Australia
- 5) The Guidelines for Competency Based Assessment in vocational education and training in Western Australia (ie, this document)
- 6) Apprenticeships and Traineeships and the Australian Quality Training Framework Guidelines for Registered Training Organisations
- 7) Building Diversity Guidelines

Policies for Publicly Funded RTOs in WA:

- 8) Fees and Charges Policy for publicly funded RTOs in Western Australia
- 9) Graded Performance Project

A brief summary of the function of each of these policies is provided on pages 12–15, together with a website address for those wishing to access copies of the policies or further information on them.

Key Assessment Policy Requirements

This section summarises some of the key assessment policy requirements on RTOs under thirteen different headings. Many of these requirements will be familiar to RTOs from the former Australian Recognition Framework Standards and National Assessment Principles, the current Australian Quality Training Framework Standards and the 1997 *Framework for Competency Based Assessment in the Vocational Education and Training Sector in Western Australia* (which included state assessment criteria). This is not a comprehensive list of all assessment related policy requirements. For full RTO requirements, see the AQFT Standards and the other national and state policies noted above.

Assessment Benchmarks

Endorsed industry/enterprise competency standards (where they exist) form the benchmarks for assessment. Assessment Guidelines within endorsed Training Packages provide the framework for assessment of the units of competence within the relevant industry or enterprise. All assessors must be familiar with relevant competency standards and Training Packages.

(See also pages 22–24)

Mutual Recognition

Mutual recognition is critical to the operation of a nationally consistent vocational education and training system and is a key principle underlying the AQTF. It is a requirement for registration that RTOs agree to recognise the AQF qualifications and Statements of Attainment issued by other RTOs. All staff involved in assessment must be made aware of the RTO's mutual recognition obligations.

As part of the mutual recognition obligation, RTOs must have appropriate credit transfer arrangements. Credit transfer is an arrangement to give a standard level of credit or formal recognition to a learner who has previously achieved competence in a training or education environment. Some credit transfer arrangements are also called standard or non-standard exemptions or advanced standing.

Skills Recognition Processes

Skills recognition opportunities must be offered to all clients prior to enrolment, and RTOs must ensure that the process and cost of the service do not prohibit or discourage clients from accessing the service. RTOs must ensure compliance with the state's Skills Recognition Framework, which establishes the principles, guidelines and minimum quality requirements for skills recognition in Western Australia.

Qualified Assessors

RTO staff must be competent for the functions they perform in relation to training and assessment, and the RTO must be able to demonstrate that trainers and assessors have the required competencies for the work they undertake, as well as evidence of how assessors maintain relevant industry experience.

All <u>assessors</u> must be competent in the Plan Assessment, Conduct Assessment and Review Assessment units from the Training Package for Assessment and Workplace Training (or equivalent competencies) and the relevant vocational competencies at least to the level being assessed OR the team assessing must have these competencies between them.

Assessors must also possess any other requirements noted in the relevant Training Package Assessment Guidelines (eq industry knowledge or experience).

All <u>trainers</u> must be competent in the Certificate IV from the Training Package for Assessment and Workplace Training (or equivalent competencies) or must be under the direct supervision of a person with these competencies, and the relevant vocational competencies at least to the level being trained.

RTOs must have appropriate written procedures and materials on areas such as recruitment, induction and professional development. The RTO is responsible for ensuring that all assessors are provided with a full induction and ongoing professional development to ensure they undertake quality assessments at a high level and in accord with national and state policies. The RTO induction process will include information on the relevant Training Package, these state Guidelines for Competency Based Assessment and the state Skills Recognition Framework, as well as the WA policies for publicly funded RTOs if appropriate.

Informing Clients

Information on assessment procedures, appeals procedures and skills recognition (or Recognition of Prior Learning) arrangements must be provided to clients prior to enrolment.

The RTO's marketing and advertising must identify training and assessment services that lead to an AQF qualification or Statement of Attainment (within their scope of registration) separately from any other training or assessment services (such as community education).

Fees

RTOs must ensure that they have fair and reasonable fees and refund policies for all modes of training delivery and assessment (ie flexible delivery, on-line delivery, skills recognition, workplace assessment and training etc). Information on these policies must be provided to clients, prior to enrolment, in clear and accessible language and using a range of methods (eg website information, fliers, in advertising material etc). If an RTO is involved in the delivery of training and assessment services to overseas clients, they must comply with the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) requirements.

Assessment Plans

The RTO must ensure that Assessment Plans are developed and provided to all candidates prior to their assessment. Candidates may appeal if they believe the assessment has not been carried out in accordance with the Assessment Plan. In the case of traineeships and apprenticeships, the Training Program Outline will meet many of the requirements of the Assessment Plan.

In the event of an appeal by the candidate the Assessment Plan will be a key source document.

Workplace based assessment must be negotiated between the RTO, employer and candidate, and must be documented by the RTO in the Assessment Plan. The RTO must ensure that any assessments occurring in the workplace are conducted in an environment with the appropriate facilities, in accordance with the Training Program Outline.

(See also pages 28, 46-47)

Validity, Reliability, Flexibility and Fairness

Assessments must be valid, reliable, flexible and fair. Assessors must ensure that assessment decisions involve the evaluation of sufficient evidence to enable a judgement to be made on the competence of the candidate. Assessors must be familiar with the rules of evidence (that is, evidence must be authentic, current, valid, reliable and sufficient).

Assessment materials used must comply with the relevant Training Package Assessment Guidelines, provide for holistic assessment (ie use a process which integrates knowledge and skills with their practical application in a workplace task), cover all four dimensions of competency, target the correct qualification level, cover the key competencies at the appropriate level, and be able to be customised.

(See also pages 29–30, 64–66.)

Equity

The RTO's access and equity policies and procedures should cover assessment as well as training. All assessments must be fair and flexible and incorporate the needs of groups such as indigenous peoples, people from culturally and linguistically diverse backgrounds, people with disabilities, clients in remote locations and youth.

The guiding principles of the state Building Diversity Policy should be followed: that is, to build on individual talents and experiences, to recognise and respond to the diversity of individual needs, and to offer choice and flexibility to cater for individual circumstances.

As well as meeting the requirements specified in the relevant Training Packages, assessment methods and materials must be holistic, fair and flexible. They must not include any language, literacy or numeracy requirements at a level greater than outlined in the competency standards being assessed.

Strategies for supporting and assessing workplace, distance and on-line learners must be developed, implemented, and reviewed to ensure continuous improvement.

(See also pages 29-30, 64-66, 81-84.)

Reporting and Recording Results

It is the responsibility of the assessor to keep a record of the evidence presented by the candidate that enables the assessment decision to be made.

Qualifications and Statements of Attainment must identify the units of competency that the candidate has attained, as well as meeting the other requirements noted in the AQF Implementation Handbook. Qualifications and Statements of Attainment can only be issued for areas within the RTO's scope of delivery.

Logos must be used in accordance with the 'Nationally recognised training logo specifications' (ANTA 1999) when issuing qualifications or Statements of Attainment and when marketing or advertising the training and assessment activities of the RTO.

In Western Australia, RTOs must also comply with the Logo Guidelines for the use of the Training Accreditation Council (TAC) Logo.

(See also pages 33, 48-50.)

Candidate Feedback and Appeals Processes

RTOs must ensure that candidates are provided with feedback, which should include the assessment outcome, recommendations for further training, and appeals and reassessment options.

RTOs must have an Appeals Policy in place which allows candidates to challenge the assessment decision and enables them to be reassessed. A reasonable non-refundable fee will be charged by the RTO high enough to discourage frivolous appeals but not high enough to prohibit appeals. The grounds for an appeal are:

- the judgement as to whether competency has been achieved and demonstrated was made incorrectly, and/or
- the judgement was not made in accordance with the Assessment Plan.

It is the responsibility of the assessor undertaking the assessment to ensure that evidence is kept in sufficient detail to enable an assessment decision to be reviewed in the case of an appeal. This could involve keeping a summary of the evidence presented by the candidate.

(See also pages 33 and see Guide 1: Training Package Assessment Materials Kit, Chapter 7.)

Continuous Improvement and Documentation

Assessment systems, like all other aspects of RTO operations, must incorporate ongoing monitoring and improvement processes. In particular, the RTO must develop processes to enhance the consistency of assessments, such as assessor moderation forums, consultation with industry and professional development for assessors. All assessors must participate in at least one internal or external assessment moderation forum each year. Moderation forums must involve a range of assessors and other stakeholders. Recommendations and actions taken must be documented. These processes should be linked to the organisation's internal audit processes.

RTO policies must include assessment policies and procedures, including quality assurance procedures for assessment processes and instruments. These policies must be documented, comprehensive and up to date.

Procedures to manage the different versions of accredited course documents (Training Packages) and learning and assessment materials need to be implemented, and all materials reviewed for currency on a regular basis.

RTOs must ensure that all assessment methods and materials are appropriately documented for each qualification in their scope of registration. This documentation should highlight the core/elective units of competency being assessed, the client target group, the delivery and assessment modes, pathways, customisation of assessments, and assessment validation processes. (See also page 31.)

Publicly Funded RTOs

Publicly funded RTOs must comply with relevant policies for publicly funded RTOs. This includes the "Hold Policy" which requires publicly funded RTOs to offer candidates at least two assessment attempts in any one enrolment period.

Key Assessment Related Policies in Summary

The Australian Quality Training Framework (AQTF)

(Replaces the Australian Recognition Framework or ARF)

Key function:

To provide consistent quality assurance and recognition mechanisms to ensure the quality of vocational education and training across Australia, based on a quality assured approach to the registration of training organisations seeking to deliver training, assess competency and issue qualifications.

Assessment aspects:

The AQTF standards outline the requirements for RTOs in relation to all areas of assessment.

Further information:

www.tac.wa.gov.au or AQTF Standards for RTOs available from TAC

Training Packages

Key function:

To provide a consistent and reliable set of nationally endorsed components for providing training, recognising and assessing people's skills. Training Packages are developed by Industry Training Advisory Bodies (ITABs) and other industry based bodies or enterprises to meet the identified training needs of specific industries or industry sectors. Training Packages implemented by RTOs as the basis for issuing nationally recognised qualifications and Statements of Attainment will have been through a formal endorsement process managed by the Australian National Training Authority (ANTA).

Assessment aspects:

The key assessment related aspects of Training Packages are as follows:

- Endorsed components
 - competency standards
 - assessment guidelines
 - qualifications section
- Non-Endorsed components (Support materials)
 - assessment resources
 - professional development materials.

Further information:

<u>www.tac.wa.gov.au</u> or <u>www.ntis.gov.au</u> or to purchase Training Packages contact the relevant Industry Training Council or Australian Training Products (contacts listed on <u>www.ntis.gov.au</u>).

The Australian Qualifications Framework (AQF)

Key function:

To provide a comprehensive nationally consistent Framework for all post-compulsory qualifications.

Assessment aspects:

The Framework specifies the characteristics of learning outcomes at each qualification level as well as explaining the responsibilities for assessment and certification.

Further information:

www.agf.edu.au

The Guidelines for Competency Based Assessment in vocational education and training in Western Australia

Key function:

To provide clear and accessible information on national and state assessment policies and how RTOs can ensure they comply with this policies.

Assessment aspects:

All assessment requirements for RTOs are noted in these Guidelines.

Further information:

www.training.wa.gov.au or www.tac.wa.gov.au

Skills Recognition Framework for vocational education and training in Western Australia

Key function:

To achieve high quality, consistent provision of skills recognition services for vocational education and training in Western Australia.

Assessment aspects:

The Framework includes principles, guidelines and minimum quality requirements for the conduct of assessments occurring for the purposes of skills recognition.

Further information:

www.training.wa.gov.au or www.tac.wa.gov.au

Apprenticeships and Traineeships and the Australian Quality Training Framework – Guidelines for Registered Training Organisations

Key function:

To describe the role of RTOs in the delivery, assessment and certification of employment-based training under the AQTF.

Assessment aspects:

RTOs must ensure that assessment is part of a process which is monitored and reviewed to provide quality outcomes in employment-based training. This is achieved as part of negotiating the Training Program Outline.

Further information:

www.training.wa.gov.au

Building Diversity Guidelines

Key function:

To establish the diversity policy for vocational education and training in Western Australia.

Assessment aspects:

Provides assistance on how assessments can incorporate diversity and equity and access issues.

Further information:

www.training.wa.gov.au

Fees and Charges Policy for publicly funded RTOs in Western Australia

Key function:

To set out the statutory and provider based fees and charges which apply to publicly funded RTOs.

Assessment aspects:

The policy provides information for publicly funded RTOs relating to the fees and charges applied to clients.

Further information:

www.training.wa.gov.au or the Policy and Research Branch of the Department of Training.

Graded Performance Project

Key function:

To establish a model for a graded performance assessment system, to meet the needs of learners, employers and RTOs and which is consistent with the AQTF, Training Packages, the AQF and the Guidelines for Competency Based Assessment in vocational education and training in Western Australia. The project is currently being implemented in a number of areas of study across Western Australia, with longer-term plans for more widespread implementation.

Assessment aspects:

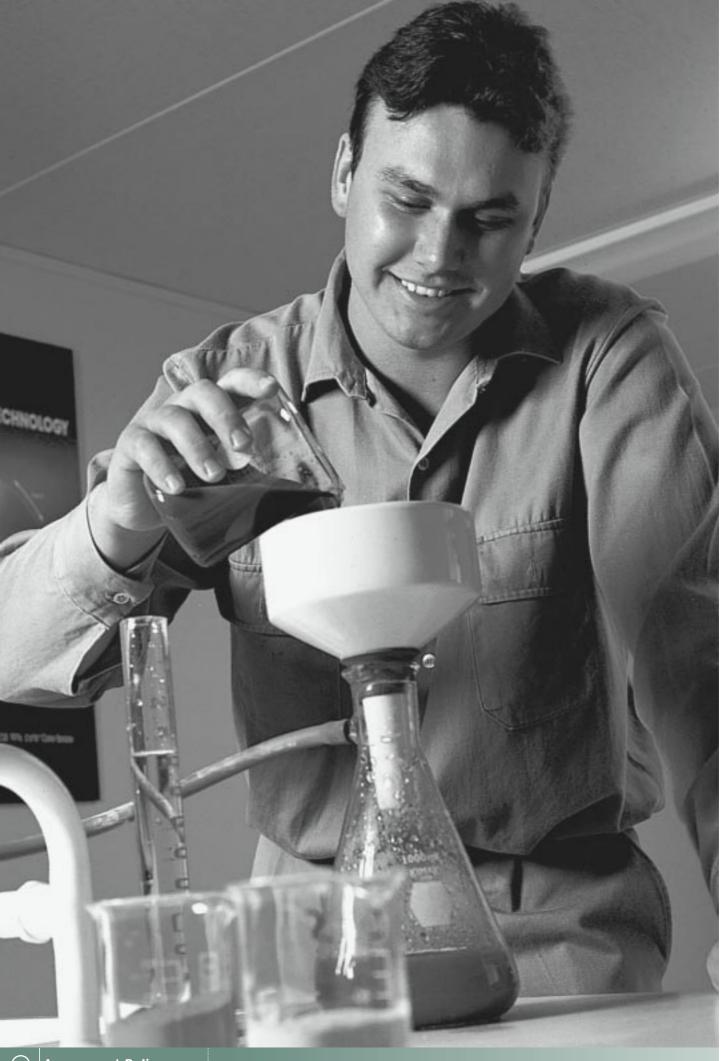
The model promotes good assessment practices in accord with state and national policy, and includes five grading criteria (derived from the AQF and Key Competencies) on a five point scale, which the assessor uses to determine a performance grade for learners after they are deemed competent against industry competency standards.

Further information:

Quality Assurance and Recognition, Department of Training or www.training.wa.gov.au

Summary

Section 1 of the Guidelines for Competency Based Assessment in vocational education and training in Western Australia summarises the key policy requirements for competency based assessment occurring in Western Australia.



Section 2: Introducing Competency Based Assessment

This Section provides an introduction to competency based assessment, specifically for those new to the field, and for employers and learners.

What is competency?

In vocational education and training, 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, to the standard of performance expected in the workplace.

Both on the job and off the job training and assessment aim to make sure that the individual participating in the training and assessment has the competence to undertake their work role to the standard expected in the relevant workplace.

How do we know someone is competent?

We know whether someone is competent after completing a competency based assessment. Just as a learner-driver must demonstrate they can drive a car by actually taking the examiner for a drive, so too must other learners demonstrate that they are competent by undergoing an assessment process. Assessment may involve a practical demonstration of skills, some form of written assessment, such as a test or preparation of a report, or a presentation or interview.

An individual can be assessed during their training, at the end of their training, or without even undertaking any training (for example if they believe they are already competent). Those being assessed are often called candidates. The method and timing of assessment will vary depending upon the assessor, the candidate and the competency being assessed.

What standards are candidates assessed against?

In order to assess whether a candidate is competent, they are judged against established standards (often called benchmarks). These standards have been developed by industry and are called competency standards. Competency standards may also be referred to as units of competency.

Competency standards are documents that define the competencies required for effective performance in the workplace in specific industries. Competency standards include the essential information needed to assess a candidate.

Some enterprises have developed specific competency standards for their business.

In order to gain a formal qualification (eg a Certificate II or a Diploma), individuals have to be competent in a specified group of competency standards. Information on the qualifications and relevant competency standards are all outlined in industry based Training Packages. Training Packages consist of competency standards, information on qualifications and assessment guidelines to assist trainers and assessors.

What is competency based assessment?

Competency based assessment is the process of collecting evidence and making judgements on whether competence has been achieved. This confirms that an individual can perform to the standard expected in the workplace as expressed in the relevant endorsed industry/enterprise competency standards (or outcomes of accredited courses if there are no competency standards for an industry).

What sort of evidence is collected?

As noted above, assessment involves collecting evidence. This evidence may be direct evidence (such as observation of workplace performance), indirect evidence (such as formal testing) or supplementary evidence (such as references from employers). This evidence is used by an assessor to make a judgement about whether the candidate is competent.

It is the responsibility of the assessor to determine what and how much evidence is required to make the assessment judgement. Training Packages provide guidance on the types of evidence required, and further advice may be gained through moderation and industry consultation.

What training do assessors have?

Assessors need to be objective and independent and make reasonable, informed judgements based on the quality and sufficiency of the evidence collected. All assessors must have demonstrated their own competence in the particular competency standards being assessed and in the following three units of competency from the Training Package in Assessment and Workplace Training:

- Plan Assessment (BSZ401A)
- Conduct Assessment (BSZ402A)
- Review Assessment (BSZ403A)

Assessments for nationally recognised vocational qualifications must be undertaken by an assessor working for a Registered Training Organisation (RTO) or an assessor working in partnership with an RTO. An RTO is the only body with the authority to issue a qualification.

What about a candidate who believes they are already competent?

If an individual believes they are already competent in a particular competency standard or group of standards, they can undertake a form of competency based assessment called Skills Recognition (often known as Recognition of Prior Learning, Recognition of Current Competencies or Credit Transfer).

Skills Recognition is the term used to describe a number of assessment processes that formally recognise the competencies an individual has acquired through formal or informal learning, work experience and/or life experience. The principles and processes involved in competency based assessments are also involved in skills recognition processes.

What results do candidates get?

After someone has undergone a competency based assessment or a skills recognition assessment, they are either deemed 'competent' or 'not yet competent'. If they are deemed competent, they will be issued with either a Statement of Attainment listing the units of competency they are competent in or a full qualification. If they are deemed not yet competent, they will be given feedback on their performance. All candidates have the opportunity to appeal their results and be reassessed.

Why is there so much jargon?

Training and assessment is a field involving a high level of knowledge and expertise. Like all other areas involving technical expertise, the training system involves jargon and some complex terminology and policies. A glossary of terms is provided at the back of this document to help you understand the training and assessment jargon.

For further information on competency based assessment, please contact a Registered Training Organisation, the relevant Industry Training Advisory Board or the WA Department of Training (see Section 5 of this document).



Section 3: The Competency Based Assessment Process

Introduction

This Section is written for assessors, particularly those less experienced in competency based assessment, and for employers who wish to understand more about the assessment process. It is not intended to provide all the information that an assessor needs, but rather aims to provide an introduction or reminder to assessors of some of the key processes and documents they need to consider when planning and conducting assessments. Assessors requiring more information should see Sections 4 and 5 of this document.

Figure 1 shows the key issues covered in this Section which lead to the planning and conducting of an assessment activity.

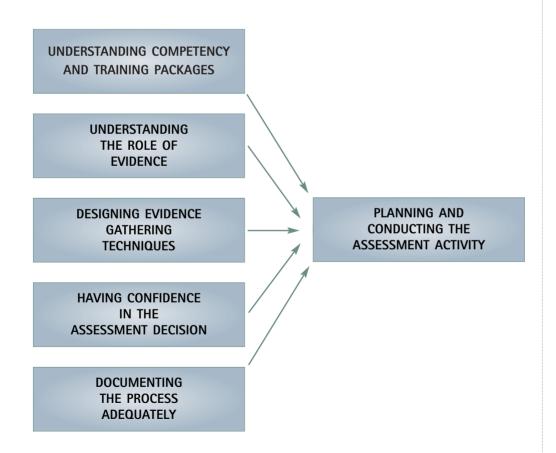


Figure 1: Issues covered in this Section

Understanding Competency and Training Packages

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.

Competency based assessment is the process of collecting evidence and making judgements on whether competence has been achieved. This confirms that an individual can perform to the standard expected in the workplace as expressed in the relevant endorsed industry/enterprise competency standards (or outcomes of accredited courses if there are no competency standards for an industry).

Competency comprises four dimensions:

- Task skills performing the task to the required standard
- Task management skills skills to plan and integrate a number of different tasks and achieve a work outcome
- Contingency management skills the ability to respond to irregularities, breakdowns and other unanticipated occurrences
- Job/role environment skills skills to deal with the responsibilities and expectations of the work environment (see Four Dimensions of Competency Exemplar on pages 36–37)

It is important that competency based assessments assess all four dimensions of competency.

Most assessments will be based on competency standards from a relevant **Training Package**. If there is no Training Package, relevant competency standards from an accredited course will form the basis of the assessment. Where no competency standards exist, accredited course learning outcomes form the basis of the assessment.

Training Packages are developed by industry to meet the identifiable training needs of specific industries or industry sectors. Figure 2 shows the different components of Training Packages, with those most important for assessment shaded.

ENDORSED COMPONENTS			
Competency Standards	Assessment Guidelines	Qualifications	
NON-ENDORSED COMPONENTS – SUPPORT MATERIALS			
Learning Strategies	Assessment Materials	Professional Development Materials	

Figure 2: Components of Training Packages

Competency standards are developed using a consistent format in all Training Packages. The components of a **competency standard** and their content are noted in Figure 3.

COMPONENT	CONTENT
Unit title	Defines general area of competency
Unit descriptor	Clarifies purpose of unit
Elements of competency	Outcomes that contribute to the overall unit (ie building blocks of unit, expressed in outcome terms)
Performance criteria	Statements for each element expressing what is to be assessed and the required level of performance
Range of Variables	The range of contexts and conditions within which the work is to be performed
Evidence Guide	Assists with the interpretation and assessment of the unit
- critical aspects of assessment	Knowledge and skills critical to successfully complete the work activity
- underpinning knowledge or skills	Technical knowledge or content needed to perform the work activity
- context for assessment	Whether the unit of competency may be assessed in the workplace or a simulated environment
- assessment methods and resources	Suggestions about appropriate types of assessment and sources of evidence to be collected
- Key Competencies	Key Competencies required to successfully perform the work activity (see below)

Figure 3: Components of Competency Standards

When conducting the assessment all the components of the competency standard must be considered.

The **Key Competencies** (also known as Mayer Key Competencies) are employment-related general competencies essential for effective participation in the workplace. In newer competency standards, there is an attempt to identify more clearly how the key competencies are built into the standards. It should be noted that the three levels of the key competencies do not equate to the Australian Qualification Framework levels. In general terms, Level 1 Key Competencies are required to undertake work activities, Level 2 required to manage work activities and Level 3 to evaluate and reshape work activities.

Assessment Guidelines provide the overall framework for the assessment of competency standards and qualifications in the Training Package. They cover assessment systems, pathways, assessor qualifications, the design of assessment resources and the conduct of assessments. Issues of skills recognition (ie credit transfer, exemptions, Recognition of Current Competencies and Recognition of Prior Learning) are covered under this section in the Assessment Pathways material.

Most Training Packages offer a range of **qualifications** which may vary in Australian Qualifications Framework (AQF) level, their degree of specialisation and the extent to which customisation is permissible. Most qualifications are made up of certain core competency standards and some elective competency standards.

In considering the training delivery and assessment, trainers may want to cluster certain competency standards so that they can cover all relevant knowledge and skills required for a workplace task while still maintaining the integrity of each standard. These clusters of competencies can then often be assessed together.

The **Australian Qualifications Framework (AQF)** includes descriptors for each qualification level. These descriptors provide guidelines for reasonable performance at a particular level. These descriptors, along with the element of competency, the performance criteria and evidence guides in competency standards, help an assessor to gauge a reasonable level of performance to expect from a competent candidate.

Training Package Support Materials (the non-endorsed components) may include **assessment materials** such as exemplar assessment materials, the range of assessment methods to be used or targeted assessment resources for specific groups. Information regarding these resources is available from the relevant Industry Training Council (ITC) or Australian Training Products (see Section 5).

Understanding the Role of Evidence

Evidence is the 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.

Evidence can be direct, indirect or supplementary, as noted in Figure 4.

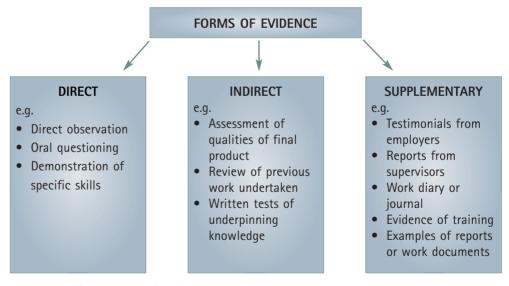


Figure 4: Different types of evidence

No one form of evidence is better than another. **Quality evidence** is chosen appropriately for the candidate and context, and meets the five 'rules' of evidence noted in Figure 5.

QUALITY EVIDENCE IS:	
Valid	Relates to the unit or units of competency appropriately Reflects all four dimensions of competency Provides evidence of the broad skills included in the Key Competencies Appropriate to the AQF level being assessed
Authentic	Is the candidate's own work (ie procedures have been developed to ensure this)
Consistent	Shows competency over a period of time suggesting sustained performance (ie not just a 'one-off')
Sufficient	Provides enough evidence to make a judgement about the competency of the individual in relation to all four dimensions of competency Covers the full range of the performance criteria Meet all the evidence requirements
Current	Recent enough to show that the skills and knowledge are still in practice and able to be applied to a current work situation

Figure 5: Rules of evidence

There are many potential sources of evidence and many methods and techniques for **gathering evidence** in a competency based assessment. Figure 6 provides a sample. See also Assessment Material or Tool Exemplars on pages 51–62 and Checklists and Guidelines on pages 63–84.

EVIDENCE GATHERING TECHNIQUE	SOURCE OF EVIDENCE
Observation	Real work activities at workplace
Simulation	Role play Work activities in simulated workplace environment Case study
Questioning	Self-assessment form Verbal answers Written questionnaire Interview
Review of products	Work samples/products
Portfolio	Testimonials/references Work samples/products Training record Assessment record Journal/work diary Life experience information
Third party feedback	Interviews with employer, supervisor, peers
Structured activities	Project Presentation Demonstration Progressive tasks

Figure 6: Different evidence gathering techniques

A summary of the evidence presented by the candidate should be kept by the assessor in the event of an appeal by the candidate. It is the responsibility of the RTO to establish guidelines for assessors on the minimum evidence recording requirements (see example on page 48).

Designing Evidence Gathering Techniques

Figure 7 outlines a process that may be used to design an evidence gathering technique for an assessment.

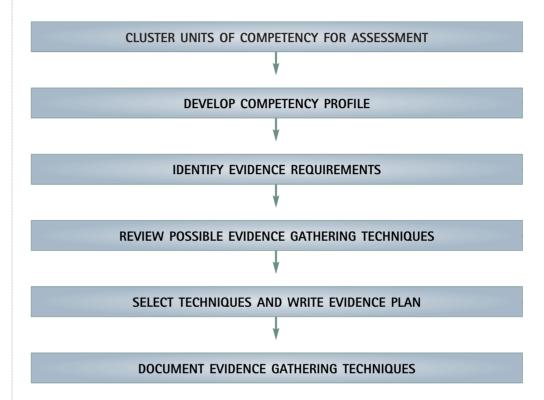


Figure 7: Process used to determine evidence gathering techniques

Real work does not usually fall into categories that reflect individual units or elements of competency. In general, a real work activity draws on a range of competencies from a number of competency standards at once.

A good assessment method will involve **clustering** a number of competencies to reflect a real work task (see Clustering Exemplar on page 38). The degree to which you could (or may need to) cluster a number of units together to reflect a real work activity will vary across all Training Packages. Clustering should take account of the work activity, the assessment context, the training and assessment arrangements for the qualification, and time, resource, facility and personnel considerations. Some Training Packages include advice on appropriate clustering of competencies. Assessors are required to have a thorough knowledge of the Training Package they are working with.

Appropriate clustering is a key way to ensure that assessments are **holistic**. The assessor can gather evidence and cross-reference it across a number of competency standards. Clustering may also result in reducing the time and costs associated with assessment. Obviously, if only one unit of competency is being assessed, then clustering will not occur.

Once the unit(s) of competency are identified the next stage of developing an evidence gathering technique is the development of a **competency profile** (see Competency Profile Exemplars on pages 39–40). A competency profile will provide an overall picture or image of a competent person. In order to develop a competency profile, the assessor must draw together the information in the unit of competency, the AQF descriptor and the Key Competencies.

A competency profile may be a checklist, a written description of the work activity, a list of the characteristics of a competent worker, or a job description for a person who will perform the activity.

The next step is to **identify the evidence required** to determine competency (see Evidence Requirement Exemplars on pages 41–42). The evidence selected must reflect the skills, knowledge and language encompassed in the competency profile and comply with the five rules of evidence (that is, evidence must be valid, authentic, consistent, sufficient and current). The assessor then develops a list of the evidence requirements.

The list of evidence requirements can be used by the assessor to **review the possible evidence gathering techniques**. That is, the assessor considers the ways in which the evidence can be collected and competency can be demonstrated for each of the evidence requirements. In identifying the evidence gathering techniques, resources and facilities required for the assessment should be considered including any workplace simulation requirements (see Exemplar Guidelines for Workplace Simulations on pages 56–57 and pages 70–71).

Selecting the appropriate evidence gathering techniques will involve consideration of the candidate's needs, the nature of the work activity being assessed, the location of the assessment (to ensure a safe and accessible environment), the assessor skills and experience, and the cost implications. It is important also to consider the mode of assessment, such as flexible delivery, Skills Recognition, online, etc.

It is at this stage that issues of customisation for candidate needs should be considered. For example, a candidate may have a disability which prevents them undertaking certain activities but may still be competent in the units of competency being assessed, or the candidate may be undertaking the assessment in a flexible delivery mode. In these instances, Reasonable Adjustments should be made to the assessment activity to ensure that the candidate will still have the opportunity to demonstrate the competencies being assessed. Provided that quality evidence can still be collected for the assessment decision to be made, it is acceptable to adapt the evidence gathering techniques to reflect the candidate's needs and situation. See Guidelines for assessing Distance Learners on page 81 and Checklist for Special Needs of Candidates on page 83.

The techniques selected can be documented in an **Evidence Plan**, outlining the evidence gathering technique, the candidate's tasks, and the evidence requirements (see Evidence Plan Exemplars on pages 43–45).

It is important that the **evidence gathering techniques are documented**. Materials for collecting and analysing evidence are often described as assessment tools or instruments.

In general, the term **assessment tool** is now used to describe a document that contains both:

- the instructions for gathering and interpreting evidence ie the material that helps set up an assessment event, including the instructions for the assessor
- the **assessment instrument** ie the material that describes, measures and records outcomes or evidence for each assessment event or activity.

For example, if the evidence gathering technique being used is a workplace observation followed by a brief interview, then the assessment tool might consist of:

- instructions identifying the activities to be undertaken by the candidate, the key points to be observed and the performance issues to be considered by the assessor, and
- a proforma which includes a checklist for the key observation points and performance criteria, and a series of questions and checklist for responses on underpinning knowledge for the interview.

Other assessment materials might include information on projects, case studies, simulation activities, checklists for third party evidence, self-assessment forms or portfolio requirements (see Assessment Material and Tool Exemplars on pages 51–62). All assessment materials should be flexible, fair, safe and cost-effective (see Checklist and Guideline Exemplars on pages 63–86).

Assessment strategies and tools need to be developed in consultation with industry and tested on an appropriate sample of candidates.

It is at this stage that an Assessment Plan can be developed (see Assessment Plan Exemplar on page 46). **Assessment Plans** are provided to candidates at the commencement of the training or assessment process. In the case of traineeships and apprenticeships, the Training Program Outline will meet many of the requirements of the Assessment Plan. Assessment Plans are referred to in the case of an appeal by the candidate.

Assessment Plans should contain the following information:

- What will be assessed (ie elements or units of competency)
- How assessment will occur (ie what tools will be used)
- When assessment will occur
- Where assessment will occur (ie the context of the assessment)
- The criteria for decision making (ie performance criteria)
- And, where appropriate, any supplementary criteria used to make a judgement on the level of performance (see Graded Performance information on page 85).

The process noted above is suitable for all forms of competency based assessment, including Recognition of Current Competencies or Prior Learning assessments, and other modes of flexible delivery such as distance and online assessments.

Having Confidence in the Assessment Decision

Figure 8 demonstrates the main components necessary to ensure that any assessment decision is a good one.

As many assessors will note, experienced assessors rarely evaluate evidence against the standards on an element by element or performance criteria by performance criteria basis. Using their expertise and appropriate assessment tools, assessors generally synthesise the evidence before them in a systematic way and holistically relate it to the competency standard requirements.

It is important to note that whilst the process of holistic assessment is encouraged, assessors must be confident that a candidate is demonstrating competence against all elements and performance criteria outlined in the standard.

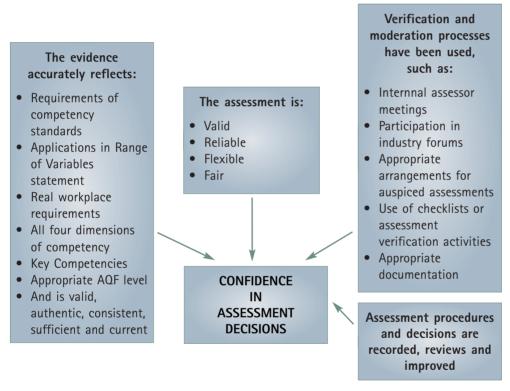


Figure 8: Factors maximising confidence in assessment decisions

Confidence in assessment decisions is enhanced when verification or moderation processes are used. The verification and moderation processes noted in Figure 8 are selected for the purposes of illustration and are not the only processes possible. To maintain the quality and consistency of assessments, all RTOs should have established policies and procedures regarding verification/moderation. Many industries also have industry specific moderation or information sharing forums.

Competency based assessments must be valid, reliable, flexible and fair.

Validity refers to the extent to which the interpretation and use of an assessment outcome can be supported by evidence. An assessment is valid if the assessment methods and materials reflect the elements of competency, performance criteria and evidence guide in the competency standard, and if the assessment outcome is fully supported by the evidence gathered.

Reliability refers to the degree of consistency and accuracy of the assessment outcomes. That is, the extent to which the assessment could provide similar outcomes for candidates with equal competence at different times or places, regardless of the assessor conducting the assessment.

If assessments are both valid and reliable, then they should be consistent across RTOs as well as within an RTO. Reliable and valid assessments share a number of characteristics, including:

- assessing all four dimensions of competency
- using a process which integrates knowledge and skills with their practical application for a workplace task (ie holistic assessment)
- being based on evidence gathered on a number of occasions and in a range of contexts
- covering both on and off the job components of training
- providing for the recognition of competencies no matter how or when they have been acquired.

Flexibility refers to the opportunity for a candidate to negotiate certain aspects of their assessment (for example, timing) with their assessor. All candidates should be fully informed (through the Assessment Plan) of the purpose of assessment, the assessment criteria, methods and tools used, and the context and timing of the assessment.

An assessment is **fair** when it does not disadvantage particular learners or groups of learners. This may mean that assessment methods are adjusted for particular learners (such as people with disabilities or cultural differences) to ensure that the method does not disadvantage them because of their situation. An assessment should not place unnecessary demands on learners that may prevent a candidate from demonstrating competence (for example, an assessment should not demand a higher level of English language or literacy than that which is required to perform to workplace standard, as outlined in the competencies being assessed). (See also Checklist for validity, reliability, flexibility and fairness on pages 64–66.)

It is important that all assessment procedures, tools, materials and decisions are documented in accord with RTO policy, to enable them to be **reviewed** and improvements made. A review process should be developed by the RTO and/or industry and RTO personnel should be involved in the review. A range of assessment decisions made for similar performance standards need to be reviewed to note any discrepancies and inconsistencies. Review activities must be documented and acted upon to improve assessment decisions and consistency. For example, assessment procedures or tools may need to be modified, or assessors may need to meet more regularly for assessment moderation activities.

Documenting the Process Adequately

Figure 9 notes some of the documentation that might result from the processes noted above (see Self Audit Exemplars on pages 67–69). Some examples of these documents are provided in Section 4 and further examples can be found in the resources noted in Section 5.

DOCUMENTATION	PURPOSE
Copies of relevant Training Package	To be available to assessors for reference at all times. Available from ITC.
Competency profile	Prepared by assessor to assist in determining evidence requirements. See pages 26, 39–40.
List of evidence requirements and evidence plan	Prepared by assessor to assist in selecting appropriate evidence gathering techniques. See pages 27, 41–45.
Materials, checklists or tools for collecting and analysing evidence	Developed or adapted by assessor to be used in the actual assessment activity. See pages 27, 51–62.
Assessment Plan	Prepared by assessor and to be given to candidate in advance. See pages 29, 46–47.
Record of evidence presented and samples of evidence collected	Collected and documented by assessor to corroborate assessment result, used in moderation/verification processes and in case of an appeal. See pages 25, 33–34, 48.
Record and reporting of assessment decision	Documented by assessor, qualification/ Statement of Attainment issued by RTO, results to be supplied to candidate by RTO. See pages 33–34, 49–50.
Feedback checklist or proforma for candidate	To be completed and given to candidate during feedback discussion by the assessor. See pages 33–34 and see Guide 1: Training Package Assessment Materials Kit, Chapter 7.
Appeals information	To be provided to candidate at the beginning of the process by assessor or delegated person within the RTO and during feedback discussion. See pages 33–34.

Figure 9: Assessment related documentation

Planning and Conducting the Assessment Activity

With the development work done, the assessor can now plan and conduct the assessment activity. Figure 10 demonstrates the steps likely to occur in planning and then conducting an assessment activity.

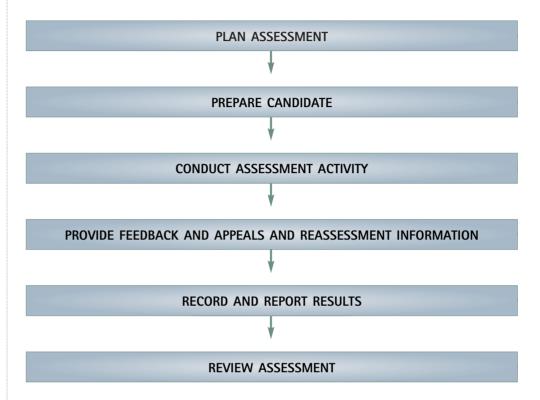


Figure 10: Steps in planning and conducting an assessment activity.

When **planning** an assessment activity, the assessor needs to ensure:

- the candidate is ready for assessment
- the assessment tools or materials have been trialed with an appropriate sample of people in advance
- assessment procedures have been ratified with appropriate personnel in the industry/workplace or training organisation where appropriate
- the time and place for assessment have been agreed with the candidate and any other relevant parties
- the needs of the candidate have been determined and any Reasonable or Allowable
 Adjustments have been made to the assessment (see Guidelines for Assessing Distance
 Learners on page 81 and the Checklist for Special Needs of Candidates on page 83)
- all appropriate personnel are advised of the assessment.

When **preparing** the candidate, the assessor needs to ensure:

- the context and purpose of assessment have been agreed with the candidate
- the candidate has seen the Assessment Plan and any other appropriate documentation
- the relevant performance standards have been provided and explained to the candidate
- the assessment procedure and expectations of the candidate have been clarified and agreed between candidate and assessor
- any legal or ethical responsibilities associated with the assessment are explained to the candidate or other relevant parties
- the appeals process is explained to the candidate
- information is conveyed using language and techniques to communicate effectively with the candidate and other relevant parties
- the need for any additional evidence gathering is identified.

When **conducting** the assessment activity, the assessor needs to ensure:

- the assessment is conducted in accordance with the assessment plan
- evidence specified in the assessment procedure is gathered using the agreed tools or materials
- evidence is gathered in accordance with reasonable or allowable adjustments where applicable
- evidence is evaluated in terms of validity, authenticity, sufficiency, currency, and consistency
- evidence is evaluated according to the elements, performance criteria, and evidence guide from the unit/s of competency, all four dimensions of competency, the key competencies, and the ability to transfer and apply skills and knowledge to new contexts
- assistance from more experienced assessors or industry experts is sought if appropriate
- the assessment decision is made in accordance with the specified criteria.
- the evidence is documented and recorded appropriately, in accord with RTO policy

When providing **feedback** the assessor needs to ensure:

- clear and constructive feedback is given to the candidate using appropriate language and strategies
- feedback includes guidance on overcoming gaps in competency or further goals or training opportunities if appropriate
- the candidate is given information on reassessment opportunities and the appeals process
- any assessment decision dispute is reported to the appropriate personnel within the RTO.

RTOs must have an **Appeals Policy** which allows candidates to challenge the assessment decision and enables them to be reassessed. A reasonable non-refundable fee will be charged by the RTO in order to discourage frivolous appeal but not high enough to prohibit appeals. The grounds for an appeal are:

- the judgement as to whether competency has been achieved and demonstrated was made incorrectly, and
- the judgement was not made in accordance with the Assessment Plan.

When **recording** results, the assessor needs to ensure:

- assessment results are recorded accurately and follow RTO record keeping policies and procedures
- confidentiality of assessment outcomes is maintained
- appropriate documentation (eg Training Record Book and/or evidence pro-forma) is completed.

When **reviewing** the assessment activity, the assessor needs to ensure:

- the candidate's feedback on the assessment activity is sought
- positive and negative features experienced in conducting the assessment are conveyed to those responsible for the assessment procedure
- suggestions for improving the assessment process are made to appropriate personnel or changes are made to the assessment process and materials for future candidates.
- verification and moderation processes are implemented in accord with RTO policy.

Summary

This Section has provided a brief overview of some of the key processes involved in competency based assessment. For further information, please see the exemplars in Section 4 or follow up with the resources noted in Section 5.

Section 4: Exemplar Materials

Introduction

This Section provides a selected number of examples of assessment-related materials, checklists and tools. It should be noted that, whilst providing examples of good practice, these materials will need to be adapted for use in different industries, qualification levels and contexts. Additional examples and checklists will be found in the resources noted in Section 5.

The Department of Training, the State Training Board and Training Accreditation Council would like to acknowledge the Department of Education, Training and Youth Affairs, the Australian National Training Authority, the Department of Training and VETASSESS for the provision of these exemplars.

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1. Four dimensions of competency

This example demonstrates how a unit of competency covers all four dimensions of competency. The extract from the unit of competency is reproduced in the standard format first. Then the unit is analysed to show all four dimensions of competency.

The unit is from the Laboratory Operations Training Package – Perform Basic Tests PML ORG 600. This unit of competency covers the ability to perform basic tests and/or procedures using standard methods.

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

1. Four dimensions of competency

Identifying the Four Dimensions of Competency

- Perform Basic Tests PML ORG 600

TASK SKILLS	TASK MANAGEMENT SKILLS		
This requires performance of the task[s] to the required standard as described in the unit of competency and expected in the workplace.	Captures the skills used as people plan and integrate a number of potentially different tasks to achieve a complete work outcome.		
Assessor needs to collect evidence that the candidate can do the individual actions as well as the whole task.	Candidates should provide evidence that they can work efficiently to meet deadlines, handle a sequence of interrelated tasks and progress smoothly between tasks.		
PMLTEST 300 - the task skills involve the performance of basic tests to the required standard.	 PMLTEST300 - task management skills arranging the sequence of work efficiently eg: moving through elements 1 - 3 or carrying out tasks simultaneously eg: preparing additional samples [element 2] while test are running [element 3] 		
CONTINGENCY MANAGEMENT SKILLS	JOB/ROLE ENVIRONMENT SKILLS		
The requirement to respond to irregularities and breakdowns in routines.	The requirement to deal with the responsibilities and expectations of the work environment.		
Candidates should show evidence of dealing with contingencies eg: breakdowns, irregularities, imperfections or the unknown.	The capacity to work with others and adapt to different situations is central to successful performance.		
PMLTEST300 - Assessor may use questions such as: • What if the sample label is incomplete? • What if the results you obtain are outside the acceptable range? • What if equipment is not calibrated correctly?	 Does the candidate comply with workplace procedures and standard methods in performing the task? Does the candidate communicate effectively with others? Does the candidate observe enterprise and regulatory requirements? 		
In the workplace can the candidate perform the work and answer questions with confidence?	PMLTEST300 - candidates are to follow instructions [elements 1-3] and communicate with others [performance criteria 1.1, 2.3, 3.6].		

Adapted from Manufacturing Learning Australia – Assessment Solutions, © DETYA, 2000

2. Clustering Units of Competency for Assessment

This example shows how a number of units of competency can be clustered to reflect a real work activity.

In the assessment process for the Certificate III in Hospitality (Commercial Cookery), candidates provide evidence of competency 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.

From Guide 1: Training Package Assessment Materials Kit, Page 16, © DETYA 2001

3. Competency Profile

These examples show two different ways in which a competency profile can be developed.

Competency Profile: Record and Store Data

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

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

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

From Guide 1: Training Package Assessment Materials Kit, Page 31 © DETYA 2001.

3. Competency Profile

Competency Profile: Deliver training sessions and train small groups

A COMPETENT PERSON CAN:	A PERSON WHO IS NOT YET COMPETENT MAY:
Plan training programs based on: a set of standards identified training needs Deliver training: using a range of appropriate delivery methods and learning materials which will facilitate learning actively involving participants in the session providing opportunities for practice in skills development taking into consideration the characteristics of learners, particularly language and literacy needs informing learners about the nature of the training and assessment providing constructive feedback to learners about progress toward competence. Use feedback from learners, other stakeholders and self-evaluation to improve delivery.	Plan training programs that are not based on an analysis of training needs or a set of standards. Deliver training using a limited range of delivery methods and learning materials which may not: • take into account student or trainer needs or availability of resources • provide opportunities for skills development through practice • inform students about the purpose of the training or assessment • give students feedback on progress Get feedback from learners but not use it to improve the program or to recommend changes to program developers. Engage in limited self-evaluation but not use it to improve planning or delivery.

From Guide 1: Training Package Assessment Materials Kit, Page 32 © DETYA 2001.

4. Evidence Requirements

The following two examples list the evidence required and possible evidence gathering techniques for assessing two different units of competency.

Evidence Requirements for Unit of Competency Perform Basic Test (From Laboratory Operations)

EVIDENCE REQUIREMENTS:	POSSIBLE EVIDENCE GATHERING TECHNIQUE:
Consistently receives, labels and stores samples for testing in accordance with SOPs and enterprise requirements	Work related practical task
Demonstrates the required underpinning knowledge to support performance of tasks skills	
Performs a variety of tests on samples in accordance with SOP and enterprise standards.	Work related performance
Calibrates equipment in accordance with SOP and enterprise standards.	
Performs all stages of a variety of testing tasks	
Performs a variety of testing tasks simultaneously	
Performs defined work tasks under general or routine supervision	
Performs defined work tasks in accordance with occupational health and safety requirements	
Responds to contingency situations in accordance with enterprise standards	
Demonstrates the required underpinning knowledge to support performance of tasks skills	
Works effectively in team situations demonstrating appropriate communication and interpersonal skills	

From Participants' Guide Graded Performance Assessment System Professional Development Workshop 4, © Department of Training 2001

4. Evidence Requirements

Targeting Evidence for Unit of Competency Produce Business Documents

Unit of Competency: BSBCMN306A Produce business documents	Candidate's name:			
EVIDENCE REQUIREMENTS	POTENTIAL SOURCES OF EVIDENCE			
Produce a range of business documents to meet professional standards and organisational needs	 View documents the candidate has recently produced. Candidate produces one or more documents to specific requirements. Candidate is aware of work cycles and employer requirements for business documents. Check with supervisor or other clients to verify the work samples are the candidate's own work. 			
 Select document designs and resources for purpose, organisational requirements and efficiency 	 Candidate explains how the designs for documents were worked out. View documents the candidate has recently produced. Ask supervisor for feedback about quality and presentation of candidate's work. 			
 Use equipment and software features to achieve designs efficiently, accurately and consistently 	 Candidate can explain the advantages of specific software features. Candidate can demonstrate and explain specific software features. See electronic files the candidate has produced. 			
Check documents for errors and consistency	 Candidate can demonstrate interpreting proof marks and making corrections to a file. Ask supervisor for feedback about candidate's rate of errors in finished work. 			
 Follow basic file management procedures for retrieving, creating, saving and storing files 	 View computer to see how candidate organises and stores files. Ask supervisor for feedback about how candidate follows expected procedures. 			
Self-manage tasks and use help resources for solving problems	 Candidate lists self-help resources used. Candidate demonstrates use of online help resource for a given problem. 			
Apply OHS procedures for using equipment	 Observe candidate's work station. Candidate describes and points out application of OHS procedures. 			

From Guide 1: Training Package Assessment Materials Kit, Page 45 © DETYA 2001.

5. Evidence Plans

The following two examples of Evidence Plans are based on the same units of competency as the examples of Evidence Required. A third example of an Evidence Plan is then provided for a supervisory higher level unit of competency (AQF level 6).

Evidence Table

Unit/s: BSBCMN306A Produce business documents

Candidate:

WHAT ARE THE EVIDENCE REQUIREMENTS?	HOW THE EVIDENCE WILL BE GATHERED?	WHAT CAN THE CANDIDATE DO?
Select document designs and resources for purpose, organisational requirements and efficiency Self manage tasks and use help resources for solving problems.	Interview candidate about: knowledge of resources and planning for design requirements selecting layout and type styles dealing with technical problems and learning about software.	Identify organisational and resource requirements for business documents produced. Check knowledge of software features. Think about problems that occur and how to overcome them.
Check documents for errors and consistency Apply OHS procedures for using equipment	Complete checklist for observing OHS procedures. Set task for using proofreader's marks to make corrections to documents.	Identify relevant OHS procedures. Identify common proofreader's marks. Practise making corrections to type and layout styles.
Produce a range of business documents to meet professional standards and organisational needs Use equipment and software features to achieve designs efficiently, accurately and consistently Follow basic file management procedures for retrieving, creating, saving and storing files	Candidate prepares a portfolio of: products office process related to the production of business documents feedback on meeting organisational requirements and ability to manage tasks relevant training completed.	Collect examples of: finished documents specifications, work instructions, planning notes documents that state relevant training completed letters from clients or supervisors.

From Guide 1: Training Package Assessment Materials Kit, Page 46 © DETYA 2001.

5. Evidence Plans

Evidence Table

Unit/s: PML Test 300 Perform Basic Tests

Work Activity:		Perform Basic Tests		
EVIDENCE GATHERING TASK	TASK	EVIDENCE REQUIREMENTS		
Work Related Performance	Observation of candidate performing two specified tests and completion of associated reports in live	Performs tests on samples in accordance with SOP and enterprise standards.		
	work situation.	Calibrates equipment in accordance with SOP and enterprise standards.		
	Oral questioning by assessor on test and reporting procedures	Performs all stages of testing tasks		
	conducted at same time as observation of candidate.	Performs different testing tasks simultaneously		
	Structured interview with workplace supervisor.	Performs defined work tasks under general or routine supervision		
	Workplace Supervisor.	Performs defined work tasks in accordance with occupational health and safety requirements		
		Responds to contingency situations in accordance with enterprise standards		
		Demonstrates the required underpinning knowledge to support performance of tasks skills		
		Works effectively in team situations demonstrating appropriate communication and interpersonal skills.		

From Participants' Guide Graded Performance Assessment System Professional Development Workshop 4, © Department of Training 2001

5. Evidence Plan

PML ORG 600A

Evidence Plan			
Name of candidate			
Unit(s)		PML ORG 600A	
Registered Training C	Organisation (1997)		
Sources of Evidence	Agreed Evidence	Received	
A1 Practical demonstration	Practical demonstration to a and an induction of new em	ssessor of one team meeting, ployee	
	Practical demonstration of ro (observed by manager, as op		
A2 Third party reports	Manager, Capital Laboratory	Supplies	
A3 Questioning/ interview	Oral questions to be framed		
B1 Personal statement/ resume	To be provided/vital for Elem	ent 2	
B2 Workplace documents (verified)	Two recent reports to QA Committee, two quarterly audit reports, staff roster, production record (actual vs target) over four quarters, annual training plan for personnel, annual operational plan (to flag personal contributions), annual operating budget with variations explained, maintenance program		
B3 Training records	'Train Small Groups' qualification (Element 4), project management course outline (Elements 3, 4)		
B4 Case studies	See notes below		
B5 Projects	See notes below		
B6 Journal/diary	Not required		
B7 Testimonials/ awards	QA Committee award for exc	cellence	
Additional activity/e	xercises:		
 Simulation of co 	omplex problem solving in workp	place (manager to define a relevant	problem)
 Projects to revie 	w staff development processes a	and identification of wastage reduc	tion strategy
		nager to develop budget in next pla	
Arrangements:			
 Assessor will obs 	serve team meeting scheduled fo	or March 16 and induction of new	employee or
March 20			

- March 20
- Manager on leave February 23-28
- Manager will use observation checklist prepared by assessor when a maintenance problem arises
- Assessor to approach supplier for a third party report.
- Evidence to be submitted by April 16
- Interview date April 26
- I agree to the Evidence Plan:

Candidate	Supervisor
Assessor	(signatures)

From Guide 2: Assessing Competencies in Higher Qualifications. Page 42 © DETYA 2001

6. Assessment Plan

This example shows how an Assessment Plan might look. Following this example, an Assessment Plan template is provided.

Assessment Task 4 Workers' Induction Kit

Assessment type: Group project

Assessor: Jane Assessor (assessors will form a team to assess booklet)

Units of competency/elements to be assessed:

FNBFSO5A: Apply health & safety practices in the workplace

- Follow workplace procedures for hazard identification and risk control
- Contribute to participative arrangements for the management of health & safety
- Employ safe working practices

FNBFSO3A: Work as part of a team

- Participate in and cooperate with others in the workgroup
- Manage self

FNBFSO4A: Use technology in the workplace

- Utilise office technology
- Use appropriate software

Brief description of task:

Students work in teams of three to create an induction booklet for beginning workers in the industry detailing the OH&S practices that are to be followed in a workplace. Documents from the workplace or work placement and research are to be used to develop the booklet. Assessment will be on the content and layout of the finished product and also the teamwork demonstrated during the development of the product.

Duration: 8 weeks. Assessment in week 6.

Minimum resources required:

Access to workstation, application software, printer, organisation style guide, bank of images (eg for workstation exercises), documents containing relevant OH&S information which may be copied and pasted.

Instructions for candidates:

Students have received detailed specifications of the content to be included in the booklet and the style to be used.

6. Assessment Plan Template

ASSESSMENT PLAN				
Assessment task:				
Assessment method:				
Assessor/s:				
Date of assessment:				
Units of competency/elements to be assessed:				
Brief description of task:				
Resources required:				
Instructions for candidates:				

From Guide 10: Quality Assurance Guide for Assessment, Page 67 © DETYA 2001

7. Recording Evidence

PRO-FORMA FOR RECORDING EVIDENCE

(as a minimum, the information contained in this Pro-forma must be completed)

RIO Name:					
Date:					
Applicant Name:					
Assessed on (date):					
By (Assessor Name):					
Against the following					
unit(s) of competence/mod	dules:				
and has been assessed as					
the skills and knowledge f		-			
qualification / Statement(s	s) of Attain	ment:			
0 11 1 1 6 11 6 11	,				
On the basis of the follow	ing eviden	ce:			
Portfolio of evidence	*	Comment:			
POLLIONO OF EVIDENCE		Comment.			
Skills demonstration	*	Place:		Date:	
Skills defiloristration		i iacc.		Date.	
Video / audio	*	Comment:			
riaco y adare		<u> </u>			
Certificates	*	Comment:			
Reference:	*	Comment:			
Other:	*	Comment:			
Comments:					
Signed:			Date:		
Workplace	Assessor				

8. Reporting

The Australian Qualifications Framework provides suggested formats for both qualifications and Statements of Attainment. These are reproduced below. Further details on reporting can be found in the Australian Qualifications Framework.

Suggested Form: Qualifications

NAME AND LOGO OF ISSUING BODY (RTO for VET sector)

This is to certify that JANE SMITH

has fulfilled the requirements for

CERTIFICATE IV (or other qualification)

in

INDUSTRY DESCRIPTOR (eg Metals and Engineering)

OCCUPATIONAL STREAM (eg Fabrication)

Dated

Authorised Signatory

Issuing Body

Nationally Recognised Training logo (for VET sector)

State Training Authority logo (for VET sector)

achieved through New Apprenticeship arrangements (if relevant)

State Statutory Authority logo (for schools sector)

The qualification certified herein is recognised within the Australian Qualifications Framework

From Australian Qualifications Framework Implementation Handbook, Page 74, Second Edition, 1998

8. Reporting

Suggested Form: Statement of Attainment

NAME AND LOGO OF ISSUING BODY (RTO for VET sector)

This is a statement that JANE SMITH

has been assessed as having fulfilled the following requirements (list unit(s) of competency attained)

in partial completion of the following qualification

CERTIFICATE IV (or other qualification)

in

INDUSTRY DESCRIPTOR

OCCUPATIONAL STREAM

Dated

Authorised Signatory

Issuing Body

Nationally Recognised Training logo (for VET sector)

State Training Authority logo (for VET sector)
achieved through New Apprenticeship arrangements (if relevant)
State Statutory Authority logo (for schools sector)

This Statement of Attainment is recognised within the Australian Qualifications Framework

From Australian Qualifications Framework Implementation Handbook, Page 76, Second Edition, 1998



9. Assessment Materials or Tools

This set of exemplar materials provides sample assessment materials and tools for the following types of assessment activities:

Direct observation

ii Simulation

iii Oral Questioning

iv Project based assessment

v Portfolio

vi Self-assessment.

i. Assessment Materials and Tools – Direct Observation

Observation Checklist for Orientation to Aged Care Work

Candidate name:	Anna Sim	pson				
Assessor name:	June Walters					
Unit of competency:	CHCA3A Orientation to Aged Care Work					
Workplace:	Golden Square Aged Care Services					
Date of assessment:	12 June					
Procedure:	Greeting of	customers at their hom	e			
During the performance of	skills did t	the candidate:		Yes	No	N/A
• present for work at the a	ppropriate	time?				
• present for work in a clean and tidy manner?						
• greet the client using their preferred name?						
• use appropriate non-verb	al commui	nication?				
• consult the client about his/her preferred routine for the day?						
The candidate's performance was: Not Satisfactory Satisfactory]			
Feedback to candidate:						
Demonstrated lack of confidence in communicating with clients, although all procedures covered.						
Areas of improvement suggested: building relationship with the client, checking the client's understanding, needs or possible problems; feeling more positive and relaxed around the client.						
Anna admitted feeling nervous today and is OK to keep practising these skills and attitudes.						
Agreed to a repeat observation in one month's time.						
Candidate's signature:						
Assessor's signature:						

From Guide 1: Training Package Assessment Materials Kit, Page 52 © DETYA 2001

i. Assessment Materials and Tools - Direct Observation

Observation checklist and supporting questions for mobile crane operations

In this case the checklist (on page 54) identifies a series of "observation points" for assessing mobile crane operations. This checklist is based on a cluster of units from the Transport and Distribution Training Package TDT97A. These are

TDT D1 97A	Shift materials safely
TDT E8 97A	Process workplace documents
TDT F1 97A	Follow occupational health and safety procedures
TDT F2 97A	Conduct housekeeping activities
TDT G1 97A	Work effectively with others
TDT 12 97	Apply customer service skills.

The observation checklist is supported by a list of performance questions (on page 51) which are derived from the Evidence Guides in the six units of competency. These questions focus on the four dimensions of competency, such as contingency management skills (what would you do if you started to feel tired?), job/role environment skills (what are the procedures and policies for housekeeping?) and task management skills (what are your functions when you assist with the setting up and dismantling of mobile cranes?).

i. Assessment Materials and Tools – Direct Observation

Observation checklist - Supervise Mobile Crane Operations

Candidate name:						
Assessor name:						
Unit of competency:	TDT D1 9 TDT E8 9 TDT F1 9 TDT F2 9 TDT G1 9 TDT I2 97	7A 7A 7A 97A	Shift materials safely Process workplace docume Follow occupational health Conduct housekeeping act Work effectively with othe Apply customer service sk	n and sa civities ers	fety pro	ocedures
Name of Workplace:						
Date of assessment:						
Procedure:	Observation of the candidate in assisting in mobile crane operations, including the setting up and dismantling of the crane, stowing and maintenance of gear, housekeeping of crane and lifting site and assistance in lifting operations.					
During the demonstration of	of skills, die	d the	e candidate:	Yes	No	N/A
• follow OH&S procedures related to the operation of a mobile crane under close Supervision?						
 assist with housekeeping procedures both on the vehicle and lifting site? 						
• assist with the setting up and dismantling of the mobile crane?						
• assist with the transport	and opera	tion	of the mobile crane?			
• work effectively within the	ne mobile (crane	e team?			
• carry out the required ca	lculations :	accui	rately?			
• apply customer service powith clients?	rocedures a	and p	policies when dealing			
The candidate's performance	e was:	N	lot Satisfactory	Satisfact	ory [
Feedback to candidate:						
Candidate's signature:						
Assessor's signature:						

From Guide 1: Training Package Assessment Materials Kit, Page 54 © DETYA 2001

i. Assessment Materials and Tools - Direct Observation

Questions to support observation checklist – Supervise Mobile Crane Observation

Candidate name:						
Assessor name:						
Unit of competency:	TDT D1 9	7A	Shift materials safely			
	TDT E8 9	7A	Process workplace doc	uments		
	TDT F1 97	7A	Follow occupational he	ealth and	safety pro	ocedures
	TDT F2 97	7A	Conduct housekeeping	activitie	S	
	TDT G1 9	7A	Work effectively with	others		
	TDT 12 97	7	Apply customer service	e skills		
Name of Workplace:						
Date of assessment:						
Questions to be answered by	by the cand	didate	<u>.</u> .		Satisfactory Yes	Response No
Q1. a) What are the pr	ocedures a	nd po	olicies for housekeeping	a		
· ·			and lifting site?	5		
b) What are your r	b) What are your responsibilities for applying them?					
·	. What are your functions when you assist with the setting up and dismantling of mobile cranes?					
up and dismanding	or moone	Crane	:25!			
'	3. What would you do if you started to feel tired while you were assisting in the setting up and dismantling of a mobile crane?					
·	24. What would you do if you found that the crane or lifting gear is defective or faulty?					
Q5. What would you do an aspect of a liftin			complained to you abou you were working?	ut		
The candidate's performance	e was:	No	ot Satisfactory	Satisf	actory	
Feedback to candidate:						
. ccasact to carratate.						
Candidate's signature:						
Assessor's signature:						

From Guide 1: Training Package Assessment Materials Kit, Page 55 © DETYA 2001

ii. Assessment Materials and Tools - Simulation

HAZARDOUS SPILL RESPONSE SIMULATION

Unit of competency

This activity is based on the following elements from the unit of competency *AUM9001 – Monitor and Maintain Workplace Environment* from the Certificate II in Automotive Manufacture:

- AUM9001A.2 Use appropriate personnel protective equipment
- AUM9001A.4 Take appropriate action to deal with hazards and potential hazards in the workplace
- AUM9001A.5 Complete incident investigation reports as/when required.
- AUM9001A.6 Follow emergency procedures

Scenario

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

Instructions to the assessor

Location: This exercise is to be carried out in 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 PPE (face shield, rubber boots, gloves, apron).

Procedure to follow:

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

From Guide 1: Training Package Assessment Materials Kit, Page 64 © DETYA 2001

ii. Assessment Materials and Tools - Simulation

Checklist - Hazardous Spill Response

Candidate name:				
Assessor name:				
Elements of competency:				
Name of Workplace:				
Date of assessment:		ı		
During the demonstration	of skills, did the candidate:	Yes	No	N/A
• determined source and st	op the flow of the liquid?			
• contain the spill?				
• check safety precautions or	n the relevant Material Safety Data Sheet?			
• wear appropriate Persona	l Protection Equipment (PPE)?			
• cover the spill with absor	bent and allow time to soak?			
• place contaminated absor	bent in a drum or plastic bag?			
• mop area and tip liquid in contaminated absorbent?	nto the drum or bag with			
• dispose of waste via the established procedure?				
• complete an Environmental Incident Investigation Report?				
• work effectively in a team	• work effectively in a team situation?			
• demonstrate appropriate	communication skills?			
• carry out the required tas	sks in the correct sequence?			
The candidate's performanc	e was: Not Satisfactory	Satisfact	ory	
Feedback to candidate:				
Candidate's signature:				
Assessor's signature:				

From Guide 1: Training Package Assessment Materials Kit, Page 65, © DETYA 2001

iii. Assessment Materials and Tools -**Oral Questioning**

Sample completed recording sheet for oral questioning

		ORAL/INTERVIEW QUESTIONS						
		Name of candidate: Jenny Ngo						
		Unit(s): CHCAC3A Orientation to aged care work						
		Element 2. Demonstrate commitment to quality care for aged people						
		Performance criteria: 2.3 Legal responsibilities and duty of care are com	plied with					
		Workplace or RTO: Pennyroyal Centre						
		Conditions: Questions following observation at workplace						
Questions on regulations and		Oral/interview questions	Satisfactory Yes	Response No				
procedures		Q1. What does duty of care mean?						
		Q2. Who do you have a duty of care to?						
Application of underpinning	→	Q3. What does duty of care mean to you in this centre?						
knowledge		Q4. What actions have you taken over the last week that indicates that you have shown duty of care?						
Extension/ probing question		Q5. Give me an example of an action that could occur in this centre that you think would not show that appropriate duty of care has been taken.						
		Q6. What would you do if you saw that action occurring at this centre?						
Contingency question		The candidate's underpinning knowledge was: Satisfactory Not		ry 🗌				
		Signed by the Assessor Date						
		Feedback to candidate:						
		Acceptable answers are: Q1: Taking steps to reduce the possibility of risk or harm to a person with the person's right to make an informed decision. Q2: Customers, self, co-workers, others around you at work, other services etc. Q3: etc. Q4 Q5 Q6						

From Guide 1: Training Package Assessment Materials Kit, Page 75, © DETYA 2001

iv. Assessment Materials and Tools – Project Based Assessment

Sample Workplace Project

PROJECT INSTRUCTIONS

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

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

How to prepare

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

You will have to consider the placement of furniture and equipment, the accessibility of toys and play materials, visual stimulation, lighting, ventilation and other relevant factors. Readings that can help you with this project are:

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

How to perform

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

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

Evidence gathering

1. Self assessment

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

- Is the environment safe?
- Is the environment non-threatening?
- Is the environment stimulating?
- Is the environment challenging?
- s the range of experiences sufficient for the child to make choices?
- Did your interactions with children support children's play?
- You should provide examples that illustrate your answers.

2. Observation

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

From Guide 1: Training Package Assessment Materials Kit, Page 90, © DETYA 2001

v. Assessment Materials and Tools - Portfolio

Sample Portfolio instructions

Portfolio for: BSBCMN306A Produce business documents

Due date:

Description of the portfolio:

The portfolio should include samples of business documents you have produced or edited within the last 6 months. Supporting materials must also be included wherever possible you must include paper and electronic files for work samples.

Assessment Criteria:

Documents will be checked for:

- appropriate style and layout
- use of software features for consistency and efficient production such as font styles, text formatting, style sheets and tables
- appropriate use of basic graphic elements including logos, rules and shading

Presentation of the portfolio

Each work sample in your portfolio will need to be supported by a statement which outlines:

- the purpose of the document and the organisational requirements you had to consider
- how the document relates to the requirements of the unit of competency
- how the design and layout of the document were determined
- the reasons why specific equipment and software features were used
- the resources you used in preparing the documents.

Portfolio contents:

- paper and electronic files that you have produced or edited
- related planning notes and requirements you followed for the design of the documents
- letters from supervisors or clients that verify your involvement with the production of the documents
- work samples and/or statements of achievements from any relevant learning exercises, including computer based tutorials and courses.

Progress and feedback:

This portfolio should be ongoing, to include samples of work you do over the period of this assessment.

The portfolio will be checked as you progress through this assessment. Feedback about the quality of your evidence will be given before the final due date.

The final presentation will be on the agreed date.

From Guide 1: Training Package Assessment Materials Kit, Page 94, © DETYA 2001

v. Assessment Materials and Tools - Portfolio

Sample Portfolio Evaluation Form

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

From Guide 1: Training Package Assessment Materials Kit, Page 100, © DETYA 2001

vi. Assessment Materials and Tools – Self Assessment

Sample Self-assessment Tool

SELF-ASSESSMENT GUIDE: Certificate III in Business Services				
Unit: BSBCMN306A: Produce business do	ocuments			
 Instructions: Read each of the questions in the left hand columns of the chart Place a tick in the box if you believe that you can perform the tasks described Complete the column on the right hand side by listing any evidence you have to show that you perform these tasks. 				
CAN I?	EVIDENCE SUGGESTIONS			
Produce business documents (such as reports, proposals, databases, newsletters, web pages) and describe their purpose?	I can show examples of documents I've produced myself. These would be accounting statements, presentation slides and a website I created using HTML.			
Explain why specific type and layout features are used in different documents?	I use style guides, templates and my employer usually gives me instructions for how these documents should look.			
☐ Identify the hardware (such as a computer, scanner and printer) and software needed to produce a document?	I did a short course in scanning images for print and screens. This explained the technical issues involved in the process.			
List all the organisation's requirements for creating, using and saving computer files?	I can show how I organise and access files from the server. I can show a paper filing system that I set up.			
Use software confidently and efficiently to achieve design and layout features?	I feel I am now confident with the software after regularly producing documents at work for six months.			
Check documents for errors and make the corrections to type and layout?	My employer gives me these jobs to do.			
Use self-help resources such as online help or manuals to help solve problems or learn more about software features?	I use tutorials and manuals to teach myself about the software			
☐ Identify and apply the health and safety issues associated with the technology and environment you work with?	I attended a course about OHS in the workplace and it covered issues for workstations and office equipment.			
Candidate's name:	Date:			

From Guide 1: Training Package Assessment Materials Kit, Page 37, © DETYA 2001

10. Checklists and guidelines

This set of exemplar material contains the following checklists and guidelines:

- i. Checklist for validity, reliability, fairness and flexibility
- ii. Self-audit format
- iii. Guidelines for workplace simulations
- iv. Use of third party evidence
- v. Workplace assessment checklist
- vi. Effective questioning guidelines
- vii. Guidelines for developing knowledge based tests
- vii. Assessment Planning Guidelines
- viii. Guidelines for assessing distance learners
- ix. Checklist for special needs of candidates.

i. Checklists and guidelines – Checklist for validity, reliability, fairness and flexibility

Use this checklist to assist you to design assessment tools and strategies. Gauge your assessment against the following statements, and where you are unable to answer YES, re-work your approach.

VA	LIDITY	Yes/No	Comment
1.	The assessment tasks are based on realistic workplace activities and contexts.	Y/N	
2.	The evidence relates directly to the units of competence, or learning outcomes, being assessed.	Y/N	
3.	The instrument will assess the candidate's ability to meet the level of performance required by the unit(s) of competency.	Y/N	
4.	The assessment tasks have been designed to allow holistic and integrated assessment of knowledge, skills and attitudes.	Y/N	
5.	More than one task and source of evidence will be used as the basis for judgement, with evidence drawn from a variety of performances over time where practical.	Y/N	
6.	Different sources of evidence of knowledge and skills that underpin the unit of competency will be considered in the assessment.	Y/N	
7.	The purpose, boundaries and limitations of the interpretations of evidence have been clearly identified.	Y/N	
8.	The methods and instruments selected are appropriate for the assessment system specified by the industry (where applicable).	Y/N	
9.	Where practical, the methods and processes for assessment have been validated by another person with expertise in the competencies being assessed.	Y/N	

i. Checklists and guidelines – Checklist for validity, reliability, fairness and flexibility

RE	LIABILITY	Yes/No	Comment
1.	Critical elements have been identified and sampling will be used to ensure that the most important aspects are assessed.	Y/N	
2.	Assessment exemplars and checklists have been prepared for use by assessors.	Y/N	
3.	Guides for observing and recording evidence are based on units of competency.	Y/N	
4.	Clear guidelines are available to ensure that assessors make consistent decisions over time and with different candidates.	Y/N	
5.	Where multiple assessors are involved in conducting parallel assessment events, the strategies used have been agreed.	Y/N	
6.	Consistent instructions to candidates and procedures for undertaking assessment are available to all assessors.	Y/N	
7.	Where work samples are to be used as evidence, candidates will receive specific guidelines on requirements, including information about ensuring authenticity and currency of the evidence.	Y/N	
8.	Where a unit or units of competency are to be assessed in different situations, the situations are generally comparable.	Y/N	

FL	EXIBILITY	Yes/No	Comment
1.	The assessment approach can be adapted to meet the needs of all candidates and workplaces.	Y/N	
2.	Where practical and appropriate, assessment will be negotiated and agreed between the assessor and the candidate.	Y/N	
3.	Candidates will be able to have their previous experience or expertise recognised.	Y/N	
4.	The assessment strategy adequately covers both the on- and off-the-job components of the training.	Y/N	

i. Checklists and guidelines – Checklist for validity, reliability, fairness and flexibility

FA	IRNESS	Yes/No	Comment
1.	Candidates will be given clear and timely information on assessment.	Y/N	
2.	Information for candidates will cover assessment methods, procedures, the criteria against which they will be assessed, when and how they will receive feedback and the mechanism for appeal.	Y/N	
3.	Candidates will be included in discussions on the choice of assessment methods and timing.	Y/N	
4.	Candidates will be made aware of their responsibilities with regard to assessment.	Y/N	
5.	The assessment approach chosen caters for the language, literacy and numeracy needs of all candidates.	Y/N	
6.	The special geographic, financial or social needs of candidates have been considered in the development and conduct of the assessment.	Y/N	
7.	Allowable adjustment can be made to the assessment strategy to ensure equity for all candidates, while maintaining the integrity of the assessment outcomes.	Y/N	
8.	Opportunities for feedback and review of all aspects of assessment will be provided to candidates.	/N	
9.	There are clearly documented mechanisms for appeal against assessment processes and decisions and these will be provided to candidates prior to assessment.	Y/N	

From Guide 10: Quality Assurance Guide for Assessment, Pages 72-74 © DETYA 2001

ii. Checklists and guidelines - Self Audit Format

Internal audit checklist

RTO name:	Insert the name of the RTO.					
Partner organisation(s) (if relevant)	: Insert the name of the partner organisation(s).					
Qualification(s):	Insert the scope of the sample audited, ie title of qualifications.					
Units of competency:	Insert the scope of the sample audited, ie title of units of competency reviewed.					
People interviewed:	Insert the names of people interviewed in the process. This may be contact staff, assessors and/or candidates.					
Sites visited:	Insert the names of the sites visited.					
Date(s) of audit:	Insert the dates on which the audit was undertaken.					
possible timeline.						
Reviewer(s):	Date:					

From Guide 10: Quality Assurance Guide for Assessment, Page 81, © DETYA 2001

ii. Checklists and guidelines - Self Audit Format

EVIDENCE TO BE PROVIDED	Yes/No	Action
Partnership arrangement		
Are arrangements entered on register?		
Are arrangements documented? Do they include: • clear roles and responsibilities of the partner organisations? • quality assurance arrangements?		
Policy related material		
Evidence of the following policy document(s) and procedures to ensure quality of assessment services, including: • Code of Practice or policy for assessment (including review mechanisms) • policy for Recognition processes (RPL/RCC) • grievance/appeals policy • business plan • risk management strategy • compliance with State & Territory laws and Commonwealth State legislation • protection of student fees and/or refund policy. Procedure/Guideline information		
Evidence of information to assessors (eg process,		
roles and responsibilities)		
Evidence of information to candidates (eg process, rights and responsibilities) is: • clear and unambiguous • accurate • provided prior to enrolment/assessment.		
Assessment		
 Evidence of: relevant copies of Training Package/accredited course assessment plans (evidence of industry/enterprise consultation, adherence to principles of validity, reliability, fairness and flexibility) copies of assessment tools (evidence of industry/enterprise consultation) samples of evidence provided (where feasible) details of assessment outcomes recorded. 		
Validation		
Evidence of policy and procedure for validation regular validation activities (eg minutes, summary of outcomes, action taken) evaluation of feedback from candidates industry/enterprise participation (if required).		

Evidence to be provided	Yes/No	Action
Assessor qualifications		
Profiles of assessors that includes:		
 assessment qualifications industry/technical qualifications relevant current industry experience relevant unit(s) of competency they are assessing records of professional development. 		
Access and equity		
Evidence of:		
 access and equity issues being addressed in assessment documentation/strategies support available in the assessment process. 		
Record keeping		
A secure system that includes: • enrolment details • assessment outcomes • information on appeals/grievances • qualifications /Statements of Attainment issued.		
Adequate procedure for the transfer of data to relevant authorities to ensure integrity of the information. (eg partnerships arrangements, State/Territory requirements).		
Is there an appropriate procedure for archiving data?		
Marketing information		
Is all marketing material accurate and ethical?		
Statements of Attainment/Qualifications		
Are Statements of Attainment/qualifications:		
Is there evidence of mutual recognition?		
Resources		
Are there appropriate assessment: • resources? • equipment? • facilities?		
Do these meet relevant occupational health and safety and legislative requirements?		
Documentation of quality assurance strategies		
Is there a process and evidence of action of: • monitoring assessment outcomes? • results of surveys/evaluations? • annual audit or self-assessment of assessment system?		

From Guide 10: Quality Assurance Guide for Assessment, Pages 82-83 © DETYA 2001

iii. Checklists and guidelines – Guidelines for Workplace Simulation

Before making a decision to use simulation, consider:

- Training Package requirements and industry views on the use of simulation
- the benefits and limitations of using a simulation
- learner characteristics and needs
- available workplace opportunities
- the cost of establishing and using simulated environments
- how the simulated assessment can be combined with other forms of evidence gathering such as logbooks, portfolios or work placements.

Preparing the assessment event

- If you are assessing within a VET training institution, consider forming a partnership with local enterprises who may provide access to a workplace or equipment, authentic workplace documents or advice on how to create a realistic simulated environment.
- Review the whole qualification or units of competence to be assessed to build in opportunities for assessing whole work tasks or clusters of competencies. Where appropriate include opportunities to assess relevant generic competencies such as teamwork, communication, occupational health and safety and leadership.
- Include contingencies as part of the assessment design. For example, candidates might be required to deal with the pressures of telephones, time constraints and interruptions to workflow.
- Focus the assessment activity on processes as much as product.
- Apply operational procedures and occupational health and safety requirements as they would be in a real work setting.
- Validate methods, context and concepts with industry/workplace representatives to ensure the accuracy of the assessment approach.
- Prepare an observation checklist that clearly outlines the critical performance criteria.

Preparing the physical location

- Consult with workplace/industry experts on what should be included.
- Check real workplaces to get ideas about current practice and ways of setting up work spaces.
- Where practical, alter the training environment so that it reflects a real workplace.
- Use equipment and other facilities that are as close to those used by industry as possible.



Preparing the candidate(s)

- Give candidates a pre-assessment briefing outlining the assessment method, process and tools.
- Discuss the criteria against which their performance is to be assessed.
- Give candidates adequate information about the role they are to undertake and the significance of the event.

Conducting the assessment

- Where practical, involve industry experts in the assessment process and the decision making.
- Where appropriate, videotape the performance of the candidate.
- Use a checklist of critical performance criteria to focus on the observation of candidate performance.
- Use self-assessment, peer assessment and debriefing activities to add to the evidence gathered and help candidates develop reflective skills.

From Guide 10: Quality Assurance Guide for Assessment, Pages 88-89 © DETYA 2001

iv. Checklists and guidelines – Use of Third Party Evidence

Guidelines for use of third party evidence

Third party evidence is evidence gathered from workplace supervisors, peers and others to support the making of a judgement. An assessor cannot always observe a candidate for a long period of time and some competency standards are difficult to observe. Therefore third party evidence can be an essential piece of evidence in the assessment process.

Application

Assessors and RTOs should put in place guidelines for the systematic collection of quality third party evidence. These may be in the form of information, advice and checklists for the relevant third parties. This should assist organisations to comply with the *AQTF Standards for RTOs*, especially Standards 8 and 9.

Benefits

It is important to support the collection of quality third party evidence as it offers assessors a means of gathering authentic and valid evidence from often difficult contexts in a cost-effective way. Third party reports can be used effectively in the evidence gathering process when:

- the evidence is provided by someone who is in a position to make a valid comment on the candidate's performance, for example, a line manager or a leading hand
- the evidence is presented in written/official form, includes the name and contact details of the third party and can be easily verified
- it is difficult to gather direct evidence, for example, if a candidate is located in a remote area or is in a confidential situation
- there is a need to confirm the authenticity and currency of evidence provided by a candidate, for example, to confirm that product evidence is the candidate's own work.

Considerations

There are several things to consider when preparing guidelines for gathering third party evidence.

- A decision needs to be made about the appropriate balance between third party evidence and evidence drawn from other sources.
- The RTO needs to resource the initial development of the guidelines.
- Guidelines require a validation process prior to dissemination, and this may involve industry experts.
- RTOs and individual assessors must implement version control and archive procedures.

From Guide 10: Quality Assurance Guide for Assessment, Page 32 © DETYA 2001

iv. Checklists and guidelines – Use of Third Party Evidence

Third Party Evidence Form

Confidential

Name of candidate:	
RTO:	
Unit(s) of competency:	
As part of the assessment for the units of competency, we are seeking exjudgement about the candidate's competence. As part of the evidence of seeking reports from the supervisor and other people who work closely w	competence we are
Name of supervisor:	
Workplace:	
Address:	
Phone:	
Have you read the units of competency that you are commenting on?	Yes No
Has the assessor explained the purpose of the candidate's assessment?	Yes No
Are you aware that the candidate will see a copy of this form?	Yes No
Are you willing to be contacted should further verification of this statement be required?	Yes No
What is your relationship to the candidate?	
How long have you worked with the person being assessed?	
How closely do you work with the candidate in the area being asse	essed?
What is your technical experience and/or qualification(s) in the are (Include any assessment or training qualifications.)	ea being assessed?

perform job tasks to an acceptable level?		Yes	□ No
manage job tasks effectively?		Yes	□ No
implement safe working practices?		Yes	□ No
solve problems on the job?		Yes	No
work well with others?		Yes	No
find it easy to move to new tasks?		Yes	□ No
cope with unusual or non-routine situations?		Yes	□ No
Identify any further training needs for the ca	ndidate:		
ldentify any further training needs for the ca	ndidate:		
Identify any further training needs for the ca	ndidate:		
Identify any further training needs for the ca	ndidate:		
dentify any further training needs for the ca	ndidate:		
Identify any further training needs for the ca	ndidate:		
	ndidate:		
Any other comments:	Date:		
Any other comments: Supervisor signature:			

v. Checklists and guidelines – Workplace Assessment Checklist

Workplace Assessment Checklist						
Name of enterprise:						
Address:						
Phone:	Email:					
Fax:	Mobile:					
Workplace supervisor:						
Trainee:						
Qualifications:						
Things to discuss with	supervisor at initial meeting (Tick when completed):					
Contract of training	g – Training Package and training program					
Communication arr	angements between workplace, NAC and RTO					
RTO assessor role						
Contact details for	RTO assessor					
Workplace supervise	Workplace supervisor role – evidence collection, training supervision					
Assessor qualifications						
On- the-job assessment arrangements						
Off- the-job assessment arrangements						
RTO assessment quality assurance arrangements						
Use of technical ex	Use of technical experts in on-the-job assessments					
Opportunities for collection of workplace evidence						
Assessment recordi	ng and reporting arrangements					
Reassessment and appeals process						
Protocols for RTO staff to follow when visiting/contacting workplace						
Any special requirements of workplace.						

From Guide 1: Training Package Assessment Materials Kit, Page 39 © DETYA 2001

vi. Checklists and guidelines – Effective Questioning Guidelines

Effective questioning guidelines

The assessor should:

- keep questions short and focused on one key concept
- ensure that questions are formal and structured
- test the questions to check that they are not ambiguous
- use 'open-ended questions such as 'what if...?' and 'why...?' questions, rather than closed questions
- keep questions clear and straight forward and ask one at a time
- link the questions to work experience
- use words that the candidate will understand
- look at the candidate when asking questions
- ensure that the candidate understands the questions
- ask the candidate to clarify their answer if the assessor does not understand the response
- confirm the candidate's response by saying the answer back in his/her own words
- document responses on a checklist or recording sheet
- time questions so that candidates are not interrupted whilst carrying out a task that requires full concentration.
- encourage a conversational approach with the candidate when appropriate, to put him or her at ease and also to make the questioning flow with the task
- use questions or statements as prompts for keeping focused on the purpose of the questions and the kind of evidence being collected
- keep questions flexible and adjust language to a suitable level
- listen carefully to the answers for opportunities to find unexpected evidence
- follow up responses with further questions, if useful, to draw out more evidence or to make links between knowledge areas
- make up a list of acceptable responses to ensure reliability of assessments

Assessors should avoid:

- asking two questions in one for example: What are the two methods of whipping cream and what ingredients do you need for each? Instead ask:
 - What are the two methods for whipping cream?
 - What ingredients do you need for the first method?

- asking leading questions in which the expected answer is implied, for example:
 - You would check for damage before packing the items, wouldn't you?
 Instead ask:
 - What precautions would you take before packing cartons?
- asking long-winded, complicated questions, for example:
 - You are driving your vehicle. You are approaching a busy intersection. You are in top gear and your right indicator is flashing. There are three vehicles approaching from the right. It is late in the evening and it is raining. You turn into the right lane and apply the brakes, but get no response. What do you have to consider when making a decision as to what to do?

Instead give the candidate:

- a scenario to read rather than asking a question
- break the scenario into a series of shorter questions.
- asking double negative questions, for example: It wouldn't be incorrect to follow that procedure, would it? Instead ask:
 - What is the correct procedure to follow in this situation?
- asking trick questions for example: When is it safe to tip hazardous waste down storm water drains? Instead ask:
 - How would you dispose of hazardous waste?
- asking the candidate to outline knowledge of a topic without giving them a guide for how much information is needed, for example: Outline the health and safety issues that you may need to consider for adults when designing an environment for children. Instead ask:
 - List three key health and safety issues you would need to consider when designing an environment for children.
- inadvertently help the candidate to give a correct answer by prompting, giving the candidate the answers, or by giving cues through the use of body language such as a smile. a nod or a wink
 - Assessor: What type of thickening agent would you use?' Candidate ...er
 - Assessor: You'd use flour wouldn't you? Candidate: ...er ...yes!

Recording responses

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

From Guide 1: Training Package Assessment Materials Kit, Pages 71-73 © DETYA 2001

vii. Checklists and guidelines – Guidelines for developing Knowledge Based Tests

Before writing or selecting questions

Have you identified the purpose of the test?

Have you identified the underpinning knowledge in the relevant unit(s) of competency? Have you used a specification table to ensure that all relevant underpinning knowledge is covered?

Have you addressed all of the underpinning knowledge contained within the unit(s) of competency? Have you decided on the most appropriate types of questions for the purpose of the test? Does the level of difficulty of the test match the AQF level?

Developing questions

Are the questions clearly worded, concise and grammatically correct?

Have you used language and terminology appropriate for the characteristics of the candidate? Have you checked that the questions are not beyond the scope of the unit(s) or competency or the AQF level?

Have you used a variety of question formats?

Have you included enough questions to cover the underpinning knowledge adequately?

Have you estimated the marking time for the test?

Are your questions biased? Eg do these questions include language/terminology that will be unfamiliar or insulting to certain groups?

Have you checked for possible inclusion of stereotypes in your questions?

Have you assessed the level of difficulty of the test questions?

Have you allocated sufficient time to do the test?

Have you piloted these question types?

Have you planned the resources necessary to administer the test?

If your test is a computer-based test, will all the candidates have access to computers when the test is being administered?

Test structure

Have you estimated the duration of the test accurately for the group of candidates? If you are testing underpinning knowledge of a number of competency units, have you weighted them appropriately (ie ensured that a greater number of questions is allocated to units with a higher nominal duration hours)?

Are there clear instructions for the candidate?

Test layout

Have you used an appropriate font for the questions, which is easy to read? Is there appropriate space between questions to ensure that they are easy to read? Have you checked that the questions do not run over to the next page? Have you included sufficient space for written answers? Have you considered a separate answer booklet?

Marking and scoring

Have you compiled a marking guide indicating exactly where and how marks will be allocated?

From Designing Tests, © WA Department of Training/VETASSESS, 2000

viii. Checklists and guidelines – Assessment Planning Guidelines

Assessment Planning Checklist – to assist in the planning of assessment activities

Unit of competency/elements to be assessed:			
Date:			
1. Collect and analyse information	Comment:		
Collect industry/training documentation, including: Training Package and/or competency standards assessment guidelines, resources curriculum other relevant documents			
Define industry/training requirements, including: type of enterprise partnership preferences cost structure for assessment			
2. Identify the purpose and what will be assessed	Comment:		
Identify why candidates will present for assessment:			
 ☐ recognition ☐ award of qualification ☐ licensing ☐ enterprise performance appraisal ☐ promotion/career development ☐ other 			
Define what to assess, by: analysing unit(s) of competency, and module/learning outcomes requirements determining how best to cluster competencies to be assessed mapping competencies against curriculum where appropriate collecting logbooks and other documents supplied by industry			
3. Determine where assessment will take place	Comment:		
Determine where assessment will be carried out: assessment entirely off-the-job assessment of underpinning knowledge/skills off-the-job, targeted assessment in the workplace assessment integrated on- and off-the-job assessment entirely in the workplace assessment off-site:			
4. Identify how to assess	Comment:		
Identify techniques for collecting evidence including: observation of performance questioning – oral or written (integrated) project work			

group work/task written tests critical incident scenarios samples of work, log of experience, portfolio, journal, workbook certificates, documents, study records surveys, reports from others role play simulation Consider other techniques, including: self-assessment	
peer assessment	
5. Determine how evidence will be collected and recorded including:	Comment:
Determine evidence gathering tools:	
☐ Training Record Book or logbook	
performance checklist with commentsknowledge checklist	
checklist for integrated assessment	
evaluation/marking guide – for reports/projects	
☐ list of questions – written and/or oral	
 self and peer assessment reports evaluation guide and annotated models for work samples 	
and/or performance	
other proformas/templates	
Set up administrative procedures for:	
\Box ecognition process (recognition of prior learning/current	
competencies)	
provision of feedback	
 ☐ recording and reporting of results ☐ process for review and continuous improvement 	
Determine who will be responsible for record keeping:	
supervisor/mentor/trainer	
assessor	
other person	
Define the type and level of integration:	
integration of aspects of work performance	
holistic tasks, projects	
☐ integration of on- and off-the-job performance	
Where partnership arrangements exist, set up agreements that define who will make assessment judgments:	
RTO in partnership with enterprise	
RTO in partnership with industry	

From Guide 10: Quality Assurance Guide for Assessment, Pages 68-69 © DETYA 2001

ix. Checklists and guidelines – Guidelines for assessing Distance Learners

Many assessors believe that the possible methods of assessment for distance learners are very limited. However, this is not necessarily the case. Distance learners, whether learning through on-line training or some other form of learning, can undertake many of the assessment activities undertaken by other candidates. However, assessors will need to develop a number of strategies to make this work, including using third party evidence, authenticating evidence more carefully, and enlisting the support of workplace assessors where appropriate.

The following table notes evidence gathering techniques suitable for distance learners and the issues to consider when assessing distance learners.

EVIDENCE GATHERING TECHNIQUE	ISSUES TO CONSIDER FOR DISTANCE LEARNERS
Observations	Involve third party to undertake observation using observation tool Supplement with oral questioning (by phone) or other forms of evidence Assessor can travel to candidate for observation/verification and feedback on a range of evidence collection
Simulations	Provide written case study for short answer responses and oral questioning Use video camera technology if available for role plays or simulations
Questioning	Use computer technology, written answers or phone Authenticate written answers through use of third party and/or phone discussions
Review of products	Work samples or products can be posted to assessor Draft versions can be sent in advance to assist with authentication
Portfolio	Portfolio evidence can be posted or emailed to assessor Proposed content and layout can be sent in advance to assist with authentication
Third party feedback	Can be used through phone, post or email communications with third party
Structured activities	Presentations can be made to workplace or community and then video sent to assessor Candidates can negotiate with workplace supervisor to undertake specified project team activities

Knowledge based tests

Can be undertaken on-line with additional evidence collected to establish authenticity
Third party can be involved to establish authenticity and ensure candidate completes test in appropriate time and environment
Short answer 'open book' tests can be undertaken, supplemented by other forms of evidence to show consistency of competency over time.

Self-assessment

Increased use of formative assessments, such as on-line self-assessments, can be used to better establish the candidates readiness for assessment and to enhance the assessor's ability to establish authenticity of evidence collected for the assessments.

Developed by Nexus Strategic Solutions, © WA Department of Training 2001

x. Checklists and guidelines – Checklist for Special Needs of Candidates

Assessment procedures, tools and materials can be adapted to ensure that the needs and situation of specific candidates are met. These adaptations are allowable provided they do not compromise any of the rules of evidence or other requirements for high quality assessments.

In order to ensure that a candidate's special needs are addressed, the following questions could be asked. If any of the answers are yes, further action to customise the assessment needs to be taken.

- Does the candidate live in a remote location and will this create any barriers in relation to the assessment procedure or evidence gathering techniques? For example:
 - Some communities don't have access to certain workplace equipment
 - Candidates in custodial situations may require assessments to be reworked to enable them to demonstrate their competencies in their particular situation
 - If a candidate has to travel to a metropolitan area for an assessment, the additional costs and stress involved in this needs to be considered.
- Does the candidate have any language, literacy or numeracy needs?
- Does the assessment procedure require any language, literacy or numeracy beyond those outlined in the competencies being assessed?
- Does the assessment involve anything that may be contrary to, or uncomfortable because of, a candidate's cultural background? For example:
 - Indigenous people may feel more comfortable with group learning than individual learning, and may not feel comfortable with assessment procedures involving competitive behaviour
 - Candidates from some cultural backgrounds may not understand assessments based on hypothetical situations or role plays
 - Some candidates may benefit from the presence of a support person while being assessed (eg someone from their family or their community)
 - Candidates from some backgrounds may have sensitivities in relation to 'men's' and 'women's' business and require certain assessments to occur in gender-segmented environments (eg oral questioning about sexual health may need to be done by an assessor of the same gender as the candidate)
 - Candidates from some cultural backgrounds may not consider it appropriate to make 'an educated guess' and therefore fail to complete certain types of knowledge based tests like multiple choices or true/false tests
 - Candidates from some cultural backgrounds may view it as appropriate to underassess their level of skills and therefore perform badly in certain types of assessments such as self-assessments or oral questioning
 - Candidate's religious beliefs may not allow them to undertake certain activities.

- Does the assessment procedure involve assessing the candidate in front of others in a situation that may be stressful (eq a women in a non-traditional field)?
- Does the candidate have a disability which may require some adjustments? For example:
 - A candidate with a learning disability may need additional time for assessment activities such as knowledge based tests
 - A candidate with a sensory impairment may need additional lighting or translation or special technology to communicate or demonstrate certain knowledge and skills
 - A candidate with a physical disability or mobility limitations may require an assistant or adjusted equipment in certain environments
 - A candidate with a psychiatric disability or mental health problem may require additional explanation or discussion in advance of an assessment in order to defuse any additional stress assessment may cause
 - A candidate with an intellectual disability may be uncomfortable being assessed in an unfamiliar environment.

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11. Graded Performance Overview

A Joint Initiative between the Western Australian Department of Training and the WA TAFE Sector

Graded performance, sometimes known as "graded assessment", is the process of awarding learners a grade based on a higher level of performance once competency has been achieved. Learners are assessed against an additional set of criteria to determine how well they perform against particular assessment tasks.

The West Australian initiated Graded Performance model has been developed in response to requests from learners, trainers/assessors, employers and industry for a grading system that recognises excellence in learner performance. Learners, Registered Training Organisations and Higher Education facilities have been seeking further information on learner performance to aid in learner pathways to further study.

The benefits of a Graded Performance System include:

- Students are encouraged to strive for excellence in their studies
- Lecturers and employers can reward higher levels of performance amongst their learners
- It will ensure greater articulation in to higher education, and
- The adoption of a single reporting system across the VET system.

The five *Grading Criteria* used in the Graded Performance model are:

- Demonstrated breadth of underpinning knowledge
- Communication, people networking, language and interpersonal skills
- Techniques and processes
- Work organisation, and
- Level of independence and performance of work tasks.

Graded Performance builds on the quality assessment processes already developed by Registered Training Organisations (and detailed in the standards contained in the Australian Quality Training Framework) and involves the following aspects of good practice in assessment:

- 1. Units of competency are grouped together (or clustered) to reflect real work tasks
- 2. Learners are provided with an assessment plan that details
 - ✓ What unit or cluster of units are being assessed
 - ✓ How will the units be assessed
 - ✓ Timing of the assessment
 - ✓ Where the assessment will occur
 - ✓ Resource requirements
 - ✓ Additional grading criteria against which the learner will be judged



- 3. At least two assessment tools are used to assess the unit (or cluster of units). These tools are chosen from a range of methods including:
 - ✓ Work related performance
 - ✓ Work related project
 - ✓ Work related product or service
 - ✓ Work related practical task
 - ✓ Work related portfolio
 - ✓ Knowledge based test
- 4. The two assessment tools are used to make the following judgements:
 - ✓ Is the learner competent or not yet competent
 - ✓ If the learner is not yet competent, grading does not apply, but the RTO rules for reassessment do_apply
 - If the learner is competent, no additional assessment evidence is required to apply the grading and make a judgement about the learners level of performance
 - ✓ The assessment evidence information is used to allocate a level of performance against each of the grading criteria
 - Depending on results, this is reported as either Competent, Performance with Merit or Performance with Distinction.

In the interests of transparent, valid, reliable and consistent assessment it is important that all trainers assessing in the qualifications involved in the model judge the performance of learners against a common set of criteria. The criteria developed for the Western Australian model is essentially based on the *Key Competencies* (as they appear in the Training Packages, with some slight variation), the *Dimensions of Competency*, and the *requirements of the Unit of Competency*.

For further information contact the Quality Assurance and Recognition branch of the Department of Training on 08 9235 6138 or accrec@royalst.training.wa.gov.au

Section 5: Resources Guide

Introduction

This Section provides a guide to useful resources for trainers, assessors and other parties involved in competency based assessments.

The resources are noted under three different headings:

- Websites providing ongoing information relevant to competency based assessment
- Resources on particular aspects of competency based assessment
- Organisations providing information or assistance on competency based assessment.

Websites

providing ongoing information relevant to competency based assessment

<u>www.training.wa.gov.au</u> – the WA Department of Training website, which includes links to information updates, news, publications and links to other sites, including WestOne and the Training Information Centre.

<u>www.tac.wa.gov.au</u> – the website of the Training Accreditation Council, the Registering and Course Accrediting body in WA.

<u>www.anta.gov.au</u> – ANTA's website, providing general information on vocational education and training issues and links to other relevant websites.

<u>www.anta.gov.au/aqtf</u> – Website devoted to the Australian Quality Training Framework (previously Australian Recognition Framework).

<u>www.ntis.gov.au</u> – Comprehensive national training information website, which includes information on Training Packages, Registered Training Providers and other key information.

www.agf.edu.au - the Australian Qualifications Framework website.

www.detya.gov.au - the website of the Department of Education, Training and Youth Affairs.

www.nawtb.com.au - the website of the National Assessors and Workplace Trainers Body.

Resources on particular aspects of competency based assessment

Training Package Assessment Materials Project (© Department of Education Training and Youth Affairs - DETYA, 2001)

A DETYA funded ANTA managed project resulting in ten guides for assessors and those managing assessment processes within the VET sector. High quality, up to date and user-friendly documents including plenty of templates, examples and case studies, available in hard copy and CD format.

Guide 1: Training Package assessment materials kit

Guide 2: Assessing competencies in higher qualifications

Guide 3: Recognition resource

Guide 4: Kit to support assessor training

Guide 5: Candidate's Kit: Guide to assessment in New Apprenticeships

Guide 6: Assessment approaches for small workplaces

Guide 7: Assessment using partnership arrangements

Guide 8: Strategies for ensuring consistency in assessment

Guide 9: Networking for assessors

Guide 10: Quality assurance guide for assessment.

Available from: Australian Training Products

Designing Tests: Guidelines for Designing Knowledge Based Tests for Training Packages (© Department of Training, 2000)

Useful and clear advice for writing knowledge based tests of all sorts, developed by the WA Department of Training and VETASSESS.

Available from: Quality Assurance and Recognition, Department of Training.

Skills Recognition Framework for Vocational Education and Training in Western Australia (© Department of Training, 2000)

Policy and guidance on skills recognition, including Recognition of Prior Learning, Recognition of Current Competencies, Credit Transfer and Exemptions.

Available from: Quality Assurance and Recognition, Department of Training.

Building Diversity in Vocational Education and Training and Employment (© Department of Training, 1999)

Policy and guidance on providing training relevant to a diverse range of clients.

Available from: Department of Training.

Showcasing RTOs: the ARF at work (© ANTA, 1999)

Case study stories.

Available from: Quality Assurance and Recognition, Department of Training.

Process for Training Package Development (© ANTA, 1999)

Policy and guidance for those developing Training Packages, including the assessment information required to be included in Training Packages.

Available from: Australian National Training Authority.

Using Training Packages: From Training Package to Learning Program (© Department of Training, 2000)

User-friendly explanation of the components of Training Packages and how to interpret them for training delivery and assessment purposes.

Available from: Quality Assurance and Recognition, Department of Training.

Units BSZ401A, BSZ402A and BSZ403A from Training Package for Workplace Assessors and Trainers. (© ANTA)

Competency Standards required by all VET assessors.

Available from: National Assessors and Workplace Trainers Body.

Organisations providing information or assistance on competency based assessment

WA Department of Training

Quality Assurance and Recognition Branch (QAR)

The QAR Branch is responsible for the provision of policy advice on major vocational education and training issues as it relates to quality of the VET sector.

Level 2, 151 Royal Street East Perth WA 6004

Internet: <u>www.training.wa.gov.au</u>

Telephone: 08 9235 6127 Facsimile: 08 9235 6142

Email: accrec@royalst.training.wa.gov.au

Australian National Training Authority

ANTA is responsible for the development of, and advice on, national policy, goals and objectives, a national strategy and Annual National Priorities in the vocational education and training sector.

Level 11/10 Eagle Street Level 5/321 Exhibition Street

Internet: <u>www.anta.gov.au</u>

Telephone: 07 32466 2300 03 9630 9800 Facsimile: 07 3246 2490 03 9630 9888



Australian Training Products

Australian Training Products is a specialist publisher and distributor, focussed on providing training materials to the vocational education and training sector.

Internet:www.atpl.net.auTelephone:03 9630 9836Facsimile:03 9639 4684Email:sales@atpl.net.au

Vocational Education and Training Assessment Services (VETASSESS)

VETASSESS is a provider of assessment and educational consultancy services to the vocational education and training sector.

Level 4

478 Albert Street

East Melbourne VIC 3002

Internet: www.bhtafe.edu.au/vetassess

Telephone: 03 9655 4801 Facsimile: 03 9654 3385

Email: vetasses@vetassess.com.au

National Industry Training Advisory Bodies

A comprehensive list of all National and State Industry Training Advisory Bodies may be found at the following Internet address: www.anta.gov.au/lnkltabs.asp

WA Industry Training Councils (ITCs)/Industry Training Advisory Bodies (ITABs)

(NOTE: at the time of printing all details listed below for WA ITCs/ITABs are correct.)

Arts, Sport & Recreation Industry Training Council 258 William Street (PO Box 108, NORTHBRIDGE 6865)

NORTHBRIDGE WA 6003

Internet www.waasritc.com.au
Telephone (08) 9227 8358
Facsimile (08) 9227 8350

Email <u>waasritc@wantree.com.au</u>

Automotive Industry Training Advisory Board C/- 224 Balcatta Road (PO Box 727, BALCATTA 6914)

BALCATTA WA 6021

Internet <u>www.automotivetraining.org.au</u>

Telephone (08) 9345 3466 Facsimile (08) 9345 3465

Email <u>rgoodlet@mta-wa.com.au</u>

Building and Construction Industry Training Council

1111 Hay Street

WEST PERTH WA 6005

Internet <u>www.bcitcwa.com.au</u>

Telephone 9481 1511 Facsimile 9481 3303

Email <u>bcitcwa@bcitcwa.com.au</u>

Community Services, Health and Education Industry Training Council

1 Floor, 1152 Hay Street (PO Box 1806, WEST PERTH 6872)

WEST PERTH WA 6005

 Internet
 www.csheitc.org.au

 Telephone
 (08) 9481 4211

 Facsimile
 (08) 9481 5226

Email <u>csheitc@highway1.com.au</u>

Finance, Property and Business Services Industry Training Council

Suite 1, 62 Ord Street WEST PERTH WA 6005

 Telephone
 (08) 9226 4717

 Facsimile
 (08) 9226 4714

 Email
 info@fpbsitc.com.au

Food Industry Training Council

PO Box 1289

BOORAGOON WA 6954

Internet <u>www.wafitc.org.au</u>
Telephone (08) 9444 5422

(0402) 030 688

Facsimile (08) 9418 5836

Email <u>terry.richards@gwf.com.au</u>

Hospitality and Tourism Industry Training Council

4 Ventnor Avenue (PO Box 1794, WEST PERTH WA 6872)

WEST PERTH WA 6005

 Internet
 www.wahtitc.com.au

 Telephone
 (08) 9322 9922

 Facsimile
 (08) 9322 9933

Email hosptour@iinet.net.au

Light Manufacturing Industry Training Council

Suite 4, 207 Balcatta Road (PO BOX 577, BALCATTA WA 6914)

BALCATTA WA 6021

Telephone (08) 9240 1048
Facsimile (08) 9240 1035
Email Imitc@iinet.net.au

Metals, Manufacturing and Services Industry Training Council

Suite 5, 1 Floor, 251-257 Hay Street (PO Box 6718, EAST PERTH WA 6892)

EAST PERTH WA 6004

Telephone (08) 9221 1980 Facsimile (08) 9221 1990

Email merswa@ozemail.com.au

Primary Industry Training Council

100 Bougainvillea Avenue (PO Box 157, FORRESTFIELD WA 6058)

FORRESTFIELD WA 6058

Telephone (08) 9359 4000
Facsimile (08) 9359 4007
Email admin@waptic.org

Process Manufacturing Industry Training Council
133 Salvado Road (PO Box 121, SUBIACO WA 6904)

WEMBLEY WA 6014

Internet <u>www.iinet.net.au/~wapmitc</u>

Telephone (08) 9387 9501 Facsimile (08) 9387 9507

Email <u>wapmitc@iinet.net.au</u>

Transport and Storage Industry Training Council

17 Lemnos Street (PO Box 7033)

SHENTON PARK WA 6008

Internet www.tsitc.asn.au/
Telephone (08) 9388 8781
Facsimile (08) 9388 8784
Email itc@tsitc.asn.au

WA Information, Electrotechnology and Utilities Industry Training Council Suite 3, 207 Balcatta Road (PO BOX 597, BALCATTA WA 6914)

BALCATTA WA 6021

Internet <u>www.waueeiiitc.iinet.net.au</u>

Telephone 9240 2688 Facsimile 9240 2930

Email <u>ieuitc@iinet.net.au</u>

Wholesale, Retail and Personal Services Industry Training Council

110-116 East Parade

EAST PERTH WA 6004

Telephone 9228 1400 Facsimile 9228 1500

Email <u>norma@wrapswa.com.au</u>

Section 6: Acronyms and Glossary of Terms

Acronyms Used

AQF	Australian Qualifications Framework
AQTF	Australian Quality Training Framework
CBA	Competency Based Assessment
ITAB	Industry Training Advisory Body
NTF	National Training Framework
QAR	Quality Assurance and Recognition (Branch of Department of Training
RCAB	Registering/Course Accrediting Bodies
RCC	Recognition of Current Competencies
RPL	Recognition of Prior Learning
RTO	Registered Training Organisation
\/FT	Vocational Education and Training

Glossary OF TERMS

This glossary is drawn from one 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 the *Training Package Assessment Materials Project* (© DETYA 2001).

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 quidelines

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.

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 - referred to as Monitoring in WA

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)

A comprehensive nationally consistent Framework for all post compulsory qualifications.

Australian Quality Training Framework (AQTF)

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

From AQTF Standards for RTOs

Candidate

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

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

Competency

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

From Training Package for Assessment and Workplace Training

Competency standard

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

From Training Package for Assessment and Workplace Training

Client

In the AQTF, the term 'client' means learner, enterprise or organisation, which uses or purchases the services provided by the Registered Training Organisation.

From AQTF Standards for RTOs

Clustering

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

Adapted from Training Package for Assessment and Workplace Training

Collaborative assessment arrangements

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

Customisation

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

Delivery and assessment strategies

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

From AQTF Standards for RTOs

Dimensions of competency

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

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

From Training Package Developers' Handbook

Element

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

From Training Package for Assessment and Workplace Training

Evidence and 'quality' evidence

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

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

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

Evidence gathering techniques

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

Evidence gathering tool

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

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

Also see Assessment tool.

Evidence quide

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 of variables 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.

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 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

Key competency

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

From Training Package for Assessment and Workplace Training

Moderation – see Validation

Monitoring - see Audit

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
 - 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

National Training Framework

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

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

From AQTF Standards for RTOs

National Training Information Service (NTIS)

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

From AQTF Standards for RTOs

New Apprenticeships - referred to as Apprenticeships and Traineeships in WA

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

From AQTF Standards for RTOs

Partnerships

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

Performance criteria

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

From Training Package for Assessment and Workplace Training

Qualification

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

From AQTF Standards for RTOs

Range of Variables

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

From Training Package for Assessment and Workplace Training

Reasonable adjustment

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

Adapted from Training Package for Assessment and Workplace Training

Reassessment

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

From Training Package for Assessment and Workplace Training

Recognition process

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

From AQTF Standards for RTOs

Recognition of Current Competency

See Recognition process.

Recognition of Prior Learning

See Recognition process.

Records of assessment

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

From Training Package for Assessment and Workplace Training

Registered Training Organisation (RTO)

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

From AQTF Standards for RTOs

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

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 maybe.

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) qualification, may contribute towards a qualification outcome, either as attainment of competencies within a Training Package, partial completion of a course leading to a qualification or completion of a nationally accredited short course which may accumulate towards a qualification through Recognition processes.

From AQTF Standards for RTOs

Training Package

Training Package means an integrated set of nationally endorsed competency standards, assessment guidelines and Australian Qualifications Framework qualifications for a specific industry, industry sector or enterprise.

From AQTF Standards for RTOs

Training plan - referred to as Training Program Outline (TPO) in WA

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. Also referred to as Moderation.

Guidelines for Competency Based Assessment in Vocational Education and Training in Western Australia

It is important to the Department of Training to receive your feedback on this document. Your valuable time in completing this brief questionnaire is appreciated.

1.	Overall, on a scale of 1	to 5, how wou	ıld you rat	e this docui	ment in the	following
	categories?					
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	Design	1	2	3	4	5
	Structure	1	2	3	4	5
	Clarity	1	2	3	4	5
2.	Is the information easy to Yes No	to understand?				
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