TAEASS301
Contribute to assessment
Release 1

aspire
learning resources

Contribute to assessment

Learner guide

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Participant

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Start date: ....

Phone number: ....

Email: ....

Work location

Name: ....

Address: ....

Postal address: ....

Workplace supervisor name: ....

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Registered Training Organisation (RTO)

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Contents

Before you begin

This learner guide is based on the unit of competency *TAEASS301 Contribute to assessment*, Release 1. Your trainer or training organisation must give you information about this unit of competency as part of your training program. You can access the unit of competency and assessment requirements at: www.training.gov.au.

How to work through this learner guide

This learner guide contains a number of features that will assist you in your learning. Your trainer will advise which parts of the learner guide you need to read, and which activities you need to complete. The features of this learner guide are detailed in the following table.

Feature of the learner guide	How you can use each feature
Overview	This section provides general information about the vocational education and training sector and its essential components (such as training packages), which will underpin your learning.
Introduction	The introduction covers the key concepts relevant to this particular unit of competency, including the terminology that will be used throughout this learner guide.
Learning content	Read each topic in this learner guide. If you come across content that is confusing, make a note and discuss it with your trainer. Your trainer is in the best position to offer assistance. It is very important that you take on some of the responsibility for the learning you will undertake.
Templates	Templates are referred to throughout the guide. These are samples of working documents similar to those found in a training organisation. Completed templates may be useful as evidence for portfolio assessments. Ask your trainer for sample templates provided with the *Trainer's and assessor's guide* for this unit.
Examples	Examples of completed documents that may be used in a workplace are included in this learner guide. Examples highlight learning points and provide realistic examples of workplace situations using current training package information.
Activities	Activities give you the opportunity to put your skills and knowledge into action. Your trainer will tell you which activities to complete.
Summary	Key learning points are provided at the end of each topic.

Foundation skills

As you complete learning using this guide, you will be developing the foundation skills relevant for this unit. Foundation skills are the language, literacy and numeracy (LLN) skills and the employability skills required for participation in modern workplaces and contemporary life.

The following table outlines specific foundation skills noted for your learning in this learner guide.

Foundation skill area	Foundation skill description
Learning	▶ Seeks feedback to build knowledge to improve process and professional practice
Reading	▶ Sources and interprets procedural, and compliance information
Writing	▶ Completes workplace documentation accurately using the appropriate language
Oral communication	▶ Communicates information and process requirements clearly, based on techniques appropriate to the audience and environment
	▶ Uses appropriate speaking and listening techniques to obtain specific information, and to support the assessment process
Navigate the world of work	▶ Accesses, confirms and takes responsibility for adherence to policies, procedures, and legal and ethical requirements
Interact with others	▶ Asks questions to clarify understanding, and seeks feedback and further information
Get the work done	▶ Organises work according to defined requirements, taking some responsibility for decisions regarding the format of information

What do you already know?

Use the following table to identify what you may already know. This may assist you to work out what to focus on in your learning.

Topic	Key outcomes	Rate your confidence in each section
Topic 1: Clarify role and responsibilities in the assessment process	1.1 Discuss and confirm the purpose of the assessment with relevant people	☐ Confident ☐ Basic understanding ☐ Not confident
	1.2 Discuss and confirm benchmarks for assessment with the qualified assessor	☐ Confident ☐ Basic understanding ☐ Not confident
	1.3 Access, read and clarify assessment plan with the qualified assessor	☐ Confident ☐ Basic understanding ☐ Not confident
	1.4 Discuss and agree with the qualified assessor specific responsibilities in gathering evidence, and the types of evidence to be gathered	☐ Confident ☐ Basic understanding ☐ Not confident
Topic 2: Confirm organisational arrangements for evidence gathering	2.1 Access and confirm relevant assessment system policies and procedures, organisational, legal and ethical requirements, and other relevant advice on assessment	☐ Confident ☐ Basic understanding ☐ Not confident
	2.2 Clarify the nominated assessment tools and methods for collecting evidence with the qualified assessor, to ensure that the procedures to be followed, and the instruments to be used are clear	☐ Confident ☐ Basic understanding ☐ Not confident
	2.3 Discuss and confirm with the relevant people the assessment context, including the candidate's characteristics and any need for reasonable adjustments	☐ Confident ☐ Basic understanding ☐ Not confident
	2.4 Confirm and arrange resource requirements in consultation with relevant people	☐ Confident ☐ Basic understanding ☐ Not confident

Topic	Key outcomes	Rate your confidence in each section
Topic 3: Collect evidence in accordance with the assessment plan	3.1 Explain the assessment process to the candidate, including the different responsibilities of the parties involved, and refer any candidate issues or concerns to the qualified assessor, prior to undertaking assessment activities	☐ Confident ☐ Basic understanding ☐ Not confident
	3.2 Use assessment instruments to gather quality evidence within the available time and resources, according to organisational, legal and ethical requirements	☐ Confident ☐ Basic understanding ☐ Not confident
Topic 4: Record and report findings	4.1 Organise and provide evidence to the qualified assessor in a format suitable for analysis according to the assessment system's policies and procedures	☐ Confident ☐ Basic understanding ☐ Not confident
	4.2 Actively seek feedback from the qualified assessor on whether evidence-gathering activities meet the principles of assessment, and whether the evidence collected meets the rules of evidence	☐ Confident ☐ Basic understanding ☐ Not confident
	4.3 Document areas for improvement in collecting evidence for future assessment activities	☐ Confident ☐ Basic understanding ☐ Not confident

Assessment

When you have completed your learning, you will be asked to complete an assessment. You need to understand what will be required of you regarding assessment as you work your way through this learner guide: your trainer/assessor will provide you with the relevant details. This learner guide does not include a final assessment. Your training organisation may be using Aspire's Assessment and RPL resource for this unit.

For this unit you will need to:

▶ clarifying the role to be taken during the assessment

▶ clarifying the assessment plan with the qualified assessor, including agreement about:
  – what evidence will be collected
  – how the evidence will be collected

▶ carrying out a minimum of three evidence-gathering activities and, on each occasion:
  – document evidence in a clear and concise manner
  – document feedback from others involved in the assessment

▶ reporting findings to the qualified assessor, including an explanation of how the assessment meets the rules of evidence on each of the three occasions.

You will need to show evidence of your knowledge of:

▶ competency-based assessment

▶ the principles of assessment

▶ the rules of evidence

▶ the different purposes of assessment

▶ the diversity of assessment contexts

▶ different types of evidence

▶ evidence-gathering methods

▶ the purpose and features of assessment tools and assessment plans

▶ potential barriers and processes relating to evidence-gathering procedures and assessment processes

▶ the organisational policies and procedures relevant to this unit of competency.

Always refer to your assessor for information about the number, type and detail required in the assessment materials you will be required to complete.

Developing an evidence portfolio

An evidence portfolio is a useful way to demonstrate to your assessor how you have developed the skills, knowledge, attitudes and abilities that contribute to competence. Samples of your work that are developed as a part of the activities can be used as evidence for assessment.

Your trainer/assessor may also ask you to provide samples of documents or completed templates to demonstrate your progress in this unit. Some of these could be submitted as part of an evidence portfolio. Always follow the specific directions and guidance of your trainer/assessor to determine what documents your portfolio should include and how they should be presented.

Here are some examples of what your portfolio might contain:

▶ Your responses to specific activities as indicated in each section of the learner guide

▶ Personal reflections on your progress via an ongoing learning journal

▶ Recorded comments from your supervisor, peers or clients about how you have applied skills and knowledge

▶ Documents or completed templates* you have developed such as assessment plans, assessment tools, training session plans or checklists

▶ Samples and an analysis of relevant forms, documents and other material used in a training and assessment environment

*Throughout this learner guide, reference is made to specific templates that you can use for activities or for your portfolio. Ask your trainer for template samples; Aspire has included relevant templates in its *Trainer's and assessor's guide* for this unit.

Overview
Understand vocational education and training

There is a great deal more to the VET system and the delivery of training and assessment than the information provided in this Overview. Each learner guide for the units offered in the Certificate IV in Training and Assessment provides activities and examples to demonstrate the application of your VET knowledge.

To work effectively in the vocational education and training (VET) system, you need to understand its essential components, particularly training packages and how to use them in a training delivery and assessment role.

VET develops skills and knowledge for work through a national training system that seeks to provide consistent training across Australia. The primary purpose of VET is to equip people with the skills, knowledge and attributes they require to be 'work ready' and to operate effectively in employment. The Australian VET system comprises two fundamental elements that help ensure quality and consistency in training: training packages and the VET Quality Framework (VQF), which includes the Australian Qualifications Framework (AQF).

Training packages

Training packages are the foundation of Australia's VET system. A training package is a set of nationally endorsed qualifications, units of competency and assessment requirements developed for a specific industry, sector or workplace. Copies of individual training packages can be viewed at: http://training.gov.au.

Training packages also provide the structure for competency-based training. A competency-based approach judges outcomes against specific standards established in the endorsed components of a training package. Endorsed components are the various units of competency, the qualifications within which they sit and assessment guidelines that describe the industry's desired approach to assessment and qualifications.

Training packages are developed by Service Skills Organisations (formerly by Industry Skills Councils) to meet the training needs of an industry or group of industries. Training packages are maintained in line with the National Skills Standards Council's Standards for Training Packages to ensure training packages are of high quality and meet the workforce development needs of industry, enterprises and individuals. These standards apply to the design and development of training packages for endorsement by the Australian Industry and Skills Committee (formerly the role of the now dissolved National Skills Standards Council (NSSC)).

Units of competency

Units of competency are the nationally agreed statements of the skills and knowledge required for effective performance in a particular job or job function. In other words, a unit of competency is a set of skills and knowledge that form part of a person's job role, and represents a discrete workplace outcome.

Units of competency are packaged as groups into qualifications and qualification levels in each training package. Each qualification has a descriptor that provides guidelines on how the unit is practically applied, who would use it and the unit's relationship to any applicable licensing, legislative or certification requirements.

Training packages do not prescribe how training is to be delivered. They provide guidance on assessment and the methods of assessment that may be appropriate for each unit of competency. Registered training organisations (RTOs) are responsible for how training and assessment occur.

An RTO can also issue qualifications derived from training packages or accredited courses, or statements of attainment to recognise the completion of a unit of competency from a qualification or accredited course.

The VET Quality Framework

The VET Quality Framework (VQF) is a set of standards and conditions used by the Australian Skills Quality Authority to assess whether an RTO meets the requirements for registration. The *National Vocational Education and Training Regulator Act 2011* (Cth) established the National VET Regulator (NVR) and underpins the VQF.

The VQF comprises:

▶ the Standards for Registered Training Organisations (RTOs) 2015
▶ the Australian Qualifications Framework
▶ the Fit and Proper Person Requirements
▶ the Financial Viability Risk Assessment Requirements
▶ the Data Provision Requirements.

Training that leads to the award of an accredited qualification must be delivered and assessed by an RTO that satisfies the Standards for Registered Training Organisations (RTOs) 2015. The Standards include the Essential Standards for Initial Registration and the Essential Standards for Continuing Registration. There are eight standards to which RTOs must comply.

You should familiarise yourself with the VQF and the compliance requirements it places on RTOs; this compliance directly affects the work you do as a trainer and an assessor.

Australian Skills Quality Authority

Course accreditation agencies such as the Australian Skills Quality Authority (ASQA) set regulations and standards for the VET sector to ensure course quality is maintained through the effective regulation of training providers and accredited courses. It does this mainly through the VQF. (Note: Victoria and Western Australia have not referred their powers of regulation to ASQA and continue to be subject to their respective state regulators if they operate solely within their state.)

ASQA works with other regulatory, funding and policy bodies to ensure the training provided is of high quality and meets the requirements of industry-developed training packages, so VET graduates have the required skills and competencies for employment.

Any RTO operating solely in Victoria and/or Western Australia is regulated by those states' regulators (not ASQA), and must comply with the Australian Quality Training Framework (AQTF) Essential Conditions and Standards for Registration. The VQF Standards for NVR Registered Training Organisations derive from the AQTF standards.

Throughout this learner guide, reference is made to both sets of Standards, presented as VQF/AQTF.

The Australian Qualifications Framework

The Australian Qualifications Framework (AQF), a component of the VQF, is a policy framework that defines the standards for regulated qualifications in Australian education and training. It specifies the learning outcomes for 16 nationally recognised qualifications. The following diagram represents the 10 levels of the AQF.

Reproduced with permission of the AQF council, from AQF Second Edition, January 2013, p. 19.

An RTO must issue qualifications and statements of attainment that align to the AQF and meet the requirements of the AQF Qualifications Issuance Policy and the endorsed training packages within that RTO's scope of registration.

Training and assessment

The primary role of RTOs in the VET system is to deliver accredited training and assessment-based units of competency and qualifications. You may be employed by an RTO to facilitate classroom, online or blended learning; to deliver workplace-based training and assessment on-site to enterprise staff; or to coordinate and support enterprise trainers, coaches and mentors in their roles.

Alternatively, you may be an enterprise trainer whose role is to facilitate learning and carry out assessment in the workplace, perhaps based on national units of competency or internal enterprise standards. The work you do may or may not lead to a recognised qualification.

When working with training packages and before providing training or assessment services, there are two aspects of competency and units of competency that you need to understand:

▶ How to identify and 'unpack' the key features of a unit of competency
▶ The dimensions of competency and their role in ensuring that competency incorporates all aspects of work performance

Explore a unit of competency

You should unpack a unit of competency and consider each part of the unit to form a picture of what a competent person looks like, how assessment should occur and what evidence is required.

The following table summarises the components of a unit of competency, as defined in the TAE Training and Education Training Package Implementation Guide.

Component feature	What it relates to
Unit of competency	
Title	The title describes the unit outcome.
Unit application	This field describes how the unit is practically applied, who would typically use it and the unit of competency's relationship to licensing, legislative or certification requirements.
Prerequisite units	This is an optional field that specifies any unit/s in which the learner must already be competent prior to achieving competency in this unit.
Unit sector	This field is used to categorise units of competency in relation to industry sectors or types of work.
Elements of competency	Elements of competency describe the outcomes of the significant functions and tasks that make up the competency. Elements describe actions or outcomes that are demonstrable and assessable.
Performance criteria	Performance criteria specify the required performance in relevant tasks, roles, skills (including foundation skills) and the applied knowledge that enables competent performance.
Foundation skills	This field describes the language, literacy, numeracy and employment skills that are essential to performance.
Range of conditions	This is an optional field that specifies different work environments and conditions that may affect performance. Range is restricted to essential operating conditions and any other variables essential to the work environment, so it is quite different from the previous range statement.
Unit mapping information	This field specifies the code and title of any equivalent unit of competency.
Links	This field provides a link to the Companion Volume Implementation Guide.
Assessment requirements	
Performance evidence	Performance evidence, as the name implies, specifies what individuals must do to show that they satisfy the performance standards in the unit of competency.

Component feature	What it relates to
Knowledge evidence	Knowledge evidence, as the name implies, specifies what individuals must know in order to carry out the work tasks described in the unit of competency safely and effectively.
Assessment conditions	This field describes mandatory conditions for assessment; for example, details of equipment and materials; contingencies; physical conditions; relationships with other people; and time frames. It also specifies assessor requirements.
Links	This field provides a link to the Companion Volume Implementation Guide.

Explore dimensions of competency

Reviewing the dimensions of competency is an important part of unpacking a unit of competency. The dimensions of competency relate to all aspects of work performance in both routine and non-routine work situations. A competent person can successfully apply their skills and knowledge to work activities in a range of contexts.

The following table explores the four dimensions of competency in more detail.

Dimensions of competency	Meaning
Task skills	The candidate must perform the individual skills required to complete a work activity to the required standard.
Task management skills	The candidate must manage a number of different tasks to complete a whole work activity, such as working to meet deadlines.
Contingency management skills	The candidate must use problem-solving skills to resolve issues that arise when performing a work activity.
Job/role environment skills	The candidate must perform effectively in the workplace when undertaking a work activity by working well with all stakeholders and following workplace policies and procedures.

Incorporate foundation skills

Foundation skills are the non-technical skills that support an individual's participation in the workplace, the community and in education and training. In training packages, the foundation skills can incorporate the language, literacy and numeracy (LLN) skills described in the Australian Core Skills Framework (ACSF), and the employability skills described in the Core Skills for Work Developmental Framework (CSfW).

Foundation skills underpin competent performance and are identified in each unit of competency in a foundation skills table. The foundation skills should be considered an integrated part of the unit for delivery and assessment purposes.

FSK Foundation Skills Training Package

The FSK Foundation Skills Training Package was developed to work in combination with other training packages to support the development of learners' core skills, so they can achieve their vocational training goals. Trainers have an opportunity to use material developed, such as those developed by Aspire Learning Resources, to deliver foundation skills to learners. RTOs have an opportunity to deliver training and qualifications in foundation skills units to support their students.

IBSA's Building Strong Foundations resource provides information about using the Foundation Skills Training Package. You can access Building Strong Foundations at this website:

▶ www.ibsa.org.au

The Foundation Skills Training Package Implementation Guide also contains an explanation of the use of this training package. You can access it at this website:

▶ https://vetnet.education.gov.au

Assessment methods

The competency-based assessment system relies on an assessor making a judgment about a person's competence against performance benchmarks in a unit of competency, using methods such as criterion-referenced assessment, standards-based assessment or evidence-based assessment. An assessment candidate should be judged as either competent or not yet competent according to whether they demonstrate that they can meet the specified standards.

The recognition process

The recognition process allows candidates to provide evidence that their previous training, work or life experience aligns to the skills and knowledge described in a qualification or unit of competency.

Recognition of prior learning (RPL) is one form of this process. Recognition can also include recognition of current competency and credit transfer.

Evidence of competency may include work samples, journals, certificates of achievement and third-party testimonials. In addition, candidates may be asked questions, observed undertaking set tasks or asked to demonstrate the authenticity of their work.

RTO staff must be able to provide clear, accurate information on assessment and recognition processes to candidates. Your obligations could therefore include:

▶ advising and assisting a candidate/learner to apply for recognition

▶ determining the type of recognition for which the candidate/learner should apply

▶ assisting the candidate/learner to complete relevant documents

▶ processing recognition applications in a timely manner.

Candidates may apply for recognition before the learning program commences. In other cases it may become apparent as a learner progresses through training delivery that they have the skills, knowledge and competence to satisfy the assessment requirements for a unit of competency or a cluster of units.

Introduction
Contribute to assessment

What is assessment?

Assessment is a crucial part of many workplaces and of any learning and development program. Assessment informs a learner whether they have been successful in gaining the skills and knowledge required by a program, perhaps leading to certification. Assessment in a workplace can assist an organisation and its employees to meet licensing or safety obligations, or contribute to career progression by measuring performance or classifying employees.

Assessment may occur as part of a formal VET learning program and be conducted by a qualified assessor; or it may be part of an internal workplace process using enterprise or industry benchmarks, but not necessarily involve a qualified assessor. Assessment in the VET system leads to formal recognition through certification.

Effective assessment is a planned process led by a skilled and qualified assessor. This assessor, perhaps with the support and assistance of an employee or a workplace expert, gathers evidence to confirm a candidate has met the required standard. Effective assessment follows defined policies and procedures and uses established assessment tools, instruments, resources and methods relevant to the skills and knowledge being assessed. The process itself and the evidence gathered must meet certain established principles of assessment and rules of evidence. Effective assessment also responds to the needs and characteristics of the person being assessed.

A person who contributes to the assessment process will most likely be a critical link in the assessment process but nevertheless have limited responsibilities. They will brief candidates on the assessment process and refer any issues and concerns to the assessor prior to collecting evidence according to the nominated assessment tool and any legal or ethical requirements.

Assessment in the VET system involves a qualified assessor forming a judgment about whether a candidate has met the required standard. A person who contributes to the assessment process works under the direction of a qualified assessor and may be contributing professional or technical expertise or perhaps following an assessment plan to gather and organise required evidence. This involves following established procedures and obtaining feedback from the assessor to help improve future assessment processes.

What this learner guide covers

This learner guide is based on the unit of competency, *TAEASS301 Contribute to assessment,* which describes the skills and knowledge you need in order to contribute to an assessment process.

This unit applies to those persons with technical or vocational expertise who is in a supervisory or mentoring/coaching work role, and for whom collecting the evidence for assessment is an adjunct to principal work responsibilities. It applies to those involved in collecting evidence for assessment against units of competency or accredited courses.

Your job role

This learner guide will assist you to develop the competence required to contribute to an assessment process. The unit assumes that you:

▶ have access to the assessment tools and resources you need to follow in the assessment process

▶ are under the guidance and supervision of a qualified VET assessor who will also make any adjustments to these assessment tools and resources.

What you will learn

In this learner guide you will learn how to:

▶ clarify your role and responsibilities in the assessment process

▶ confirm organisational arrangements to gather evidence

▶ collect evidence in accordance with the assessment plan

▶ record and report findings.

An assessment strategy

This unit of competency is suitable for people working on behalf of an organisation (for example, an RTO) that already has an assessment strategy in place. This strategy should provide details of how assessments should be conducted and reported.

If you are contributing to an RTO assessment, you require an understanding of what the assessment process involves and your role in it. In order to comply with VET Quality Framework/AQTF requirements, RTOs must develop a training and assessment strategy for the training programs they deliver that:

▶ meets the requirements of the training package including language, literacy and numeracy (LLN) requirements

▶ meets the needs of particular target groups

▶ provides learning pathways

▶ reflects input from industry and other relevant stakeholders to ensure the strategy meets current industry requirements

▶ documents information according to AQTF audit requirements.

Essential learning points

The information in this learner guide requires an understanding of the following concepts and issues.

In addition to clarifying your own role and responsibilities, you will also work within organisational and VET system policy and procedural frameworks as you collect evidence and record your findings.

As you work through this learner guide you will learn about the assessment process, including planning for assessment, the purpose and aims of competency-based assessment and benchmarks for assessment; about context; how to source and use assessment resources, information and documentation; and about reasonable adjustment in assessment.

The purposes of assessment

The role of an assessor is to collect and judge evidence in order to decide whether a person has achieved a particular standard. In the VET system, the assessment standard is based on a unit of competency.

Assessment has many purposes. In the workplace it can be used to meet organisational safe operating requirements or satisfy licensing requirements; to measure work performance; to identify training gaps and/or classify employees; or perhaps to provide for career progression. Assessment is also a means of establishing a person's LLN needs.

When applied to learning or recognition in the VET system, assessment is used to measure and monitor a candidate's progress towards achievement of competency or towards a qualification.

Assessment plan, benchmarks and context

Establishing an assessment plan is integral to the process. You need to be clear about the aims, purpose and context of the assessment, including any benchmarks that must be met. These benchmarks for assessment are the criteria against which a candidate is assessed.

Knowing how to interpret a unit of competency and other assessment criteria documentation is a crucial skill for assessors.

Assessment also occurs in a particular context and under certain conditions. The context includes the environment where the assessment occurs, the time taken and the relationship between the unit/s of competency and the candidate's workplace.

Resources

You will access and use a range of resources when you contribute to the assessment process. These can include plant, materials and equipment used as part of the assessment; policies and procedures; and the record system/s you access. Assessors and other technical experts you may access are also resources.

Assessment system policies and procedures

Policies and procedures give you information that defines your role as well as broader information about the assessment process. This information will relate to competency-based assessment, the different aspects of recognition and the procedures you will follow in gathering, recording and storing information or evidence.

Assessment that occurs in the VET system must follow the correct procedures for it to be valid, reliable, flexible and fair; and the evidence collected must conform to the rules of evidence; that is, be valid, sufficient, current and authentic.

Access and equity issues

Access and equity issues must be considered in assessment. Candidates are entitled to reasonable access to personal information. You should gather and maintain assessment evidence and information in a way that does not discriminate on any basis or cause offence through cultural or language misunderstandings. You should remain alert to diversity requirements and recognise any actual or emerging disability issues so you can organise appropriate assistance and/or support.

Access and equity also includes being able to make reasonable adjustments.

Reasonable adjustments

The role of an assessor and the person contributing to assessment also includes identifying and analysing the assessment environment and process to make reasonable adjustments to accommodate a person's specific circumstances.

Reasonable adjustments may include:

▶ taking into account the candidate's LLN requirements
▶ providing personal support services, arranging for adaptive technology or special equipment or making adjustments to the physical environment
▶ providing flexible assessment sessions
▶ revising the proposed assessment methods, tools or materials/resources
▶ considering the candidate's personal or cultural circumstances or beliefs.

Topic 1

In this topic you will learn how to:

1A Discuss and confirm the purpose of the assessment with relevant people

1B Discuss and confirm benchmarks for assessment with the qualified assessor

1C Access, read and clarify the assessment plan with the qualified assessor

1D Discuss gathering evidence with the qualified assessor

Clarify role and responsibilities in the assessment process

Qualified assessors are trained to implement an RTO's assessment system to judge evidence provided by the assessment candidate against relevant benchmarks.

In some situations, the qualified assessor requires a person with knowledge of the candidate or technical or vocational expertise to assist in the assessment process. This person may have specialist knowledge about equipment, technology, workplace health and safety, legislation and regulations, requirements of a professional association or industry or work practices, or will have worked closely with the candidate in their environment.

If you are required to contribute to assessment, you need to be familiar with how the qualified assessor has planned the assessment and what your responsibilities are.

1A Discuss and confirm the purpose of the assessment with relevant people

When participating in the assessment process you need to understand the reason for the assessment and your role in collecting the evidence. Before collecting evidence, you require a sound understanding of what assessment is and what is involved in the assessment process.

Confirming the assessment process and your role in it most likely involves you interacting with the assessor/s who are supervising what you do, as well as with the assessment candidate/s.

Understand the assessment

You need to understand what you are being asked to do when you are assisting in an assessment of another person's skills, knowledge and performance.

Formal assessment will follow an assessment plan or strategy that details the assessment process and the evidence to be gathered. You can also expect to be working under the direction of a qualified assessor.

When working with a qualified assessor, you need to be familiar with the training package the assessor is using and the specific units of competency that make up the qualification the candidate is working towards.

Internal workplace assessment against an industry or enterprise standard generally does not need to be conducted by a qualified assessor. Nevertheless, most organisations maintain a record of these assessment outcomes for risk management or other purposes.

Key parties to assessment

A key part of the assessment process relates to the people involved in the assessment. The central figures are the candidate and the assessor. The assessor is the person who leads the assessment, and guides and supervises you as you contribute to the assessment. Other relevant people involved in the assessment include a person with knowledge of the candidate or technical or vocational expertise to assist in the assessment process; a person who has specialist knowledge about equipment, technology, work health and safety, legislation and regulations, requirements of a professional association or industry, or work practices. A person who has worked closely with the candidate in their work environment or an industry, workplace or subject matter expert may also provide valuable information for the assessment.

Here is a brief summary of what you can expect of an assessor and what you may experience through your role as an assistant.

Assistant assessor

Your job description and workplace policies and procedures can help you understand your role in assessment.

You may be responsible for:

▶ providing expert advice on work practices, equipment and technology

▶ advising on workplace health and safety

▶ sourcing workplace policies and procedures

▶ assisting the candidate to gather quality evidence

▶ completing observation checklists and logbooks

▶ using questioning to gather evidence

▶ interpreting assessment instructions for candidates

▶ liaising with assessors

▶ coordinating resources for assessment

▶ referring the candidate to a qualified assessor for advice and direction.

You may be responsible for observing an assessment candidate, but judging a candidate's performance is the responsibility of the qualified assessor.

Qualified assessor

▶ Coordinates compliance with the RTO's assessment system, policies and procedures

▶ Plans the assessment process and develops the assessment plan

▶ Selects assessment methods

▶ Ensures that reasonable adjustment is provided where appropriate

▶ Organises specialist support

▶ Coordinates logistics (assessment environment, timing of assessment, materials and resources)

▶ Explains the assessment process to the candidate

▶ Guides and supervises other parties contributing to assessment

▶ Oversees the evidence-gathering process

▶ Judges evidence

▶ Records assessment outcomes

▶ Maintains assessment records

▶ Participates in reviews of the assessment process

Competency-based assessment

In a VET environment, assessment is competency based; that is, a person's competence is judged against set criteria. These are commonly the units of competency from an industry training package that indicate the performance criteria and skills and knowledge required by workers to competently undertake specific work tasks and activities. Alternatively, staff at an individual organisation may prepare their own performance standards and outline assessment strategies.

Assessment candidates are judged holistically as to whether they are 'competent' or 'not yet competent'. In some cases there are steps to demonstrating competency such as when individual parts of an assessment tool (like a questionnaire) may be found to be 'satisfactory' or 'not satisfactory'.

Competency-based assessment involves an assessor:

▶ collecting evidence of competence to satisfy the assessment requirements of a unit of competency

▶ reviewing a range of evidence presented by the candidate that demonstrates their competence and skills and knowledge

▶ asking for and reviewing additional evidence of their competence

▶ making a judgment as to whether the evidence the candidate has provided is sufficient, valid, current and authentic

▶ ensuring that the candidate has demonstrated that they can perform to the standard expected in the workplace over a number of occasions

▶ recording the candidate's assessment outcomes and reporting them to the candidate.

Establish competence

Learning objectives can be met in different ways; assessment by a qualified RTO assessor leading to certification gives formal recognition of this learning. Competence can be formally certified with a statement of attainment, informally acknowledged through in-house certification or perhaps recognised in some other way, such as through career progression in an organisation. Assessment can likewise be used to provide feedback about a person's progress towards gaining a qualification.

Learning can occur as a formal process using the services of a training organisation, or either formal or informal processes in a workplace. Assessment is one way of making a judgment about whether a person has achieved a standard; this standard could be met through formal training or by work and life experience.

Plan for the assessment

RTOs are required to prepare an assessment plan that clearly identifies the purpose of assessment. You will find that reading the assessment plan will help you understand the specific process that is being implemented for the candidate. Once the purpose of assessment is established, you can identify the type/s of evidence to be gathered and the method of collection with the assessor.

Understanding the assessment can also help you in your role as a supporter and guide. You may find in a discussion with the candidate that they are unclear about the purpose of assessment. Young or inexperienced candidates, or those with special needs, may not understand the assessment process well and require your support to explain the process or put them in contact with appropriate people at the RTO.

Assessment planning

During the assessment planning and implementation process, you need to be able to confirm the purpose of the assessment with the relevant people. In most cases this is the candidate and the RTO's assessor.

The purpose of assessment may be to judge the candidate's competence against the benchmarks established in the units of competency included in the qualification. The purpose of the assessment is outlined on the assessment plan. The RTO may also have a student handbook or a student assessment guide that explains the purpose of assessment and describes the evidence-gathering process.

You may wish to prepare a checklist to use to confirm that you have the information you need to effectively perform your role during assessment.

All stakeholders must be informed and understand exactly why the assessment is being conducted, the processes that are involved and the role and activities each person will undertake.

The key pieces of information that you require are:

▶ the purpose of assessment

▶ timing of assessment

▶ information given to the candidate

▶ allowable assessor intervention

▶ benchmarking standards

▶ where assessment is to occur

▶ your role, responsibilities or contribution to the assessment process

▶ resources required for assessment – you may need to coordinate access to materials

▶ method of assessment; e.g. observation, questioning, work samples or simulation

▶ special needs the candidate may have that need to be addressed during assessment

▶ documents you are expected to complete

▶ recording and reporting arrangements.

What is an assessment plan?

An assessment plan documents each step in the process of assessing a candidate's performance. The assessment plan indicates the purpose of the assessment and why it is taking place. It shows who the assessment is for; the evidence required; the processes, activities and instruments for collecting the evidence; resources needed; who will be involved and their responsibilities.

Learners with equity considerations should be provided with a personal plan. This will outline the adjustments to assessment processes to comply with reasonable adjustment principles.

The assessment plan is usually prepared using a template or form that has been prepared for this specific purpose in your workplace. Make sure you confirm the plan with relevant personnel and identify what your specific role is in the assessment process.

Assessment in the workplace

Here is information about the different forms of training and assessing that may occur in a workplace.

Accredited courses

Accredited courses can be delivered by RTOs in the same way that a qualification or unit of competency is offered. The course document also identifies the assessment requirements, the resources that the learner requires for assessment, assessment methods and details of how competence is reported.

Curriculum developed to suit a specific context

Course documents that describe delivery and assessment strategies are referred to as 'curriculum'. In some cases, curriculum is developed to suit a specific context and describes how assessors intend to contextualise learning and assessment to suit the needs of this particular group of learners. For example, if frontline management is being delivered in a remote Indigenous community, the course curricula may be contextualised to reflect the types of leadership, negotiation, relationships and languages used in that community.

Enterprise or industry performance specifications

Private organisations or enterprises and industry associations may develop benchmarks and standards to assess the competence of those working in a specific work location or job role. Some workplaces, particularly in regulated or high-risk industries, assess employees regularly. For example, as a workplace supervisor, coach, mentor or technical expert, you may be involved in providing essential technical information, identifying internal benchmarking standards and completing observation records, gathering work samples and questioning workers to record evidence that may be submitted for assessment.

Benchmarking using product specifications

Assessment may require a candidate to meet additional industry or enterprise performance benchmarks, international or Australian Standards or particular product specifications.

There are industries and workplaces where workers are required to produce materials that satisfy specific criteria. Assessors may be asked to judge whether the candidate is competent to create a product or part of a product that satisfies product specifications.

Workplace assessment

Assessment can be used to identify learning needs, to confirm work performance and as an employee classification measure. Assessment in the workplace can also be important for licensing and regulatory purposes.

Often learning is important to productivity, safety or quality, so the employer wants to know that the learning outcomes have been achieved and the investment has been

worthwhile. In addition to an employer wanting to improve the skills of their workforce by using competency-based training, organisations may also need workers to develop specific skills to achieve strategic goals or satisfy operational requirements.

There may be gaps in training identified in the employees' current competence and the organisation may arrange training to address any skill gaps. Ask your trainer for the sample 'Training needs analysis questionnaire' template. Aspire has included relevant templates in the *Trainer's and assessor's guide* for this unit.

The organisation may use information gathered on workplace performance to reward achievement of goals or high-performing teams; develop learning and development solutions to improve performance; prepare reports for shareholders; and to undertake workforce planning activities or identify suitable candidates for promotion or progression to another position.

Some industries and occupations require workers to have a licence to perform a particular function or role. They may need to assess competence due to legislation, regulations or by the licensing authority; sometimes to obtaining a licence such as a forklift licence.

Workplace assessment needs

Here is a summary of when assessment may be required in a workplace.

Induction

▶ Work practices may require workers to complete induction training before they are permitted to speak to customers, operate equipment or use technology.

WHS

▶ Safe operating procedures and the organisation's WHS responsibilities may mandate that a worker is assessed safely using equipment before they are allowed to operate the equipment independently.

Contractual obligations

▶ Contractual obligations may require workers to hold evidence of competence or some other certification to perform specific tasks.

Training needs gaps (TNG)

▶ Candidates may be asked to gather or demonstrate evidence of their current skills, knowledge and competence in order to identify skill and knowledge gaps. Subsequently, employee learning and development needs can be identified.

Measure work performance

▶ You may also be asked to contribute to a formal assessment process against given standards, such as a unit of competency or standard operating procedure. You may be given a form or checklist to record your observations of work performance. You may also be asked to gather information from stakeholders such as customers, suppliers or other work groups that can be used to measure work performance.

Satisfy licensing or regulatory requirements

▶ Examples of this type of assessment may be found in various industries including construction, warehousing or real estate. When assessing for a licence, a qualified assessor may need the assistance of a technical expert.

Recognition of existing skills

▶ Candidates with existing skills and knowledge may be assessed to recognise or confirm existing competence or their prior learning. Alternatively, candidates participating in the VET system may have their existing skills and knowledge reviewed against training package units of competency.

Example

Discuss and confirm the purpose of the assessment with relevant people

JDG are market leaders in the supply and service of marine, fire, life support and gas control equipment. The company supports the professional development of their workers by having experienced workers complete Certificate IV in Work Health Safety.

Dave is a specialist in the safe use of JDG's sophisticated plant and equipment. He oversees on-site use of plant and equipment to ensure that the assessment process complies with the company's WHS system and the manufacturer's instructions for various pieces of plant and equipment. Dave contributes to the on-site assessment of workers who are completing observation tasks in the workplace. He works closely with the TAFE assessor. He contributes to assessments with his technical expertise in the company's WHS system; observes workers doing tasks; and completes third-party reports. During the different phases of the assessment process, Dave contributes in a variety of ways as an assistant assessor.

Prior to assessment

Dave meets with the assessor to confirm:

▶ units of competency that are to be assessed

▶ benchmarks that will be used to judge competence

▶ profiles of the assessment candidates

▶ resources required for assessment

▶ any forms or checklists he needs to complete

▶ any reasonable adjustments required to assist the candidates.

During the assessment period

Dave and the assessor maintain contact during the assessment period to coordinate resources, schedule assessment activities and confirm that an appropriate environment is available in the workplace for assessment.

Dave conducts assessments by observing the candidate completing a range of tasks and asking a series of structured questions to gather evidence of the candidate's application of the required knowledge.

Dave completes the third-party report on each candidate/worker. He also authenticates any work samples produced by candidates and signs a work diary that records the daily work routine.

Activity 1

Use an assessment plan that you have sourced from an RTO for this activity, or the assessment plan for delivery of *SHBXCCS002 Provide salon services to clients in a specific setting* from the Example in Section 1C of this learner guide.

Analyse the assessment plan to complete this table.

Assessment plan	Summary
What is to be assessed?	
When is assessment to take place?	
Where is assessment to take place?	
How assessment is to take place?	
Who could you confirm your understanding of the assessment plan with?	

Click to complete Activity 1

1B Discuss and confirm benchmarks for assessment with the qualified assessor

A key component of planning the assessment is identifying the specific benchmarks that the assessor will use to judge the candidate's competence. Benchmarks are agreed examples of achievement. They are usually specified by industry in the units of competency, and especially in the performance and knowledge evidence part of the assessment requirements.

To make sure that different assessors come to the same decision and make a reliable decision, benchmarks usually take the form of decision-making rules, model answers or other performance exemplars. They help clarify the standard of skills and knowledge expected.

An experienced and qualified assessor can show you how the benchmarks were developed.

Benchmarks are developed from the:

▶ elements/performance criteria

▶ performance evidence

▶ knowledge evidence

▶ foundation skills

▶ criteria from course curricula

▶ performance standards developed by an individual organisation

▶ product specifications

▶ discussion.

Benchmarks for assessment

The benchmarks that assessors refer to when judging evidence for assessment are determined by the assessment requirements of the unit and context of assessment.

Candidates who are not undertaking competency-based training and assessment may have their performance assessed against the learning outcomes or performance criteria that are identified in course curricula, enterprise or industry standards or product specifications.

The assessor should give you a copy of the benchmarks that are being used for assessment. These may come to you as part of the assessment plan/strategy or you can download or print electronic versions of training package information, units of competency and assessment requirements documents and qualifications from the VET database at: training.gov.au.

Level of performance

Depending on your level of involvement in the assessment process and what is required of you, you may want to know more about the level of performance expected of the candidate. The Australian Qualifications Framework (Second Edition 2013) describes the characteristics of learning outcomes at the particular qualification levels. For example, a Certificate I, II, III, IV, Diploma or Advanced Diploma.

It describes the features of the qualification you are helping to assess. Each qualification has a descriptor that provides guidelines for how a person should perform at a particular level. Here is the list of guidelines for work capabilities that will vary according to the AQF level being assessed.

AQF guidelines for work capabilities
▶ Information processing capabilities
▶ Problem-solving capabilities
▶ Responsibility for their own work
▶ Responsibility for the work of others
▶ The breadth and depth of skills and knowledge required
▶ The operational environment in which the work is performed

Confirm benchmarks

The purpose of the assessment can differ but there is always the need for assessment criteria (benchmarks) so a standard or reference point for performance is created.

In most cases, discussions about the purpose and design of the assessment, with a workplace or in the RTO, will have already have taken place. Your role is to understand the assessment instrument and discuss the evidence and benchmarks you need to conduct the assessment.

Your task is to contribute to the assessment, and to do this you need to ask some questions to clarify your understanding of the benchmarks for the assessment you are conducting.

What you need to clarify before an observation assessment:

▶ The tasks involved in the work activity

▶ The skills and knowledge needed to perform the work activity

▶ How long it should take to perform the task

▶ The resources required to gather the evidence; for example, a checklist

Example

Discuss and confirm benchmarks for assessment with the qualified assessor

Mahalia is the owner of a fitness studio. She employs Jenny as a part-time personal trainer. Jenny is completing a Certificate IV in Fitness with an RTO and is working in Mahalia's business to earn an income while she completes her course. The job also affords Jenny an opportunity to practise her skills and knowledge.

Jenny is very happy when Mahalia agrees to contribute to her assessment in the unit of competency *SISFFIT015 Collaborate with medical and allied health professionals in a fitness context*, by allowing her to use the facilities and professionals within the gym to help her gather evidence to submit to the RTO assessor.

Mahalia realises both she and Jenny will benefit by having Jenny complete part of her assessment in Mahalia's business – Jenny will gather quality evidence that her assessor can use to judge her competence; and Mahalia will increase the collaboration opportunities with the allied professionals who rent a space in her business.

Mahalia confirms the purpose of assessment with Jenny's assessor, Michael. At her latest meeting they discuss the various benchmarks for assessment for the collection of a third-party report using a checklist.

Michael gives Mahalia the following information.

Instructions for workplace supervisor contributing to assessment

Unit code and title	*SISFFIT015 Collaborate with medical and allied health professionals in a fitness context*
Performance evidence relevant for her project	Evidence in the observation includes: ▶ Maintain and store a range of professional records ▶ Provide ongoing clear and constructive feedback to clients and medical or allied health professionals

Instructions for workplace supervisor contributing to assessment	

Candidate needs to demonstrate knowledge of:	▶ Legislative and regulatory requirements:
	  – privacy
	  – anti-discrimination
	  – work health and safety
	  – duty of care
	  – business licences and practices
	  – consumer protection
	  – civil liability law
	▶ Organisational policies and procedures in regard to:
	  – industry-endorsed risk management protocols, exercise implications and referral requirements
	  – confidentiality
	  – privacy
	  – recording client information
	  – hygiene
	  – emergencies
	  – standards of personal presentation
	  – participant's clothing and footwear
	  – use, care and maintenance of equipment
	▶ Role of medical or allied health professionals and their areas of expertise
	▶ Risk factors requiring client referral in accordance with industry-endorsed pre-exercise screening and risk stratification processes

Evidence to be submitted for assessment	▶ Demonstration of the maintenance and storage as per legal and organisational requirements ▶ Observation of feedback to clients and medical or allied health professionals

Activity 2

Access the unit of competency for *SITHFAB004 Prepare and serve non-alcoholic beverages*, on training.gov.au, then answer the following questions.

1. Identify the purpose of the assessment.

2. Using the following performance evidence and knowledge evidence taken from the unit of competency, brainstorm a list of benchmarks that could be used on a checklist for determining the competency of a candidate.

Performance evidence:

▶   prepare and present non-alcoholic beverages to meet different customer requests, over a minimum of three different service periods, including at least one peak service period

Knowledge evidence:

▶   organisational procedures suitable to beverages specified in the performance evidence in relation to:
    –   glassware and crockery used for presentation
    –   garnishes and accompaniments used to enhance beverages

Click to complete Activity 2

1C Access, read and clarify the assessment plan with the qualified assessor

You may find it helpful to think of assessment plans as a road map. A well-written assessment plan clearly defines the objectives of the assessment, details of the candidate, the assessment benchmarks and the tools that will be used to gather evidence. The assessor is responsible for ensuring you have access to relevant information in the assessment plan, in order for you to identify and understand the contribution you will make to the assessment process.

How assessment plans look may vary according to RTO policy and procedure; the purpose of the assessment may also influence plan content. Regardless of what the assessment plan looks like, you still need to know how to access, read and clarify the assessment plan with the assessor.

Features of an assessment plan

The assessment plan documents the details of assessing a candidate's performance. It should show who the assessment is for, and why it is taking place, how the assessment will be carried out, resources needed, evidence required, who will be involved and their responsibilities.

The following table summarises the key aspects of an assessment plan.

Items in an assessment plan	Explanation
The purpose of assessment	Candidates may present for assessment to: ▶ attain recognition of their existing competence or achieve a qualification ▶ fulfil their licensing or compliance requirements.
The benchmarks that will be used to assess competence	The benchmarks could be an individual or cluster of units of competency or performance standards developed by an individual organisation.
A profile of the target group	The profile should summarise the characteristics and needs of the candidates including any reasonable adjustments that need to be made to ensure access and equity.
Persons involved in the assessment process	Who will be involved including trainers, assessors, technical experts, disability support staff, workplace supervisors and cultural advisors.

Items in an assessment plan	Explanation
Methods of assessment	The methods are those chosen for this unit of competency; for example, observation of activities at the workplace, or questions.
Assessment instruments	An assessment instrument gathers evidence and it may be a template, questions or a checklist.
Environment/location of assessment	Identify whether assessment will be conducted on or off the job; in a simulated work environment; face-to-face interview; or online.
Resources required	Resources could include access to tools, machinery, computers, stationery items, the organisation's policy or procedure documents, checklists and safety equipment.
Evidence required	Describes how evidence will be collected; for example, it may be appropriate to collate work samples, observation checklists or photographs.
Special considerations for assessment	This section should record any contextualisation that has been made to address the individual needs of candidates.

Confirm the assessment plan

You need to understand the assessment process the candidate is participating in so you can provide support, information and guidance when necessary. This is particularly important if you are supervising apprentices or trainees or assisting with an RPL application.

You need to confirm your understanding of the assessment plan with the assessor and be comfortable with what you are required to do and when you have to do it.

You need to confirm with the qualified assessor:

▶ the location of assessment; for example, workplace, simulated work environment, group learning environment or online

▶ the assessment tasks you have to do and the method of assessment (how the evidence will be collected)

▶ the timing of evidence-gathering activities, especially whether it is summative or formative assessment

▶ your responsibilities in advising the candidate about the assessment and the evidence that needs to be gathered

▶ any resources you require

▶ how the assessment will be recorded and reported.

Example

Access, read and clarify the assessment plan with the qualified assessor

Here is an extract from an assessment plan developed by an assessor responsible for judging the competence of people providing services to clients in the hairdressing industry. The qualified assessor, Joanne, is seeking help from a workplace supervisor, Julie. The candidate, Abdella, is required to provide service to hairdressing or beauty clients for a minimum of twelve, three hour work periods that individually or in combination demonstrate her competency in skills and knowledge specified in the assessment requirements of the unit of competency. Julie is able to observe Abdella during her time in the workplace. The qualified assessor Joanne will evaluate Abdella's performance during one hour sessions when assessment by observation has been scheduled.

Ask your trainer for a sample 'Assessment plan' template.

Assessment plan

Unit code/s and title/s of competency: *SHBXCCS002 Provide salon services to clients*

Training organisation name: *XYZ RTO*

Purpose of assessment/s: To assess competency in the performance outcomes, skills and knowledge required to provide a complete customer service experience in a personal services salon environment. It requires the ability to communicate with clients face-to-face or by telephone, schedule appointments, attend and respond to client complaints, and assist clients with special needs. This unit applies to workers in personal service environments including beauty and hairdressing salons, nail salons and spas. In these environments, they make routine service decisions within a defined range.

RPL assessment: N/A

Target group details: **(candidates)**	Abdella is from Afghanistan and has lived in Australia for five years. She works part time at a hair salon. Trainee's core LLN skills: Oral communication skills: ACSF 3.07 and 3.08 Reading: 2.03 and 2.04 Writing: 2.05 and 2.06 Numeracy indicators: 2.09, 2.10 and 1.11
Candidates' names and contact details (add list if applicable)	Abdella Yasin 123 Fourth St Randwick Ph: 0407 893 4342
Names and contact details of assessor/s:	Joanne Taylor 02 9440 55224
Other party details: **(e.g. workplace supervisor), if applicable**	Assistant assessor: Julie Borshman (providing workplace observation) 02 9456 89763

Date, time of assessment/s:	1 March 2017 10 am–11 am (observation by assessor) 29 March 2017 10 am–11 am (observation by assessor) 3 May 2017 10 am–11 am (observation by assessor) Quiz:10 March 2017 10 am Presentation: 20 June 2017 10 am
Assessment conditions	Skills must be demonstrated in a personal services salon environment; this can be: ▶ an industry workplace ▶ a simulated workplace set up for the purpose of skills assessment, that provides services to paying members of the public. Candidate must be observed integrating hairdressing or beauty technical skills, and providing service competently to hairdressing or beauty clients for a minimum of 12, three-hour work periods that individually or in combination demonstrate competency.
Location details:	Julie's Hair Flair Salon 965 Whitehouse Rd Bondi NSW (observation of 33 hours) XYZ RTO, 111 Main St, Randwick
Methods of assessment:	▶ Observation ▶ Questioning ▶ Workplace logbook ▶ Presentation
Evidence requirements:	Evidence will be collected using observation checklists, a logbook completed by the trainee, recorded verbal responses to quiz questions and the photographs or PowerPoint slides and descriptions of her work provided by the trainee in a presentation. The workplace assessor will record observations over a 33-hour period. Assessor with record observations and evaluation over three one-hour periods. Observation of assessment candidate and logbook records completed by the assessment candidate to be signed by the workplace supervisor. Presentation, quiz, logbook and observation must show evidence of the ability to complete tasks outlined in elements and performance criteria of this unit in the context of the job role and:

Evidence requirements:	▶ integrate hairdressing or beauty technical skills, and provide service to hairdressing or beauty clients for a minimum of 12, three-hour work periods that individually or in combination demonstrate: – accessing client records – appropriate verbal and non-verbal communication – correct telephone techniques – dealing with clients in a culturally appropriate manner dealing with difficult or abusive clients – effective questioning and active listening techniques to establish client needs – face-to-face communication techniques – greeting and farewelling techniques – interpreting and maintaining client records – receiving clients and making appointments – resolving complaints with remedial actions – scheduling client appointments.
Assessment instruments:	▶ SHBXCCS002 Quiz (with reasonable adjustment applied) ▶ Observation checklists x 3 ▶ Workplace supervisor observation checklist ▶ Logbook (supplementary evidence) ▶ Presentation
Methods of submission (if applicable):	Candidate to supply: ▶ Logbook: Assessment candidate to keep a logbook and report back on experience via an informal presentation to the group or assessor, giving the student an opportunity to reflect and review performance ▶ PowerPoint slides and/or photographs used in presentation Assessor to supply: ▶ Observation checklists x 3 ▶ Observation checklist to be used by workplace supervisor ▶ Quiz ▶ Audio recording device

Resources required:	Assessment must ensure access to:
	▶ paying clients, both new and regular, with different client service requirements, who have the expectation that the services provided reflect those of a commercial business
	▶ relevant organisational policies and procedure manuals for customer service:
	– customer service techniques
	– personal presentation
	– complaint resolution.
	Assessment must ensure use of:
	– computer with salon software system
	– reception desk
	– retail display area
	– telephone.
	Assessment activities that allow the individual to:
	▶ complete salon services within commercially realistic speed, timing and productivity requirements
	▶ demonstrate competency in an environment reflective of real work situations
	▶ manage tasks and contingencies in the context of the job role.
	Assessors must satisfy the Standards for Registered Training Organisations' requirements for assessors.

Reasonable adjustment:

In order to avoid LLN issues impacting negatively on candidate's ability to complete quiz task, Abdella will be required to answer quiz questions verbally. Assessor will record answers by audio file.

Ready for assessment declaration	I confirm that the purpose and procedures of this assessment have been clearly explained to me. I have been consulted about any special needs I might have in relation to the assessment process. The criteria to be used for this assessment have been discussed with me, as have the consequences and possible outcomes of the assessment.
	I have accessed and understand general assessment information as provided by my training organisation.
	I have been given fair notice of the date, time, venue and other arrangements for this assessment. I have completed a self-assessment of my performance of the skills and knowledge for this unit and confirm that I am ready for assessment.

Candidate signature:

Date:

Activity 3

Source an assessment plan. Your trainer/assessor may provide you with an assessment plan in the form of a case study. Alternatively you may be able to use the assessment plan for *SHBXCCS002 Provide salon services to clients* (used in the previous example).

Prepare and conduct a role-play confirming the details of the assessment plan with the assessor. Your role-play partner should be a person with experience in conducting assessment; this could be your trainer/assessor or an experienced assessor in your workplace. Consider the following: 'What are the key pieces of information from the assessment plan that I need to understand in order to be able to explain the assessment process to the candidate?'

Click to complete Activity 3

1D Discuss gathering evidence with the qualified assessor

Once you understand the assessment plan and confirm the purpose, assessment context and benchmarks in the assessment plan with the assessor, you then need to clarify and confirm your responsibilities. Discuss your role and responsibilities in the assessment process; the type/s of evidence to be gathered and how it will be gathered; and any documents you are required to complete. In addition, you should also take the opportunity to clarify any terminology with which you are unfamiliar and confirm workplace health and safety information relevant to the assessment.

A person who contributes to the assessment process must understand what evidence is, how much is needed, what constitutes appropriate evidence, how it will be collected according to the rules of evidence and how it will be recorded.

In particular, you need to confirm what evidence is required and the evidence-gathering need to complete.

Forms of evidence

There are two main forms of evidence that are collected from candidates: direct evidence and indirect evidence. Supplementary evidence is an additional form of evidence that may be requested from a candidate under circumstances where the evidence they have provided is insufficient. Your role may be to gather the evidence and document or prepare it appropriately for the qualified assessor.

Direct evidence

Direct evidence can be observed or witnessed by the assessor. This could include observation of workplace performance, oral questioning, demonstration or a challenge test.

Indirect evidence

Indirect evidence is proof of a candidate's work that can be reviewed or examined by the assessor. This could include finished products, written assignments or tests, or a portfolio of previous work performed.

Supplementary evidence

Supplementary evidence is additional evidence presented to assessors such as to support a candidate's claim of competence. This could include reports from supervisors, colleagues and/or clients; testimonials from employers; work diaries; or evidence of training. Examples may be that the candidate will provide a written report or answer questions that are designed to address the knowledge evidence requirements of a unit of competency.

Responsibilities in gathering evidence

A person who contributes to the assessment process is a critical link but with limited responsibilities. The assistant assessor needs to be clear about their role, responsibilities and contribution to the assessment process. They also need to understand the type/s of evidence to be gathered, how it will be gathered and any documents that must be completed, ensuring consistency in what is required of candidates and in assessment judgments.

The assessor may also be able to provide valuable advice and exemplars of various forms of evidence relevant to the specific assessment. You should clarify your role because it may only be to gather evidence, not make a judgment about the candidate's competence.

Understand your responsibilities

Workplace policies and procedures may contain information about how assessments are to be conducted. Your role and responsibilities in coordinating or participating in assessment in the workplace depend on your job description and the organisation's structure.

The qualified assessor will advise you of your role and specific responsibilities in collecting evidence and other roles you may play in the assessment process. The contribution you are able to make to the assessment process is largely determined by your relationship to the candidate. Here are some examples.

Supervisor

▶ You may be the candidate's workplace supervisor or coach.

Specialist

▶ You may be involved in the assessment process to provide specialist technical or vocational expertise to the assessor.

IT role

▶ Your role may be to assist the assessor by collecting evidence that the candidate is using appropriate protocols to access the software and is performing their tasks efficiently and effectively in compliance with the organisation's standard operating procedures (SOPs).

Subject matter expert (SME)

▶ You may have been asked to perform the role of subject matter expert who is able to contribute expert knowledge of a particular subject area to the assessment process.

Observer

▶ You may be asked to complete observation records, use questioning or develop case studies that could be used to collect evidence.

Portfolio evidence

In addition to contributing to assessment in the roles already referred to, specific tasks falling to you may include overseeing the candidate's gathering of evidence for their portfolio (especially in an RPL application). They may need to gather such documents as employment records; work diaries or logs; records of workplace training; assessments of current skills or knowledge; third-party reports from current and previous trainers, managers, customers or clients; previous qualifications; confirmation of relevant unpaid or volunteer experience; and/or examples of work products.

You may also be asked to:

▶ contribute to third-party reports about the candidate

▶ complete observation checklists of the candidate's performance in the workplace

▶ verify that pieces of evidence selected by the candidate for their assessment portfolio are their own work products

▶ authorise training logs and learning journals

▶ oversee a specific assessment task and ask the candidate various questions to gather evidence of the application of the knowledge evidence

▶ assist the candidate in selecting work products and records that are relevant to the assessment criteria for inclusion in their assessment portfolio

▶ provide a testimonial of the worker's performance to be used as supplementary evidence

▶ observe the worker performing specific tasks to gather evidence of foundation skills that were not demonstrated in other parts of the assessment process

▶ ask additional questions to fill any gaps in the evidence already gathered.

Rules of evidence

There are four rules of evidence that guide and underpin the collection of evidence. These important principles are applied when an assessor considers the evidence and when making judgments of competency.

Valid

Validity requires that the evidence must cover the broad range of skills and knowledge that are essential to competent performance, and that it is integrated with their practical application in the workplace or closely simulated work environment.

Evidence used for assessment must be gathered on a number of occasions and in a range of contexts using different assessment methods.

Sufficient

Sufficiency requires that evidence of the learner's competence is demonstrated across all aspects of the unit of competency and has been demonstrated repeatedly.

Authentic

Evidence presented for assessment must be the learner's own work and supporting documents must be genuine.

Current

Currency relates to the age of the evidence presented by a candidate to demonstrate they are still competent. Competence requires demonstration of current performance; thus, the evidence collected must be either from the present or the very recent past.

Principles of assessment

When an assessor designs and develops assessment tools to gather evidence, they must ensure that the principles of assessment are met. These are important background considerations that drive the standard for high-quality assessments.

Assessments must be:

▶ Fair – assessments must not be discriminatory or disadvantage the candidate in any way

▶ Flexible – assessments must meet the candidate's individual needs and include a range of appropriate assessment methods

▶ Valid – assessments must meet the established benchmarks and be consistent in a variety of contexts

▶ Reliable – there should be a common interpretation of the assessments.

Example

Discuss evidence-gathering with the qualified assessor

The following is an example of an assessment plan developed by an assessor responsible for guiding candidates to gather quality evidence.

Ralf is completing a course to support his professional development as a laboratory technician. He is employed by a state government authority responsible for monitoring water quality. The employer is an industry RTO and is coordinating his attendance at in-house training courses and on-the-job training with his workplace supervisor.

Libby is the assessor responsible for developing Ralf's assessment plan. She has met with Ralf's workplace supervisor and the department's health and safety representative (HSR) to discuss and agree on the specific responsibilities in gathering evidence and the types of evidence to be gathered. They have read and identified what specific workplace tasks would provide evidence of Ralf's competency.

Libby shares the following evidence plan with the workplace supervisor and HSR at the assessment planning meeting. It is for the unit *NWPGEN009 Perform laboratory testing* from the NWP Water Training Package.

Evidence plan

Unit: *NWPGEN009 Perform laboratory testing*

Work activity: Perform laboratory tests and procedures using standard methods and with access to readily available advice

Assessment context	Assessment method	Evidence requirements
Workplace laboratory	▶ Observation of performance ▶ Third-party reports from experienced practitioners	▶ Performs tests on samples in accordance with standard operating procedure ▶ Calibrates equipment ▶ Performs different testing tasks simultaneously ▶ Performs defined work tasks in accordance with WHS
	▶ Written and/or oral questioning to assess knowledge and understanding	▶ Explains the purpose of tests ▶ Procedures for recognition of unexpected or unusual results and likely causes
	▶ Completion of workplace documents and reports produced as part of routine work activities	▶ Completes safety data sheets ▶ Labels samples for testing
	▶ Completion of performance feedback from supervisors and colleagues	▶ Works effectively in team situations demonstrating appropriate communication and interpersonal skills

Reasonable adjustment methods may include provision of extra time or the use of adaptive technology to write a report.

Libby creates the following mind map at the assessment planning meeting to record the specific responsibilities of people contributing to assessment.

Qualified assessor

Prepare assessment plan
Provide assessment instrument
Coordinate resources and materials
Provide advice and guidance
Coordinate specialist support
Provide feedback
Assessment decision
Record and report results
Review assessment process

Workplace supervisor

Complete observation checklist
Questioning
Third-party report
Coordinate resources
Evaluate evidence for submission to assessor
Forward evidence to assessor
Provide informal feedback

Assessment NWP364B

WHS specialist

Ensure resources in laboratory equipment are safe for use
Supply relevant WHS SOPs
Provide technical expertise
Assist with development of questions
Complete third-party report

Candidate

Gather evidence according to evidence plan
Submit evidence as scheduled
Comply with WHS requirements

Activity 4

Access and analyse an assessment instrument and complete this table.

Explain to your trainer/assessor how you interpreted the assessment instrument to identify the specific responsibilities of the assistant assessor and the types of evidence to be gathered.

Unit number	
Purpose of assessment	

Benchmarks for assessment	
Types of evidence to be gathered	
Assessment instrument used	
Component of the unit of competency being assessed	
Responsibilities of assistant assessor in gathering evidence	

Here is an example response based on the assessment instrument used for the final assessment for *TAEASS301 Contribute to assessment*.

Unit number	*TAEASS301 Contribute to assessment*
Purpose of assessment	To conduct summative assessment at the conclusion of learning of the candidate's competence to contribute to the assessment process.

Benchmarks for assessment	The learner must demonstrate that they are competent to: ▶ carry out a minimum of three evidence-gathering activities, with different candidates for each activity after: 　– clarifying the role to be taken during the assessment 　– clarifying the assessment plan with the qualified assessor ▶ present documentation of the evidence in a clear and concise manner on each occasion ▶ present documented feedback from others involved in the assessment.
Types of evidence to be gathered	▶ Observation checklist – (performance evidence) ▶ Questionnaire – (knowledge evidence) ▶ Activity ▶ Portfolio
Assessment instrument used	▶ Checklist ▶ Question sheet
Component of the unit of competency being assessed	Performance evidence and knowledge evidence
Responsibilities of assistant assessor in gathering evidence	▶ Explain assessment plan to the candidate. ▶ Clarify assessment instrument instructions with support of qualified assessor where necessary. ▶ Complete observation checklist for part A. ▶ Provide support for completion of part C Activity by discussing the candidate's evidence gathering plan and assisting them to gather and collate evidence in the required format. ▶ Support the candidate as they negotiate the assessment process. ▶ Participate in a review of the assessment process with the candidate. ▶ Provide support for compilation of the assessment portfolio for Part D.

Click to complete Activity 4

Summary

1. Reading the assessment plan will help you to understand the specific process that is being implemented for the candidate. Establishing the purpose of assessment influences the choice of benchmarking criteria selected for assessment and allows you to further explore the context of assessment for an individual learner.

2. Benchmarks are agreed good examples of achievement. The benchmarks that assessors refer to when judging evidence for assessment are determined by the context of assessment.

3. Units of competency are found in industry training packages and are grouped into qualification levels. The qualified assessor should give you a copy of the unit of competency that is being used to assess the candidate.

4. The assessment plan documents each step in the process of assessing a candidate's performance. It should show who the assessment is for, how the assessment will be carried out, resources needed, evidence required, who will be involved and their role and responsibilities.

5. You must understand the assessment process the candidate is participating in so you can provide support, information and guidance where necessary.

6. Once you have understood the assessment plan and confirmed the purpose, assessment context and benchmarks in the assessment plan with the assessor, you need to clarify and confirm your responsibilities.

Topic 2

In this topic you will learn how to:

2A Access and confirm assessment policies and procedures, requirements and advice

2B Clarify assessment tools and methods for collecting evidence with the qualified assessor

2C Discuss and confirm the assessment context and any need for reasonable adjustments

2D Confirm and arrange resource requirements

Confirm organisational arrangements for evidence-gathering

Assessment must always be conducted in compliance with the training organisation's assessment system, policies and procedures. An assessor is responsible for ensuring that you are confident to contribute to assessment by having access to all the necessary information required for the assessment process.

You may be responsible for coordinating the assessment environment, access to materials and resources and communicating with other people involved in the assessment process. It is crucial that you perform your role in compliance with your organisation's policies and procedures and code of conduct.

2A Access and confirm assessment policies and procedures, requirements and advice

Assessment system policies and procedures provide information that defines your role and the assessment process including recording and reporting obligations.

RTOs must comply with certain VET standards and meet requirements under their legislative and regulatory requirements. They must also ensure their employees and operations comply with a range of legislation and regulations.

Assessment standards

To comply with VET Standards and requirements, RTOs must develop a training and assessment strategy for the training programs they deliver. The training and assessment approach adopted by an RTO must be in accordance with the needs of their learners, developed in consultation with industry and meet the requirements of the training package or accredited course.

Assessors must make judgments about the most appropriate way to meet these requirements. These judgments form part of the organisation's overall training and assessment system.

To comply with the VQF/AQTF Standards, RTOs must:

▶ meet the requirements of the training package or accredited course, including LLN requirements

▶ document information according to VQF/AQTF audit requirements

▶ meet the principles of assessment and the rules of evidence criteria

▶ meet the needs of particular target groups

▶ provide learning pathways

▶ seek input from industry and other relevant stakeholders.

Organisational policies and procedures

General legal obligations include the obligation to provide a safe workplace, and adhere to privacy, confidentiality, anti-discrimination and industrial relations laws and regulations. These obligations are met by following the organisational policies and procedures within which they are embedded.

Other organisational policies, such as those applying to quality assurance and version control also apply.

Assessment system policies cover:

▶ assessment records, data and information management, including reporting procedures

▶ recognition of prior learning and credit arrangements

▶ assessor requirements

▶ costs and resourcing

▶ access and equity

▶ candidate grievances and complaints

▶ assessment appeals

▶ validation

▶ partnership arrangements.

Legal and ethical obligations

The assessor may provide you with extracts from the training organisation's policies and procedures that are relevant to your role in the assessment process. Ultimately, it is the responsibility of the training organisation to ensure that the assessment process is implemented in accordance with policy and procedure. The assessor can assist you to access, interpret and implement information from the training organisation.

Note: some workplaces that employ apprentices and trainees have specific legal and ethical obligations that must be met for their training and supervision.

The following table outlines some of legislative, regulatory and ethical requirements that must be met.

WHS considerations

▶ When planning an assessment activity, a WHS risk assessment should be performed involving the assessor. This does not need to be a formal process; however, you must identify the hazards that are present in the assessment environment and take appropriate steps to minimise the risks or eliminate the hazards.

▶ Discuss any concerns with the human resources manager or health and safety representative. Follow workplace policies and procedures for reporting and controlling WHS risk.

▶ You have a duty of care to the candidate to take all reasonable steps to ensure their health and safety during the assessment process.

▶ You should ensure that you and the candidate are competent to use any specialised personal protective equipment (PPE), technology or materials during the assessment process.

Legal requirements

▶ Workplaces must comply with the legislation that relates to anti-discrimination, privacy and confidentiality and equal opportunity. This legislation sets out the requirements that you must not discriminate against anyone on the basis of their gender, age, religion, ethnicity, family situation or sexual preference.

Industrial relations

▶ Your contribution to assessment must accord with the industrial relations systems and processes, awards and enterprise agreements that operate in the assessment environment.

▶ Consider the impact of legislation, awards, workplace agreements and individual contracts when planning assessment; for example, when scheduling assessment outside of usual business hours, you should be aware of the potential cost to your employer in additional wages.

Records, data and information management

Effective assessment record-keeping is a critical feature of any assessment system. Various stakeholders will have an interest in obtaining timely reports of assessment outcomes. The training organisation must also comply with legislation and regulations that stipulate their reporting obligations.

Training organisations implement a reporting information system to record assessment outcomes and produce reports that distribute meaningful information to the various stakeholders in the assessment process.

Commonwealth and state regulatory bodies often audit assessment records; they are legal documents and must be retained by the RTO and used to justify their assessment and competency decisions.

Assessment records must include:

▶ candidate results including records of their personal details, date of enrolment and results of assessment; there should be a form on the electronic record system where you enter these details

▶ qualifications and statements of attainment awarded

▶ assessment resources (including templates, questionnaires, checklists, summary sheets and records of feedback)

▶ assessment tools.

Assessment documentation

Confirm your role in recording assessment outcomes and other information with the assessor. You may need to complete various documents about the training completed in the workplace for apprentices and trainees, and observation checklists and third-party reports for assessment candidates. This evidence contributes to the assessment decision made by the assessor and is recorded in the training organisation's information system.

When all the documentation and evidence has been collected and reviewed, the assessor may provide you with information about the assessment decision that is made for individual candidates or whether the candidate needs to personally advise you of their assessment outcomes.

Recording requirements

The training organisation's assessment reporting system usually records the following information.

Check that records include:
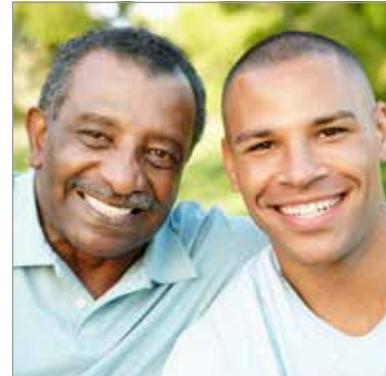
▶ personal details of the candidate from their enrolment form or candidate profile

▶ date, time and location of the assessment

▶ assessor contact details

▶ the validation method used to monitor the assessment

▶ summary of evidence

▶ information about the assessment method

- assessment decision and rationale
- feedback to and from the candidate
- information about any appeal that has been lodged by the candidate
- personal details of the candidate from their enrolment form or candidate profile.

Contextualise assessment

Training organisations are obliged to ensure that assessment activities are contextualised to the candidate's environment and are adjusted to ensure access and equity, so those involved in assessment can provide the relevant support to candidates.

Context is important for some groups of learners and for the people working with them. For example, an assessor needs to know if a candidate has LLN issues, is an Indigenous candidate, is an older person, or has issues that may impact on their ability to provide evidence or demonstrate competence.

In many instances the person supporting or contributing to the assessment process has this knowledge, even if it is anecdotal. It is beneficial if you can bring these issues to the attention of the assessor so the flexibility or suitability of the assessment can be addressed. However, you must ensure that you comply with workplace policies regarding privacy and confidentiality when sharing information.

Example

Access and confirm assessment policies and procedures, requirements and advice

Roger is employed in a large organisation as a frontline manager. The organisation invests in the development of a new customer service quality management program. A key component of the implementation of the program is the recognition of appropriate employees as 'customer service champions'.

The organisation engages the services of an RTO to train and assess employees for awarding of a customer service qualification.

Roger is appointed as a workplace coach to assist with the training and assessment of the members of his team undertaking customer service qualifications. He contributes to the assessment process by assisting members of his team to gather evidence for RPL. Several members of the team have previously completed qualifications that include units of competency included in the course being offered. Roger assists them to complete the necessary form and gather evidence to claim recognition of their previous achievements.

At the first meeting of the workplace coaches, the RTO manager distributes a document that she asks each participant to read. The document summarises key points of the RTO's assessment system, policies and procedures and the organisational, legal and ethical requirements for assessment.

Key points	Purpose/instructions
Assessment system policies and procedures	The assessor will share relevant information with the various workplace coaches regarding the RTO's system, policies and procedures.
Candidate selection	The customer service training program is to be promoted to relevant teams. Team members are to complete an enrolment form. The assessor will meet with each participant to discuss their enrolment details and to develop a candidate profile, which will include information about any issues related to LLN or disability. The assessor will use this information to arrange specialist support and to provide reasonable adjustment. Permission will be sought from the candidate to share information from the candidate profile with the workplace coach who is assisting with assessment.
Purpose of assessment	The purpose of assessment is to judge competence against the benchmarks established in the units of competency included in a qualification for customer service.
Assessment records	Assessment outcomes will be recorded by the RTO. Candidates who are assessed as competent will receive a Certificate IV in accordance with AQF guidelines.
Recognition of prior learning	Many team members will have completed various in-house customer service training modules and attended relevant workshops and conferences. Workplace coaches will assist candidates to gather documents that satisfy the rules of evidence to present for RPL assessment for complete or partial units of competency.
Credit arrangements	Team members who have previously been awarded qualifications will submit relevant evidence (testamurs or transcripts issued by the RTO) for credit.
Assessment strategy requirements	Assessment will be conducted in the workplace under the guidance and supervision of an assessor. Employees with expertise in customer service, workplace training and leadership have been appointed as workplace coaches to assist with the assessment process.
Human resources policies and procedures	Workplace coaches are to undertake induction training to refresh their knowledge of human resource policies in the following areas: ▶ Access and equity ▶ Cultural inclusion ▶ Anti-bullying and harassment ▶ Performance review ▶ Employee feedback ▶ Record keeping

Key points	Purpose/instructions
Resource required	Assessment is to be completed in the workplace. The workplace coach should coordinate access to relevant resources. This could involve access to policies and procedures, customised software, telephone, customer records and office equipment.
Privacy and confidentiality	Details of each participant's assessment outcomes are to be stored electronically and protected by a password. Only the assessor, workplace coach and human resources manager are to have access to the records.
WHS considerations	Regular workplace hazard identification to be conducted and reported.
	Any incidents that occur during assessment must be recorded on the relevant incident report form.
Legal requirements	Employees in relevant teams are to be offered the opportunity to participate in training and assessment in accordance with the organisation's anti-discrimination policies. These policies have been designed to promote compliance with relevant legislation.
	Workplace coaches will follow instructions from assessors in regard to reasonable adjustment.
Industrial relations systems and processes, awards and enterprise agreements	Assessment is to be conducted within standard hours. Assessment is to be designed to reflect the tasks included on the employee's current job descriptions. When additional tasks are to be performed, consultation should occur with the human resources manager.

Activity 5

Refer to the assessment plan you sourced for Activity 3 and the table you completed for Activity 4 to complete this activity.

Review the plan and complete the following table with information on how the following workplace policies and procedures and other legal and ethical requirements may impact your role as an assistant assessor when assessing the unit *SHBXCCS002 Provide salon services to clients*.

Organisational policy, procedure or legislative requirement	Impact on your role
Assessment system policies and procedures	
Purpose of assessment	
Assessment records	
Recognition of prior learning	
Assessment strategy requirements	
Quality assurance systems	
Resource requirements	
Privacy and confidentiality	
WHS considerations	
Legal requirements	

Click to complete Activity 5

2B Clarify assessment tools and methods for collecting evidence with the qualified assessor

The assessor is responsible for providing you with information about the assessment tool and assessment method that is to be used to gather evidence. These tools provide the information and the methods that will be used to gather evidence from the candidate. This information will reflect information found in the assessment plan and the individual characteristics of the candidates/group. You must clarify with the assessor to ensure you understand and have all the information you need to follow the procedures required for evidence-gathering.

It is vital that what you and the candidate are being asked to do during assessment is clearly communicated. The instructions must lay out the purpose of assessment, the methods for gathering quality evidence and other details on how the assessment will occur. You also need to know how to proceed when problems or issues are encountered during the evidence-gathering process.

Assessment tools

An assessment tool includes all the information and procedures an assessor needs to guide them when preparing and coordinating assessment activities. They provide an overview of the assessment process. The components of the assessment tool need to be considered along with the assessment plan.

An assessment tool incorporates the assessment instrument/s, the tasks to be administered to the student including the evidence to be gathered and the benchmarks used to make a decision on competence. It also includes assessment procedures such as the administration, recording and reporting requirements.

An assessment instrument is part of an assessment tool and refers to the specific questions or activity used to assess competence by the assessment method selected. The instruments should also include instructions for how the assessor is to use them.

Assessment information

You should always ask and seek clarification on any questions you have about the assessment process. You need to feel confident in your role and know the basic arrangements for the assessment so you can answer questions from the candidate and make the appropriate arrangements.

Assessment information includes:

- what instruments will be used
- clear instructions
- the benchmarks
- how to complete the document; for example, ticks and comments on a checklist, or the candidates' responses to questions
- how much assistance can be given
- how many attempts can they have at the assessment task
- if the assessment task needs to be completed in a set time frame.

Assessment methods

There is a range of assessment methods that assessors may select when planning an assessment. Many training organisations develop a bank of assessment instruments with a variety of assessment methods that have been validated for specific assessment contexts.

Here is a list of assessment methods used to gather evidence.

Assessment methods include:

- direct observation of real work/ real-time activities at the workplace and work activities in a simulated workplace environment
- simulation exercises and role-plays/ case studies
- projects
- presentations
- activity sheets
- questioning
- review of products
- portfolios
- third-party reports.

Direct observation

You may be required to observe work activities in a workplace, or if this is not possible, role-plays/case studies that simulate a real work practice/s. Sometimes it is not possible to observe a scenario in real time such as an emergency situation.

Requirements for observing simulations:

- Confirm the aspects of performance that you are required to observe with the assessor.
- Coordinate access to physical resources and materials.
- Organise the assessment environment.
- Organise other people required to participate (if applicable).
- Perform hazard inspections, assist with risk assessment and control measures.
- Source the form or checklist used to record observations.
- Confirm a scenario that forms the basis of the simulation or role-play and brief all participants or get role-play cards from the RTO.
- Confirm whether questioning is to be used during observation to gather supplementary evidence (particularly of required knowledge).
- Ensure the assessment being conducted meets the principles of assessment, i.e. it is fair, valid, flexible and reliable.

Questioning

There are a variety of different ways that questioning can be used in assessing competency. Interviews are an effective method for gathering evidence from candidates who are submitting a portfolio of evidence for assessment.

Follow these procedures when collecting evidence for assessment using questioning.

Using questioning when contributing to assessment

1 **Clarify**
Clarify the questions with the assessor.

2 **Confirm scheduling**
Confirm the scheduling of questioning; for example, you may be required to question the candidate while they perform a specific task.

3 **Check timing**
Check if the questions must be responded to a in a particular time frame.

4 **Source forms**
Source the form that you will use to record the candidate's responses.

5 **Confirm the method**
Confirm the method of questioning: verbal, online, written, etc.

6 **Clarify the level of assistance permitted**
Clarify the assistance you are allowed to give the candidate; for example, you may be able to prompt or probe the candidate for a more detailed explanation.

7 **Confirm attempts allowed**
Clarify how many attempts the student can have to clarify their best response.

8 **Check for reasonable adjustment**
Check the assessment plan for information about reasonable adjustment.

9 **Clarify roles**
Clarify the role of any person assisting the candidate during questioning; for example, the role and responsibilities of a scribe or interpreter.

10 **Arrange resources**
Arrange resources as required.

11 **Check allowable information sources**
Check whether the candidate is allowed to access information sources when responding to questions; for example, a written quiz may be 'open book' where the learner can access their learner guide for information.

Presentations

A presentation, as a method of assessment, is used when presentation and communication skills are part of the assessment requirements or the foundation skills. Identified benchmarks can be used to judge competence.

Procedures when contributing to assessment using presentations:

▶ Confirm the aspects of performance that you are required to observe with the assessor.

▶ Confirm details of the presentation (format, time line, participants, benchmarks that will be used to judge the presentation).

▶ Coordinate access to physical resources and materials such as presentation software and equipment.

▶ Organise the assessment environment.

▶ Organise other people required to participate in the presentation, such as an audience.

▶ Perform hazard inspections, assist with risk assessment and control measures.

▶ Source the form or checklist used to record observations; the assessor may suggest peer review (third-party report) as evidence to be included in the assessment portfolio.

▶ Confirm the brief for the presentation.

▶ Confirm whether questioning is to be used during/post the presentation to gather supplementary evidence (particularly of knowledge evidence).

Review of products

Assessment in the workplace often provides an opportunity to collect evidence in the form of something a person has produced in the course of their work. The type of product the candidate presents for assessment is determined by the context of assessment: their work role and the requirements of the assessment criteria. For example, a candidate completing a diploma-level unit of competency may produce a business report or set of policies and procedures that they have composed as evidence. A candidate who is employed as an apprentice may submit an item they have constructed, manufactured or repaired. Wherever possible assessors and technical or vocational experts in the workplace who are contributing to assessment should attempt to observe the candidate's involvement in the process of creating the product.

Follow this procedure when collecting evidence by review of products.

Steps for collecting evidence by review of products:

1. Clarify the assessment benchmarks that apply to the review of the product with the assessor.

2. Confirm the assessment environment.

3. Identify and control any WHS hazards.

4. Coordinate access to physical resources and materials.

5. Source forms or checklists used to record and review.

6. Authenticate the completed product as the work of the candidate; for example, photos and prototypes.

7. Authenticate the candidate's learning journal or authorise their training log.

8. Use questioning to gather supplementary evidence if required by the assessor.

Portfolio

A portfolio is a collection of evidence that is gathered to show a person's learning journey over time and to demonstrate their abilities.

If this method has been selected to assess the candidate's competency, learners may need prompting at appropriate points to retain a copy of relevant items in their printed or electronic portfolio folder.

Portfolios are a particularly effective method of assessment for candidates who have access to a workplace where they can gather items that are relevant to the benchmarking criteria. The evidence should be gathered over time and in various formats. Candidates may need advice to avoid relying on only one form of evidence in their portfolios, such as a résumé.

Clarify requirements and procedures with the assessor if you are assisting in collecting evidence using this method.

Instructions for assessment

Ultimately, the candidate is the judge of whether the instructions they have been given in the assessment instrument and other tools are effective. The instructions should clearly explain the assessment process.

Wherever possible, with candidates being assessed in Certificates I, II and III, you should explain the assessment instructions verbally. This provides an opportunity to answer candidates' questions, stress any WHS information that is relevant to assessment, and enables you to confirm that the candidate has understood the instructions. You may find that less-experienced candidates require advice regarding seeking help during assessment and whether they are allowed to use reference material while completing assessment activities. Before the actual assessment occurs, you must ensure that you clarify any questions with the assessor and that the candidate understands the following.

Ensure the candidate knows:

▶ the assessment method being used

▶ the assessment instrument/s being used

▶ any provisions/reasonable adjustment for people who have special needs

▶ opportunities for RPL (this will have been described at enrolment)

▶ how their performance will be reviewed, if required

▶ materials and resources that are required for assessment

▶ how they will receive feedback about their performance.

Quality evidence

Evidence is information that confirms competence. While evidence must be sufficient, assessors must focus on quality rather than the quantity of evidence provided.

Here are some examples of the application of the four rules of evidence that guide the collection of evidence.

Valid

Example of valid evidence:

Maintaining store security:

▶ Review the unit of competency and know what a competent person would do when they are maintaining security in a retail store.

▶ Gather evidence of the candidate in a range of scenarios using observation and ask them to complete a quiz to assess knowledge evidence.

Sufficient

Example of sufficient evidence:

A candidate is completing a course in website design and development. She has compiled a portfolio of evidence of the various websites she has created as she progresses through the course. Her workplace supervisor assists her to select work samples that could be included as pieces of evidence. The workplace supervisor authenticates each piece of evidence as being the candidate's work product. Her assessor has organised for the candidate's supervisor to complete a third-party report in order to gather evidence of the candidate's competence to work as a member of a team.

Authentic

Example of authentic evidence:

The candidate is a workplace trainee. They have given their workplace supervisor their training log. This needs to be authenticated by recording the hours the candidate participates in workplace training.

They have been asked to collate a portfolio of documents that they create in their workplace as samples of their information technology skills including evidence that they have complied with the organisation's WHS policies and procedures. The workplace supervisor will authenticate each document included in the candidate's portfolio.

Current

Example of current evidence:

The candidate works in the warehouse at a plastic container manufacturer. He has been rehabilitated following a workplace injury. His employer's learning and development department is an RTO, and have enrolled him in a Certificate II course. The candidate's workplace supervisor and human resources manager will help him find evidence in his personnel file of in-house training he has completed in the past five years that could be used as evidence for RPL assessment.

High-quality assessments

When training organisations develop assessment tools they need to ensure that the principles of assessment are met. Here are some strategies you can use to comply with the principles of assessment when you are contributing to assessment.

Fair

An assessment system and processes must not disadvantage any person. All eligible candidates must be guaranteed access to assessment that does not discriminate on any basis. Assessment processes must be designed to address the individual needs of candidates. This may require the reasonable adjustment of assessment methods.

The key characteristics of fair assessment processes are:

▶ clear communication to the candidate of the assessment process; you may need to adjust the instructions you give

▶ agreement by the candidate to the assessment process; make sure they understand exactly what the assessment involves and what their responsibilities are; you may need an interpreter to ensure the processes are understood

▶ an opportunity for the candidate to challenge the result of the assessment and for reassessment to occur if necessary.

Flexible

The methods selected to gather evidence must reflect the individual needs and circumstances of the candidate. You may need to adjust the assessment process such as rewording instructions, contextualising material to suit the candidate's culture and setting or focusing on oral responses and demonstration rather than written work. You may need to provide additional time for an assessment, or timetable the assessment to suit the candidate.

The assessor must also implement an assessment strategy that supports recognition of competencies that the candidate has demonstrated. Assessment must meet the requirements of a unit of competency, but under the principles of a flexible and fair assessment, assessors can shape the way the assessment gathers evidence.

Valid

Assessment is valid when the process is sound and assesses what it claims to assess. For example, evaluate whether an assessment instrument that was originally developed to gather evidence in a specific context, gathers the same type of evidence in a different context.

Reliable

Reliable assessment processes use methods and procedures that ensure units of competency are interpreted and applied consistently from person to person and from context to context. Judgments about competence may be made consistently by various assessors relying on the same types of evidence.

Other components of assessment tools

Your role and responsibilities in the assessment will vary to reflect your job description and the organisational structure of your workplace. You rely on the communication from the assessor regarding your role and responsibilities. A sound understanding of the organisational procedures surrounding the assessment process can be useful especially when you need to answer questions from the person/s involved in the assessment.

Some of the information you may want to clarify with the assessor about the assessment administration includes the following.

Clarify assessment tool information including:

▶ preferred format for assessment documents

▶ version control procedures

▶ safe and secure storage of documents

▶ recording and reporting of results/outcomes

▶ trialling of assessment instruments

▶ continuous improvement processes

▶ what to do and who to speak to if problems arise during the assessment.

Example

Clarify assessment tools and methods for collecting evidence with the qualified assessor

Barry is employed by a large logistics firm, following his retrenchment from a packaging production company a year ago. The employment agency that helped him to find the job recommended he undertake a qualification in transport and logistics to update his skills.

At enrolment, arrangements are made for Barry to apply for RPL for the unit of competency, *TLIR4010 Plan purchasing*. Barry's manager will contribute to assessment by helping him collect evidence that will be submitted for RPL assessment. The manager is also responsible for completing a third-party report and observation checklist.

Sachin is the assessor responsible for the Certificate IV in Logistics. He sends written instructions about the evidence portfolio to Barry and his manager. Sachin also speaks directly with the manager to clarify what is required when completing checklists and reports and authenticating work samples.

The assessment requirements of this unit of competency can be found on the training.gov.au website. They include the requirement for a candidate to demonstrate knowledge of relevant legislation, codes of practice and national standards related to procurement; for example, the *Trade Practices Act 1974* (Cth), contract law, sale of goods legislation, consumer protection legislation and legislation related to the import of goods and services, where relevant.

Assessment method	▶ Portfolio ▶ Questioning for knowledge evidence
Evidence	Portfolio items are not more than five years old. Work samples (documents) are to be authenticated by manager: ▶ Purchasing specifications ▶ Job description ▶ Recent performance review ▶ Invitations to offer ▶ Approvals of invitations to offer ▶ Completed hazard identification forms ▶ Criteria for selecting suppliers ▶ Evaluation of quotes and tenders ▶ Evidence of briefings conducted by the candidate ▶ Sample purchasing strategies ▶ Shortlist of suppliers ▶ Transcripts of previously completed customer service qualifications
Manager's role	▶ Complete a third-party report that will gather evidence of skills required for competent performance. ▶ Support the candidate in gathering and evaluating quality evidence for their portfolio.
Assessment outcomes	To be reported as competent or not yet competent.

Barry and his manager are advised that evidence must demonstrate that Barry is competent to use established purchasing strategies. The evidence must show he can prepare and issue invitations to offer, prepare purchase recommendations, identify a range of appropriate suppliers and prepare recommendations to purchase.

Barry is disappointed to learn that Sachin thinks he should complete a written questionnaire to help gather evidence of the knowledge evidence component of the unit. Sachin explains that the knowledge evidence section is quite detailed and gathering sufficient evidence to demonstrate competence in regard to it is quite a demanding task. Sachin points out that a written questionnaire is only one part of a comprehensive evidence-gathering process.

Activity 6

Read the case study, then answer the questions that follow.

Case study

Craig is responsible for supervising Vincent who is employed as a workplace trainee. Vincent is currently completing a unit of study that requires evidence of his competence in contributing as a member of a team.

Vincent has given Craig the assessment tool that was sent to him by the assessor. It includes the following information:

▶ Name and title of unit

▶ Purpose of assessment is to assess Vincent against the benchmarks established for teamwork in the unit of competency

▶ Date for submission of evidence

▶ Performance criteria from the unit of competency

Craig is concerned as the assessment tool instructs Vincent to 'gather relevant evidence from his workplace or community activities to demonstrate his competence in regard to the performance criteria'.

This is Craig's first experience in contributing to the assessment of a workplace trainee.

1. What advice would you give to Craig regarding strategies he could use to clarify the assessment methods?

2. What additional information will Craig require about the assessment tool to ensure that quality evidence is gathered?

3. Explain Craig's responsibilities and role in clarifying the assessment instructions for Vincent.

4. Summarise your understanding of the responsibilities of the assessor in terms of guiding and supervising Craig in the assessment process.

Click to complete Activity 6

2C Discuss and confirm the assessment context and any need for reasonable adjustments

The assessor leads your contribution to the assessment process. They can explain the assessment context, the candidate's profile, implementation of the assessment tool, the method for collecting quality evidence and any reasonable adjustments that need to be provided. Other stakeholders such as specialist support personnel, work colleagues or people with expertise in areas such as WHS or human resources are also useful sources of information and assistance during the assessment process.

Understand the context

Deciding which assessment method to use to gather evidence is usually grounded in the context of assessment. The assessor needs to have determined the context and the environment in which the assessment will be carried out and incorporate this information. For example, you need to understand the type of learning program the candidate is undertaking such as a course, apprenticeship or traineeship; whether they are in a workplace, at an institution, working online or a combination.

The assessment context includes:

▶ the 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

▶ the period of time during which it takes place.

Assessment context

To ensure the context of assessment meets the rules of evidence, evidence used for assessment must be gathered on a number of occasions. Evidence must be gathered in a range of contexts using different assessment methods and it must ensure that assessment relates to the candidate's environment.

The following table outlines the key components of the context of assessment that the assessor needs to consider when developing assessment plans.

Purpose of assessment

Why is assessment required?

▶ To demonstrate competence for a particular unit of competency

▶ To identify training needs

▶ To confirm training progress

▶ To provide informal feedback to the learner on their progress

▶ To assist them to evaluate their learning (formative assessment)

▶ To recognise current competencies through a recognition of prior learning process

Candidates

What are the characteristics of candidates that will influence the assessment process?

▶ Age

▶ Work experience – current and previous

▶ Previous education

▶ Cultural background

▶ Language, literacy and numeracy

▶ Disability

▶ Access to technology

▶ Learning environment

▶ Support from other people

▶ Degree of experience with an assessment process

Units of competency

What are the criteria that will be used to judge performance?

▶ Elements

▶ Performance criteria

▶ Assessment requirements:
  – performance evidence
  – knowledge evidence

▶ Foundation skills

Assessment location

Where will assessment take place?

▶ Workplace

▶ Group learning environment

▶ Online

▶ Simulation

▶ Face-to-face interview

▶ On-site – apprentices, for example, may be assessed performing work functions in a specific location that gives them access to tools and equipment required for assessment; apprentices in the construction industry could be observed using various tools to build a wall or install a window.

The assessment environment

Assessment may include several parts and each part of the assessment may be completed in different environments. The assessor can confirm details of the assessment environment so you can arrange access to the environment, appropriate work tasks, necessary tools, equipment and materials and the documents you are responsible for completing. Here are examples of ways the contributions of a person with vocational or technical expertise can differ.

Part assessment

In some cases, you will only contribute to implementation of part of the assessment, with the remaining evidence to be gathered in other environments by other people.

For example, consider an assessment activity that requires the candidate to demonstrate their skills using a piece of equipment; to gather evidence of continuous application of skills using a third-party report; and to write a short report recommending changes or innovations that could be implemented in a workplace. Your role in contributing to the assessment may simply be to complete the third-party report.

Support the candidate

Some industries require workers to complete part of their assessment as a written test administered under formal exam conditions. The test may form part of the assessment, with the remaining evidence being gathered as a portfolio of documents or work samples. In this situation, your role may be to support the candidate in selecting pieces of evidence from the workplace. These could be included in the portfolio, or you may be asked by the assessor to authenticate the items in the portfolio as being creations of the candidate.

Observe work performance

Assessment may be conducted in on-site or workplace locations. This type of assessment environment is appropriate for units of competency in trade qualifications; for example, those that require access to specialised tools and equipment. For example, you may be:

▶ involved as a workplace supervisor who is responsible for completing observation checklists or third-party reports

▶ a technical expert who has been asked to contribute to the assessment process by overseeing the correct use of specialised equipment or materials, and asked to record observations and reflections about the candidate's safe working skills or their use of relevant standard operating procedures or manufacturers' instructions

▶ contributing to a person's assessment for licensing purposes by endorsing a logbook.

Candidate characteristics

The assessor will have developed a profile of each candidate prior to assessment. Assessment activities must be contextualised to the learner's environment and adjusted to ensure access and equity. You may be asked to contribute information to the candidate's profile. In some cases you will have already developed a relationship with them when supervising, coaching or mentoring; in other circumstances you may

only come into contact with the candidate during the assessment process. This may occur if you are asked to provide specialist expertise in meeting the requirements of licensing boards or professional associations.

The training organisation should have an assessment plan that features a form for candidates to complete prior to assessment. Ask your trainer for a sample 'Candidate profile' template.

A profile should include:

▶ the candidate's contact details

▶ the purpose of the assessment

▶ the candidate's context for assessment

▶ language, literacy and numeracy levels, including Australian Core Skills Framework reports or levels

▶ whether English is their first language

▶ previous education

▶ what impact the candidate's cultural background has on the assessment

▶ access to the resources required for assessment

▶ whether they have a disability; it is the candidate's choice whether or not they wish to disclose a disability.

Reasonable adjustment

Providing reasonable adjustment for learners is based on legislative and regulatory requirements. Training organisations must not implement assessment processes that prevent any person from demonstrating their competence, skills or knowledge because the design of the assessment failed to take account of their requirements. The purpose of reasonable adjustment described in legislation refers to addressing the needs of people with disabilities. However, training organisations provide reasonable adjustment to promote cultural inclusion and access and equity to a broader cohort.

Any adjustments to assessment tools are determined by the assessor. You should follow the instructions that are provided for reasonable adjustment and support the candidate in the assessment process. The assessor may involve you in the development of the assessment plan by asking for your feedback on the modifications required for the candidate to perform the tasks identified in the units of competency.

Groups that may need reasonable adjustment in assessment include:

▶ candidates from rural and remote areas

▶ candidates with disabilities

▶ candidates with low levels of education

▶ candidates with low literacy or numeracy levels

▶ Indigenous people

▶ candidates with non-English-speaking backgrounds

▶ older candidates

▶ women, when performing some physical tasks.

Potential candidate barriers

You are responsible for contributing to the assessment of candidates with a range of individual differences to consider, and may need to become familiar with the processes and means to support the candidate during the assessment process.

The various individual differences that may act as barriers to the implementation of assessment tools and the reasonable adjustment that may be made are summarised here.

The candidate's LLN requirements in relation to benchmarks

Potential issue:

▶ Assessment tasks require LLN skills that are at a higher level than the competency/benchmark requires
▶ Problems reading assessment task or written questions
▶ Insufficient oral English to express an answer to an acceptable level using industry terminology
▶ Problems interpreting content (including instructions) in assessment instruments
▶ Unable to conduct research to complete an assignment for assessment
▶ Problems contacting assessors

Assistance provided:

▶ Verbal assessment of knowledge content
▶ Diagrams and images in instructions
▶ Access to specialist support
▶ Interpreters and interlocutors
▶ Use of calculators
▶ Demonstration rather than written assessment
▶ Scribes to record responses

Make adjustments to the physical environment

Potential issues:

▶ Physical disability
▶ Accessing assessment environment
▶ Difficulties using equipment, materials or technology
▶ Problems conducting research to complete assessment
▶ Difficulties contacting assessors

Assistance provided:

▶ Specialist support
▶ Environment, equipment or technology modifications
▶ Flexible assessment sessions to allow for breaks to address physical fatigue
▶ Simulations rather than actual workplaces

Adaptive technology or special equipment

Potential issue:

▶ Required by some people who have a disability

Assistance provided:

▶ Use adaptive technology or special equipment to support the candidate, including:
  – voice recognition software
  – printed assessment instruments that could use braille
  – coordination of access to a scribe
  – aural information and aural response
  – considering lighting of the venue
  – offering opportunities to use electronic technology for sending responses such as email or SMS

Provide personal support services

Potential issues:

▶ May be required by those who have a disability, do not speak English as their first language or have issues related to language, literacy and numeracy
▶ Problems interpreting content (including instructions) in assessment instruments
▶ Candidates may find group assessment threatening
▶ Difficulties using equipment, materials or technology
▶ Medication regimens may impact on optimum performance times
▶ Problems reading and interpreting workplace policies and procedures
▶ Difficulties contacting assessors
▶ Maintaining personal care during prolonged assessment sessions

Assistance provided:

▶ Conduct assessment over short durations and at times to suit optimum performance
▶ Include images and diagrams in instructions
▶ Use verbal questioning
▶ Provide specialist support
▶ Modify equipment and machinery where appropriate
▶ Provide online assessment where appropriate

Cultural beliefs, traditional practices, and religious and spiritual observances

Potential issues:

▶ May not be able to use certain materials required in assessment

▶ Unable to attend assessment on specific days or at specific times

▶ Stereotypes

▶ Appropriateness of assessment methods – direct questioning

Assistance provided:

▶ Organise assessment times that are suitable for the candidate's religious and spiritual observations

▶ Make sure assessment tools do not include stereotypes and do not require specific cultural knowledge for completion

Age and gender

Potential issues:

▶ Fatigue

▶ Lack of experience of competency based training and assessment

▶ Limited technology skills

▶ Lack of confidence

▶ The role may not usually be performed in the workplace by people of this gender

▶ The candidate is a different gender to the assessor

Assistance provided:

▶ Use a range of assessment methods

▶ Verbal questioning and interviews

▶ Portfolio assessment

▶ Use an assessor of the same gender, if appropriate

▶ Make sure assessment tools are not gender-specific in content

▶ Eliminate the use of stereotypes in images and communication

Format of assessment materials

Potential issue:

▶ May be required by those who have a disability, do not speak English as their first language or have issues related to LLN

Assistance provided:

▶ Use appropriately formatted assessment materials; this could include the use of:
  – the candidate's first language
  – audiotape or videotape
  – braille
  – diagrams, flowcharts or illustrations

Revise proposed assessment methods and tools

Potential issues:

▶ Individual differences that may need to be addressed by revising assessment methods and tools include:
  - LLN barriers
  - physical impairment or disability
  - medical condition that may impact on assessment
  - learning difficulties
  - mental or psychological disability
  - religious and spiritual observances
  - age
  - gender

Assistance provided:

▶ Provide multiple short tests or allow rest periods

▶ Online assessment

▶ Limit distractions – select an appropriate venue

▶ Coordinate assessments with medication regime to optimise performance

▶ Use graphics and images to augment the written word

▶ Select an assessment method other than a written, formal exam

▶ Offer assessment options

▶ Offer opportunities to use electronic technology for sending responses such as email or SMS

Provide flexible assessment sessions

Potential issues:

▶ Candidates may require flexible assessment sessions if they have a disability, are older, have a medical condition or mental illness or are taking medication

▶ Consider whether a candidate's cultural, religious or spiritual beliefs may impact on the duration of assessment

Assistance provided:

▶ Use formative assessment

▶ Portfolio or online assessment methods may be suitable

▶ Negotiate assessment timing with candidates

▶ Offer workplace assessment

▶ Provide access to specialist support, such as scribes

Example

Discuss and confirm the assessment context and any need for reasonable adjustments

Alkira moves to the city from her home in central Australia. She gains employment in an inner- city childcare centre where the majority of children are Aboriginal and Torres Strait Islanders.

Alkira is completing a Certificate III in Early Childhood Education and Care and is employed as a workplace trainee. Her workplace supervisor is contributing to Alkira's assessment under the guidance and supervision of the RTO's assessor.

Alkira is ready to be assessed for the unit of competency *CHCECE004 Promote and provide healthy food and drinks*. Her assessor, Malcolm, has visited the centre to meet with Alkira's workplace supervisor. Malcolm arranges for Karri, a community services worker, to participate in the meeting. Karri will contribute to the assessment process by acting as an interpreter and translator for Alkira as she has issues with language, literacy and numeracy and particularly with written English.

Malcolm prepares for the meeting by developing a document that describes the context of assessment, which he can give to the workplace assessor and the community services worker. He has previously also completed a candidate profile with Alkira, which he shares at the meeting with Alkira's permission.

Context of assessment

Environment where assessment is to be conducted	Dajirra Childcare Centre
Purpose of assessment	To demonstrate competence aligned with the unit of competency
Relationship between unit of competency and candidate's workplace	The candidate is currently employed as an assistant in the childcare centre. An opportunity will be provided for her to observe and assist in the centre kitchen on several occasions prior to assessment.
Timing of assessment	Completed assessment to be submitted by 10 November
Assessment method	▶ Develop a three-day menu for either a group of toddlers, pre-schoolers or school-aged children ▶ Observation checklist ▶ Brief report ▶ Completion of a quiz
Reasonable adjustment	LLN support to develop the skills necessary to record the menu and responses to verbal questioning and verbal report on identifying and responding to requirements related to food allergies, medical conditions and cultural and religious requirements.
Candidate profile	Supplied separately

Activity 7

The following learning activity provides an opportunity for you to practise confirming the assessment context, including the candidate's characteristics and any need for reasonable adjustment.

Read the case study, then complete the tasks that follow.

> ### Case study
>
> Mohamed is completing a qualification that involves a written test of the knowledge evidence component of the unit of competency. The competency suggests questioning as the appropriate method for assessing the knowledge evidence.
>
> Mohamed lives in a regional location following his move to Australia as a refugee from Afghanistan. He is completing his vocational education under the supervision of a community services worker who is being guided and supervised by an RTO.
>
> The community services worker is concerned that some information from Mohamed's candidate profile may have been missed and that appropriate reasonable adjustment has not been provided for him.
>
> Among her concerns are that:
>
> ▶ the written exam is scheduled for 11.45 am; this will interfere with Mohamed's observance of prayer time
> ▶ Mohamed has language and literacy issues
> ▶ Mohamed's experiences in Afghanistan have resulted in a mild anxiety disorder.
>
> The community services worker is confident that given appropriate reasonable adjustment, Mohamed will perform well in the assessment. He is a bright and articulate person with relevant work experience in Afghanistan.

1. What is the assessment context described in the case study?

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2. What are the potential barriers to assessment in this scenario?

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3. Identify the characteristics of the candidate that should have been considered when planning assessment.

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4. Suggest the assessment method that you believe would be appropriate in this scenario. (Remember that the requirements of the unit will need to be taken into consideration when considering this point.)

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5. What recommendations should the community services worker make in regard to reasonable adjustment?

6. Explain the method the community services worker should use to raise her concerns with the assessor.

Click to complete Activity 7

2D Confirm and arrange resource requirements

Resource requirements need to be confirmed and arranged in consultation with the assessor, candidate and specialist personnel in human resources and workplace health and safety roles. The assessment plan will also be an important source of information. Consider strategies to ensure that materials and resources specified in the assessment plan are available to conduct the assessment.

You have a responsibility to use the organisation's resources effectively, efficiently and safely.

Identify resources

The candidate will require access to various resources during assessment. The context of assessment and the specific performance criteria that are described in the unit of competency will determine the resources that are needed for assessment. Training packages usually require assessment to be conducted in an actual or simulated workplace. This means the candidate requires access to the types of resources usually available to them in the workplace. This may include access to plant and equipment, technology, workplace policies and procedures, subject and technical experts, and resources that are required to comply with WHS policies.

The assessor can help you identify the resources required for assessment. They should also be able to assist with gaining access to the resources and securing the assistance of other people required to assist with assessment, such as technical and subject experts or specialist support services.

Prepare materials for assessment

Your workplace policies and procedures and the assessment plan are useful in identifying the material you need to prepare for assessment. Allow sufficient time prior to assessment to gather the materials; for example, in cases when you are contributing to group assessments, you may need to organise for printing of bulk assessment materials.

You may also need to securely store the materials prior to assessment; for example, if you were conducting assessment of units of competency that will lead to a licence being issued or the candidate being certified to operate a specific piece of high-risk equipment. You may need to secure the assessment instruments and ensure they are distributed to candidates with appropriate supervision during assessment.

Resources to gather evidence

Assessment requirements, including assessment conditions and information in the assessment plan, are useful in determining the physical resources that are required for assessment.

You may need to communicate with other members of the candidate's work group, learning and development specialists in the workplace, or human resources staff to coordinate a time for assessment. Ensure that the candidate has access to the various resources and materials that are needed to perform the specific work activity that forms the basis of assessment; for example, any equipment, technology, PPE (such as visors or gloves), documents or forms, or items that the candidate needs immediate access to during assessment.

You may be responsible for checking the physical resources to confirm they are safe to use, such as the handling of chemical substances. Make sure the candidate has access to actual or simulated workplace policies and procedures, PPE, chemicals and an appropriate container for disposal at the completion of the assessment.

Access to policy and procedures

Candidates undertaking assessment in actual or simulated workplaces often require access to workplace policies and procedures. These policies and procedures may be available in printed format or electronically on the organisation's intranet.

When you are contributing to assessment in a simulated workplace, you may need to coordinate availability to appropriate simulated policy and procedure documents. You should check your workplace policies and procedures and seek the advice of the assessor to organise sample policy and procedure documents for use in a simulation.
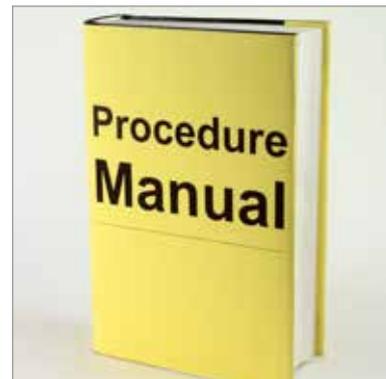
Plant, equipment and technology

Plant, equipment and technology requirements vary to suit the specific performance outcomes described in the unit of competency. You have a responsibility and duty of care to ensure that any plant, equipment or technology used in assessment is safe and has had any relevant inspections or maintenance performed before being used by the candidate.

Here are aspects of using equipment that may apply.

Simulated workplace

▶ In some cases, you may decide, in consultation with the assessor, to conduct assessment in a simulated workplace where specialised tools, equipment and technical experts are available.

Online assessment

▶ Online assessment is a useful method of assessment for remote or isolated candidates who require access to simulated workplaces and specialised plant, equipment and technology.

Induction training

▶ Check your workplace policies and procedures for advice about whether you or the candidate need to undertake induction training before using these types of resources during assessment.

Reasonable adjustment

▶ The assessor can clarify any reasonable adjustment that is to be provided for the candidate in those cases where assessment involves plant, equipment and technology.

LLN demands of SOPs

▶ Consider the individual needs of candidates with LLN issues who may need additional support to read and interpret standard operating procedures.

WHS requirements

▶ Follow policies and procedures to ensure all WHS requirements are met when accessing plant, equipment or machinery and for the safe and correct use of PPE. Also incidents where vulnerable people may be involved; for example, older people or young children.

Follow WHS regulations

Risk assessment determines whether the assessment environment is safe, the measures needed to make it as safe as possible, that the workplace meets WHS regulations and prioritises the risks to be addressed and those that can be tolerated. Checklists and job safety check forms provide methods for reporting a hazard at the same time as identifying it.

Hazard report forms are used as official notification that a hazard exists and the describes the action that needs to be taken. Your workplace policies and procedures will guide you in reporting and controlling risk in your workplace and when conducting off-site assessments.

Once a hazard report has been lodged, the people responsible must review the report promptly, take suitable action and inform the relevant people regarding outcomes and actions. You should not proceed with the assessment until control measures have been implemented. Remember: you have a duty of care to the candidate and must take all reasonable steps to ensure their health and safety during the assessment process.

Reporting and emergency procedures

All employees and assessors need to report any hazards, near-miss incidents and injuries that occur in the workplace. This usually involves completing an incident report form and submitting it to the relevant workplace supervisor as soon as possible.

The purpose of these reports is to ensure compliance with policies, procedures and regulations relating to the reporting, investigation and correction of incidents. It is a legal requirement under WHS legislation and for insurance purposes, to report all injuries in the workplace.

You need to be familiar with evacuation procedures in the assessment environment such as the location of emergency exits, firefighting equipment and first-aid supplies. When using material, equipment or technology that poses a risk to personal safety, you need to know how to contact the person who is able to administer first aid. You should also know the procedures to shut down any equipment and machinery in an emergency. Remind all candidates of emergency procedures by conducting periodic fire drills or evacuation drills. Check the organisation's WHS policies and procedures for information on the fire drill or evacuation drill schedule that is implemented.

Example

Confirm and arrange resource requirements

Lex is a workplace trainee completing the unit *MSMSUP303 Identify equipment faults*. To achieve this unit of competency, Lex must demonstrate that he can identify equipment faults. Specifically he must provide evidence that he has achieved the performance criteria and other aspects of the unit of competency, including evidence of his ability to:

▶ identify scope of operational check

▶ plan operational checks

▶ check unit through full operational range

▶ identify faults and formulate recommendations

▶ make recommendations.

The assessment plan has identified that assessment will occur in his workplace. Lex's workplace coach and the company's health and safety representative (HSR) will be involved in his assessment. The HSR has agreed to source relevant standard operating procedures and PPE. The workplace supervisor will conduct a risk assessment.

The range of evidence that Lex may provide to his assessor as proof of competence includes samples of workplace documents that he has completed, third-party reports, knowledge tests/quizzes and observation checklists.

Activity 8

For this learning activity, you will collect and arrange resources for a candidate to assist in the assessment process.

1. Source an assessment activity that requires the candidate to use plant, equipment or materials.

2. Access the RTO's workplace policies and procedures and the WHS policies and procedures for the candidate's workplace. Source the various forms and templates that have been designed as part of the organisation's WHS system.

3. Conduct an evaluation of the risks that are involved in assessment. Record your risk assessment on the appropriate form or template.

Click to complete Activity 8

Summary

1. Ultimately, it is the responsibility of the training organisation to ensure that the assessment process is implemented in accordance with the policies and procedures. The assessor will assist you to access and interpret information from the training organisation.

2. You will perform your role in assessment most effectively when you have established a professional relationship with the assessor. This involves regular and meaningful discussions and respect for each other's role in supporting the candidate during the assessment process.

3. You must understand the assessment process the candidate is participating in, so you can provide support, information and guidance where necessary.

4. The most important point of contact for parties contributing to assessment is the assessor. They can explain the assessment context, candidate's profile, implementation of the assessment tool and the method for collecting quality evidence and any reasonable adjustment that is to be provided.

5. The assessor can confirm details of the assessment environment so you can arrange access to the environment, appropriate work tasks, necessary tools, equipment and materials and the documents that you are responsible for completing.

6. When contributing to assessment, you have an obligation to work safely to ensure plant and technology are safe and that you and candidates know how to use necessary resources safely. This means understanding hazard identification and reporting, risk control, following organisational and emergency procedures and sourcing WHS information from relevant sources.

Topic 3

In this topic you will learn how to:

3A Explain the assessment process to the candidate and refer any candidate issues or concerns to the qualified assessor

3B Use assessment instruments to gather quality evidence within requirements

Collect evidence in accordance with the assessment plan

You are likely to be an important support to the candidate during the assessment process as part of your role is to be a provider of information and guidance when you are assisting with assessment in the workplace. The candidate relies on you to clarify important details and instructions about assessment. You can also assist the candidate to communicate with the assessor about any issues, problems or difficult questions that arise during the assessment process. You must communicate effectively in order to do this.

Your role and responsibilities may also require you to contribute to the implementation of assessment instruments to gather quality evidence. You may be required to complete third-party reports, authenticate work samples, supervise simulations, record your observations of the candidate's performance and question candidates to gather evidence of the knowledge that underpins their performance.

3A Explain the assessment process to the candidate and refer any candidate issues or concerns to the qualified assessor

The assessor is responsible for providing assessment information and the assessment instruments. Your role is to confirm with the candidate that they understand how assessment will proceed, including strategies that will be used to gather evidence and your role in the process.

The candidate needs to understand the different responsibilities of the parties involved.

Advice to candidates includes:

▶ the steps that are involved in the assessment

▶ when the assessment will take place

▶ the time and place of assessment

▶ the purpose behind assessment

▶ the performance measures that will be used to judge competence

▶ any terms used in the assessment task that may cause difficulties and need to be clearly explained

▶ materials and resources required for the assessment

▶ what they need to do if they wish to appeal a decision made in their assessment.

Clarify details with the candidate

The assessor will confirm the details of the assessment plan with candidates. They may ask for your assistance to have the candidate sign a form or send an email that confirms that they have received information about assessment arrangements. Take into account the following considerations when clarifying details.

Timing

When you are supervising the candidate, you should be involved in the timing of evidence-gathering activities so you can explain this to candidates at the beginning of the assessment process or prior to training. The assessor should give you sufficient notice about when the candidate needs to be absent from work to undertake assessment. This ensures that the work group's activities are not disrupted. Candidates require sufficient notice of assessment requirements to ensure they make time available to complete the assessment and negotiate the timing of assessment with the assessor.

Individual needs

You also need to consider the individual needs of candidates in determining the assessment timing. You may not always be able to accommodate their needs but you should be sensitive to their circumstances, particularly when this relates to ensuring equitable access to assessment. For example, a person with a physical disability may need to schedule their assessment at a time when they have access to tools or equipment that have been modified to assist with performing a specific work activity.

Further evidence

You may review the candidate's assessment and identify that they have not satisfied the rules of evidence for specific assessment criteria. Check with the assessor the RTO's policies and procedures for giving advice to candidates about providing further evidence to address gaps.

Candidates will often benefit from being given exemplars or samples of best practice methods of presenting evidence. You may need to provide additional support to candidates to ensure they are able to clearly link their evidence to the assessment requirements.

Build an effective relationship

It is crucial that the candidate has sufficient information about your role in the assessment process including how the privacy of their personal information (including assessment outcomes) is protected. Communicating in the following ways facilitates the flow of necessary information between you and a candidate.

Use appropriate language

Explaining the process of assessment in language that is appropriate to the education and experience of candidates helps to build trust and rapport. Encourage candidates to share their previous experiences of learning and assessment with you.

Demonstrate respect

You should demonstrate to candidates that you value them sharing this personal information with you. This further encourages candidates to discuss any fears or concerns they have about assessment. Respect confidentiality and privacy; you require the candidate's permission to share their personal information with the assessor.

Individual needs

Discuss assessment with candidates and ask questions to build a profile of their assessment needs and individual strengths and weaknesses. Develop a relationship where the candidate is willing to trust you with their personal information.

Determine LLN needs

An LLN assessment may occur as a preliminary assessment to establish whether reasonable adjustment is required to address a person's individual needs. Adjustments should still satisfy the assessment requirements of the units of competency. For example, the assessor may need to adjust the way instructions are worded so candidates can provide answers orally instead of in a written report.

Address candidate concerns

You should make yourself available to discuss any concerns candidates have regarding assessment confidentially, and partner with them to develop an appropriate action plan. In some cases you may be able to address the candidate's concerns directly. For example, the candidate may be concerned about how they protect the privacy of workplace information in evidence they gather in the workplace, or how they re-organise their work routine to allow time for gathering evidence. You may be able to assist candidates with LLN issues to interpret assessment instrument instructions.

For many situations, you can best assist the candidate by referring their concerns to the assessor. The assessor has the expertise to modify the assessment instrument to provide reasonable adjustment, where appropriate, and to assist with inquiries regarding RPL assessment. During the assessment planning stages you should confirm that the candidate understands the process that is used to judge evidence, how the outcome will be reported and how their results may contribute to gaining a qualification or statement of attainment.

Example

Explain the assessment process to the candidate and refer any candidate issues or concerns to the qualified assessor

Bill enrols in the Certificate II in Information, Digital Media and Technology. The course is recommended by his case manager to help him reach his goal of working full time in an office. Bill has a significant vision impairment that affects his ability to achieve good results at school. Completing various short courses has gradually improved Bill's confidence and self-esteem.

An individual learning plan is prepared for Bill by an assessor, and the case manager, who has built a respectful and effective relationship with Bill, explains and discusses its details with him. Bill will complete the various units of competency using adaptive technology that enables him to use computers effectively. For example, Bill is soon to be assessed for the unit *ICTICT205 Design basic organisational documents using computing packages*. The terminal that he will use during assessment allows Bill to increase the font size and colour and select a background colour to suit his individual needs. He will answer questions about workplace health and safety verbally as an adjustment to his language and literacy needs.

Activity 9

For this learning activity you need an assessment plan and a partner to role-play with you.

Role-play a meeting with a candidate where you explain their assessment plan. Develop a form on which you can record the candidate's agreement to the plan or ask your trainer for a sample 'Assessment agreement' template.

Briefly explain:

▶ how you provided the information to the candidate

▶ any special requirements that the candidate had

▶ what worked well

▶ improvements you would make in the future.

Click to complete Activity 9

3B Use assessment instruments to gather quality evidence within requirements

The assessor is responsible for using assessment instruments that align with the assessment plan and have been trialled so judgments of competency can be applied consistently by all assessors based on the types of evidence received. Take note of the types of evidence the assessment instrument is designed to collect. In organisations such as RTO's, you must gather quality evidence within the available time and resources and according to organisational, legal and ethical requirements.

Assessment instruments

Assessment instruments are developed by assessors as part of assessment activities to assess competence. There is a range of serious consequences for the training organisation and, potentially, for learners when regulations are not complied with. Assessment instruments should be carefully designed and implemented to promote compliance and to achieve quality outcomes for learners.

An assessment instrument may include:

▶ profiles of acceptable performance measures; for example, a benchmark for teamwork performance may be, 'The candidate manages work relationships effectively and seeks feedback from colleagues on their professional performance'

▶ templates and proformas for observations, questionnaires, third-party reports, self-assessments

▶ specific questions or activities, such as written or verbal questions for interviews, or observations

▶ evidence and observation checklists

▶ checklists for the evaluation of work samples

▶ recognition portfolios that contain a collection of items of evidence collected by the candidate to demonstrate their competence in regard to the assessment criteria

▶ candidate self-assessment materials

▶ instruments developed elsewhere that have been modified by the assessor for use with a particular client group.

Time lines

The assessment plan will have established a time line for the assessment process. It is crucial that evidence is presented to the assessor with sufficient time allowed for them to judge competence. There may be serious consequences for the candidate if assessment is not completed within the specified time line.

Here are examples of impacts this could have and how you can address them.

Consequences of not meeting deadline
Delay to other training
It may be necessary for the candidate to successfully complete prerequisite units to proceed through their course.
Failure to meet requirements
Assessment criteria may mandate the collection of evidence over time and from a variety of different contexts requiring a detailed collection plan.
Apprentices and trainees
Apprentices and workplace trainees are required to progress through their training in accordance with a specified time-based plan.
Impact on the candidate's plans
The candidate may have enrolled in a course for a specific time such as semester 1 and when assessment is not completed within the semester, the candidate may need to re-enrol.
Funding
The candidate may have received funding from a government department or community body or support from their employer to undertake their training; their funding and resources may be dependent on their compliance with an established training time line.
Impact on the workplace
The candidate may need to successfully complete assessment to undertake specific work tasks that form key components of their job role. For example, the candidate may need to be assessed as competent in order to continue to operate the forklift in the warehouse.
Inform assessor
In cases when the candidate is not ready to submit their evidence for assessment by the specified time, the assessor should be advised with sufficient notice. The assessor should have a contingency plan to address this issue.

Resources

Collaborate with the assessor to ensure that appropriate resources are used during the assessment. In many cases, the assessment requirements specify the various materials, technology, plant and equipment, industry standards and regulations or software the candidate must use during assessment. When the necessary resources are not available when required, you should ensure that the assessor is made aware of the situation. They may have a contingency plan that includes conducting assessment in another environment or they may be able to delay assessment until the resources are available.

Organisational and legal requirements

Assessment instruments are designed to comply with the training organisation's policies and procedures; however, you are responsible for ensuring that your own performance during the assessment process also complies with your own workplace policies and procedures. You may need to confirm with the assessor your role, responsibilities and obligations.

You also need to comply with legislation that protects the candidate's privacy, health and safety, dignity and equitable participation in the assessment process and the workplace. There are serious consequences for all parties when these obligations are not met. There may also be consequences for the candidate as they may be impeded from gathering quality evidence. The candidate may face other consequences including stress, harassment, loss of work opportunities or poor work outcomes as a result of appropriate procedures not being followed.

Organisational policies and procedures relate to:

▶ complying with workplace health and safety requirements

▶ protecting personal information and commercially sensitive information

▶ promoting access and equity

▶ undertaking sustainable work practices

▶ maintaining organisational records such as human resources records, financial records and training records

▶ using resources efficiently and effectively

▶ promoting a positive appreciation of cultural diversity

▶ undertaking continuous improvement.

Gather quality evidence

Once you have discussed and confirmed the assessment instrument, you are able to begin the process of collecting evidence. Here is information about aspects of the way you may contribute to the process of a collecting a candidate's evidence for assessment.

A single observation

You may be required to contribute to assessment by observing or reporting on the candidate on only one occasion. In this case, you would most likely be contributing supplementary evidence, with the primary evidence to be collected using another method such as the completion of a case study or formal written examination.

Collect evidence over time

You may be required to oversee the collection of evidence at several points using different methods throughout the learning or assessment period. You may be required to observe the candidate and complete a checklist, reflect on their usual performance in a third-party report, question them as they perform a specific task or sign their work diary or log to authenticate their work performance. The assessment instrument will contain instructions that both you and the candidate should follow to collect quality evidence.

Communicate

Remain in contact with the assessor so you can receive feedback on your performance and resolve any issues or questions that arise during the assessment process.

Confirm with the assessor your role in providing feedback to the candidate. You are not in a position to judge their evidence, but it may be appropriate for you to give formative feedback on the quality of the evidence they have collected at various stages.

Authenticate evidence

Your role also involves authenticating evidence collected by the candidate. You may be required to sign a form or annotate (note and sign) a work sample that clearly records that the product or work sample was completed primarily by the candidate.

Record evidence

RTOs invest significant resources in developing templates and proformas to create records that clearly demonstrate they are fulfilling their compliance obligations.

You may find a range of templates and proformas are available for you to use in various assessment contexts. The information in the following table shows examples of indicators of quality evidence for observations in the workplace and in a simulation setting.

Observation in a simulated workplace

▶ Simulated workplace is authentic to an actual workplace
▶ Access to appropriate simulated workplace policies and procedures
▶ Activities performed authentically replicates the actual workplace
▶ Advice sought from subject matter expert or safety expert (where appropriate)
▶ Work performance complies with WHS policies and procedures
▶ Candidate used appropriate resources effectively and efficiently
▶ Observation report completed accurately, in a timely manner
▶ Feedback given to the candidate
▶ Record of any reasonable adjustment provided

Observation in a real workplace

▶ Observation completed in an actual or simulated workplace
▶ Work performance complies with WHS policies and procedures
▶ Candidate used appropriate resources effectively and efficiently
▶ Observation report completed accurately, in a timely manner
▶ Feedback given to the candidate
▶ Record of any reasonable adjustment provided

Third-party reports

▶ Observation completed in an actual or simulated workplace

▶ Work performance complies with WHS policies and procedures

▶ Candidate used appropriate resources effectively and efficiently

▶ Observation report completed accurately, in a timely manner

▶ Gaps in evidence addressed with supplementary evidence (advice may be required by the assessor)

▶ Feedback given to the candidate

▶ Record of any reasonable adjustment provided

Example

Use assessment instruments to gather quality evidence within requirements

Harry is completing a Certificate II in Horticulture qualification at a local TAFE. He is required to complete a unit of competency that involves measuring chemicals. Harry's TAFE trainer has organised with Harry's employer for assessment in this unit to be conducted in the workplace.

Lucia is Harry's team leader and has assisted him to collect evidence from the workplace.

Here are actions that Lucia takes to gather evidence within time, resource and legal and organisational requirements.

Discuss with the assessor

▶ Lucia meets with Harry's TAFE trainer to confirm that she understands the assessment method and instrument.

Read assessment instrument

▶ The assessment instrument Lucia will use includes detailed instructions for a series of activities that Harry is to perform in the workplace. The evidence for assessment needs to demonstrate that Harry not only performs the task as required, but also uses appropriate WHS safety equipment and clothing and is capable of identifying hazards.

Consult the health and safety representative (HSR)

▶ All parties must comply with workplace WHS policies and procedures during evidence-gathering activities. Lucia seeks advice from the organisation's HSR before commencing the assessment. He helps her conduct a risk assessment, discusses additional opportunities for gathering evidence with the assessor and suggests some questions that could be used to assess knowledge evidence.

Meet regularly

▶ Lucia and Harry set aside time each week to review the activities he will complete. Lucia supports Harry by suggesting he refer to workplace policies and procedures, helps him find references such as journals and internet sites and checks that he has fully completed each activity. Lucia also authenticates that each activity has been completed by Harry.

Arrange supplementary evidence

▶ Lucia completes a third-party report of her observations of Harry performing various tasks. The third-party report is used as supplementary evidence.

Activity 10

For this activity, you need to use an assessment method and assessment instrument to gather evidence that is organised and documented in an appropriate format.

Gather evidence by completing the following tasks.

1. Select a unit of competency from any training package. You may use either a unit of competency that you are responsible for assessing for your RTO or you may wish to use *BSBCMM201 Communicate in the workplace* from the BSB Business Services Training Package.
    ▶ Obtain a copy of the unit of competency.
    ▶ Access the assessment instrument and assessment method of gathering evidence for the unit.

2. Read and interpret the unit of competency and prepare a plan for gathering evidence that addresses the elements, performance criteria, the performance evidence, knowledge evidence and assessment conditions and includes the assessment instruments and method for gathering evidence.

3. Identify any potential barriers and processes relating to the assessment instrument and method.

4. Gather evidence by implementing the assessment instrument in an actual or simulated environment.

5. Describe how you will organise and document the evidence in a format suitable for determining evidence.

6. Record a reflective statement regarding your experience in gathering quality evidence.

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7. Retain the evidence for use in other learning activities in this learner guide.

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Summary

1. The assessor is responsible for giving assessment information and the assessment instrument to the candidate; however, you need to confirm with the candidate that you have a shared understanding of how assessment will proceed.

2. The information you share with candidates about the assessment process could include how you can support them to gather evidence for assessment, provide reasonable adjustment, coordinate access to specialist support and how their privacy is protected.

3. The candidate must understand the responsibilities of the various parties involved in assessment.

4. Assessment instruments are carefully designed to ensure that quality evidence is gathered for each of the assessment requirements and to satisfy the rules of evidence and principles of assessment.

5. Assessment instruments are designed to comply with the training organisation's policies and procedures; however, you are responsible for ensuring that your own performance during the assessment process complies with your own workplace policies and procedures.

Topic 4

In this topic you will learn how to:

4A Organise and provide evidence to the qualified assessor in a suitable format

4B Actively seek feedback on the adequacy of evidence-gathering

4C Document areas for improvement in collecting evidence

Record and report findings

Organisations that are committed to promoting a learning culture and quality in assessment practice, regularly undertake an evaluation of assessment processes. Your first-hand experience in assisting candidates, implementing assessment instruments and complying with various systems, policies and procedures equip you to make a valuable contribution to the continuous improvement of assessment processes.

Evidence collected should also be evaluated during the assessment process as part of validating the assessment tool and in order to be fair to candidates. Although you may not be formally involved in the work of a validation panel, your feedback about the effectiveness of the tool and the nature and quality of evidence produced by assessment candidates may be important. It may flag an urgent review of the tool or provide proof that the tool produces good quality evidence.

You should also seek feedback from other people, including candidates and assessors, on your performance with regard to assessment. Use this feedback and your self-evaluations to reflect on your assessment practice and identify opportunities and strategies for improvement.

4A Organise and provide evidence to the qualified assessor in a suitable format

The assessor will provide instructions regarding the format that is to be used to present evidence for assessment. You may find that the assessor asks for evidence be provided at various points throughout the learning stage in order for them to give formative feedback to the candidate.

The assessor also requires the collected evidence for a judgment of competence at the completion of learning. This could involve various forms, checklists, samples of work and completed quizzes that are collated in an assessment portfolio.

You need to submit the evidence in the requested format to ensure the evidence submitted satisfies the rules of evidence and principle of assessment; the assessor can read and analyse the evidence easily in order to make a judgment; and the gaps in the evidence are identified and addressed. You must know the required level of information that is needed and be able to write clearly and unambiguously so others can understand what you have written.

Organise and document evidence

The training organisation's assessment procedures may describe the assistance you are expected to provide candidates in organising and documenting evidence. You should be mindful that some cohorts of candidates require greater levels of support. These cohorts generally include those who are new to vocational training and assessment or those who have disabilities or lower levels of language and literacy.

Candidates who may require support documenting evidence include:

▶ recent school leavers

▶ those presenting for assessment for the first time

▶ those being assessed at lower AQF levels (such as AQF 1, 2 and 3)

▶ people with disabilities

▶ older assessment candidates

▶ candidates with low language and literacy levels

▶ people who do not speak English as their first language

▶ people who have previously not been successful in school education.

Context of assessment

The assistance you provide is determined by the policies and procedures of the training organisation and the time you have available to support individual candidates.

The context of assessment also impacts significantly on your responsibilities for organising and providing assistance to the assessor.

Levels of responsibilities may differ:

▶ when contributing to the assessment of an apprentice, you will be required to collaborate with the assessor in compliance with the training and assessment plan

▶ where a person is undertaking a training course to further their work opportunities you may be able to lend your expertise and knowledge to the evidence-gathering process; it is unlikely that you would have direct communication with the assessor.

Collate the evidence

The instructions in assessment instruments should include advice about the format the candidate will use to present their evidence. This will likely be a process agreed upon and used as a part of the RTO's assessment system procedures.

You should consider meeting the candidate at various times to check their progress during the assessment process and discuss the strategies they are using to gather evidence. Where appropriate, you should give the candidate feedback on the evidence they have gathered and help them identify any gaps in their evidence.

Candidates may want to know:

▶ the approximate word limit of a report

▶ the layout of reports

▶ the ordering of documents in a portfolio

▶ how to verify third-party reports

▶ the time limit on presentations

▶ software that should be used to create documents

▶ methods they should use to submit product samples

▶ the duration of observations.

Presentation of documentation

The following table highlights some examples of strategies used to meet an organisation's assessment procedures for the documentation of the evidence.

Role-play
Evidence: ▶ Role-plays provide a safe environment for practising new skills during learning. Those who view the role-play, including the learner's peers, the assessor and the assessment assistant, are able to give feedback. **How it can be collated and presented:** ▶ Evidence from role-plays includes observation checklists completed by third parties (including peers, role-play partner and workplace supervisor). ▶ The candidate may submit a self-assessment or reflective statement. ▶ The assessor may require a recording such as an MP3 file, podcast or DVD of the role-play to be submitted as a component of assessment. ▶ Supplementary evidence may have been gathered using questioning.

Direct observation

Evidence:

During an observation, the assessor or a third party watches the candidate performing a process or series of tasks to gather evidence.

How it can be collated and presented:

▶ The completed observation checklist should include:
  – name of the observation
  – location of assessment
  – unit of competency and benchmarking criteria
  – time of assessment
  – comments and specific examples of work performed by the candidate
  – any reasonable adjustment provided
  – name and signature of the person conducting observation.

▶ Supplementary evidence including journals, peer feedback summary, audiovisual recordings, photos or questioning must be clearly labelled and linked to the assessment requirements.

Written or verbal questioning

Evidence:

Questioning is an effective method for assessing required knowledge and may be used in conjunction with simulations, projects, observations or case studies.

How it can be collated and presented:

▶ There is a range of question types, including:
  – multiple choice
  – true/false
  – written short answer
  – interviews.

▶ Responses should be clearly recorded for each question and correctly labelled.

▶ Questions that were not attempted should be clearly identified.

▶ Any reasonable adjustment that was made should be noted.

▶ The name and signature of any person who acted as a scribe or interpreter during questioning should be recorded.

▶ You may be required to return the original list of questions (a question booklet, for example) to the assessor.

Portfolio of evidence

Evidence:

A portfolio is a collection of evidence that is gathered to show a person's learning journey over time and to demonstrate their abilities.

How it can be collated and presented:

▶ It is essential that you consider the context of assessment when providing guidance to candidates about the types of evidence they could present in their portfolios.

▶ The following items may be available to the candidate:
  – Collection of work samples compiled by the candidate
  – A product with support documentation
  – The candidate's résumé, certificates, awards and qualifications
  – Testimonials from work colleagues, supervisors, customers and suppliers
  – Work completed as a learner in other courses of study
  – Journal or logbooks
  – Photographs of work
  – Testimonials from groups where the candidate has contributed as a member of a sporting or community group.

▶ Check the RTO's procedures for authenticating the evidence presented in the portfolio.

▶ Check the RTO's requirement for currency of evidence. Older evidence must be supported with evidence that demonstrates that the candidate has maintained their competence using a range of strategies.

▶ A well-presented assessment portfolio contains clearly labelled items that are linked to the assessment requirements. Evidence will be gathered from a range of sources and demonstrate performance over time.

Structured activities

Evidence:

A structured activity is a task or a series of tasks with a defined outcome.

How it can be collated and presented:

▶ Structured activities include:
  – projects
  – presentations
  – activity sheets
  – essays and reports.

▶ The instructions for the structured activity usually include specific formatting information. Confirm that the evidence:
  – includes the candidate name and student number (where applicable)
  – has a correctly completed cover sheet attached
  – is being submitted no later than the required date
  – is legible
  – has been authenticated by a third party (where required).

▶ Remind the candidate that it is good practice to retain a copy of the submitted evidence.

Work samples

Evidence:

Candidates may include work samples or products in a portfolio presented for assessment or as an individual component of assessment. Wherever possible the assistant assessor should attempt to observe the candidate's involvement in the process of creating the product.

How it can be collated and presented:

▶ The type of product the candidate presents for assessment will be determined by the context of assessment (their work role and the requirements of the assessment criteria).

▶ The work sample should be clearly labelled with the candidate's name and student number (where applicable).

▶ Specific aspects of the work sample should be highlighted to demonstrate the link with the assessment requirements.

▶ You should check the RTO's procedures for authenticating the evidence presented in the portfolio.

▶ Supplementary evidence including a journal, peer feedback summary, audiovisual recordings, photographs or questioning must be clearly labelled and linked to assessment requirements.

Example

Organise and provide evidence to the qualified assessor in a suitable format

The following is an example of a checklist that was used by a marketing manager who was contributing to the assessment of an employee completing the unit *BSBMKG413 Promote products and services*. The candidate, Clive, has collated a portfolio of evidence for submission to the RTO. The marketing manager, Sasha, is Clive's mentor.

Sasha arranges to meet with Clive several times while he is collecting the evidence for his portfolio and they review each item against the information they are given by the assessor, regarding the rules of evidence. Sasha assists Clive by helping him access workplace documents such as the promotions budget and minutes of team meetings.

Once Clive is satisfied that he has collected quality evidence, a meeting is held to collate the information in the assessment portfolio. Sasha helps Clive organise the evidence by labelling each piece and linking it to benchmarks that were to be used to judge competence. Sasha also authenticates work samples and completes a third-party report.

Sasha checks the completed assessment portfolio using the checklist that had been provided with the assessment instrument and arranges for collection of the portfolio by the assessor.

Assessment instructions for: BSBMKG413 Promote products and services

The following checklist may be used to identify the various documents you may wish to include in your portfolio. It should be noted that this list is a guide only and is not exhaustive. You are not required to present all evidence described here. Discuss with your supervisor or teacher how much evidence is sufficient to demonstrate your competence. You may be required to provide additional evidence including being observed completing activities or answering questions.

Include as many of the following items in your assessment portfolio as possible:

Checklist of documents that may be included in the portfolio		
☐ Extracts from the organisation's marketing plan that identifies promotional activity requirements	☐ Promotional plan developed by me	☐ Work activity plans for promotional activities
☐ Schedule of planned promotional activities	☐ Human resources plan for implementation of the promotional plan	☐ Promotions budget
☐ Minutes of team meetings to develop promotional activities	☐ Reports for senior management in the organisation reviewing the effectiveness of your promotional activities	☐ Activity monitoring and evaluation plans
☐ Review of the current promotion strategies		☐ Extracts from relevant workplace policies and procedures
☐ The organisation's strategic plan		☐ Minutes of team meetings
☐ Membership of relevant professional associations and networks	☐ Operational plan for marketing/ promotional work group	☐ Web pages developed, reviewed or maintained by me
☐ Promotional materials prepared by me	☐ Resource plan for promotional activities	☐ Product launches coordinated by me
☐ My job description	☐ Subscriptions to relevant journals and online communities	☐ Media releases, articles and media background information prepared by me
	☐ Client functions coordinated by me	☐ Observation checklists completed by my supervisor or trainer
	☐ My performance appraisal	

Activity 11

Use the evidence you collected in Activity 10 to complete this activity.

Refer to the assessment plan and the assessment instrument and collate the gathered evidence in a format suitable for analysis.

4B Actively seek feedback on the adequacy of evidence gathering

The purpose of gathering evidence of a candidate's performance, skills and knowledge is to enable the assessor to make a judgment of competence against assessment benchmarks. The principles of assessment are the benchmark that assessors use to check whether they have selected the most appropriate method for gathering evidence. The assessor can provide you with feedback on whether your performance in implementing the assessment instrument complied with the principles of assessment.

You have a responsibility to actively seek feedback from the assessor on the quality of the evidence in order to identify opportunities to improve your own contribution to assessment. You can also identify whether the candidate needs to gather additional or other forms of evidence so there is certainty that the rules of evidence have been met and an assessment decision can be made.

Feedback from an assessor

Assessment is never performed in isolation. You interact with various people at each stage of the assessment process. You can expect each person you interact with to form a view of your performance and, as such, be a potential source of information that you can use to critically reflect on your contribution to assessment.

The most valuable source of feedback about your contribution to evidence gathering will be the assessor. You should aim to have regular opportunities to talk to them throughout the conduct of assessment.

The assessor can give feedback on:

▶ providing advice and guidance regarding additional opportunities to gather evidence

▶ using individual pieces of evidence for integrated assessment (when an assessment instrument gathers evidence for more than one unit of competency)

▶ sourcing the resources needed for assessment

▶ following organisational procedures for the formatting of documentation

▶ using the correct procedures for authenticating evidence.

Actively seek feedback

It is crucial that you actively seek feedback from the assessor after they have judged the evidence. Feedback at this stage focuses on whether the rules of evidence and the principles of assessment were satisfied in order for the assessment decision to be made.

In addition to feedback on the quality of evidence, you can expect the assessor to discuss a further range of topics with you.

The assessor can provide:

▶ interpretation of units of competency

▶ feedback about the process: how to be more efficient or effective by sequencing or clustering assessments

▶ feedback on their observations of your interactions with candidates

▶ feedback on teamwork, communication skills and professional relationships

▶ a review of the documents you complete to record assessment outcomes

▶ evidence of your contribution to assessment validation and continuous improvement processes

▶ information about strategies that may be used for professional development

▶ evidence of your compliance with the RTO's policies and procedures and relevant legislation and regulations.

Methods for seeking feedback

You need to plan the most effective method for obtaining feedback from the assessor. This depends on your proximity to the assessor, the time available to both you and the assessor, and your organisation's and the RTO's policies and procedures.

When seeking feedback from the candidate, be mindful that the candidate will have a view regarding how effectively you supported them in the collection of evidence. You should arrange to meet with the candidate for a structured interview where you ask for their comments on their experience during assessment.

Consider using the following methods to actively seek feedback:

▶ Personal meeting

▶ Online discussion

▶ Email

▶ Feedback form

▶ Telephone conversations while taking notes

Meet the principles of assessment

There may be occasions when barriers to assessment processes are encountered that result in the assessment principles not being satisfied, and the adequacy of the evidence gathered being compromised. There is a range of consequences that may result: the assessor is unable to make an accurate assessment decision and the candidate's evidence is questioned.

The following table provides examples where evidence-gathering activities do or do not meet the principles of assessment.

Principle of assessment	Evidence-gathering activity meets principles	Evidence-gathering activity does not meet principles
Fair ▶ The individual learner's needs are considered in the assessment process. ▶ Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. ▶ The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.	▶ The candidate is not disadvantaged during assessment – the organisation's anti-discrimination and access and equity policies are complied with. ▶ Reasonable adjustment is made, where necessary. ▶ The candidate agrees to the evidence-gathering process. ▶ The assistant assessor confirms that the candidate understood the assessment process.	▶ Assessment instruments discriminate against candidates on specific characteristics. For example, a hospitality student is required to prepare and taste a dish that includes prawns. The candidate's Jewish faith prevents them from eating prawns. The assistant assessor records that the assessment instrument was not completed. ▶ Reasonable adjustment is not provided. For example, the candidate is a workplace trainee. On the day he attends TAFE he uses equipment that has been modified for his use as he has a disability. His workplace supervisor completes a third-party report that describes tasks the candidate can complete without access to modified equipment. This does not comply with the candidate's assessment plan.

Principle of assessment	Evidence-gathering activity meets principles	Evidence-gathering activity does not meet principles
Flexible ▶ Assessment is flexible to the individual learner by: – reflecting the learner's needs – assessing competencies held by the learner no matter how or where they have been acquired – drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.	▶ The assessment method selected to gather evidence reflects the individual needs and circumstances of the candidate. ▶ The assessment process is adjusted to suit the candidate's culture and setting. For example, an assessment is modified so that Indigenous candidates can complete the activity as a small group. ▶ Candidates are able to answer questions verbally when this suits their individual needs. ▶ Additional time is provided to address the individual needs of candidates. ▶ The assistant assessor notes that the candidate has prior experience in a similar job and coordinates recognition assessment with the assessor.	▶ There is no flexibility in the timing of assessment. For example, a candidate with a mental illness is required to undertake assessment late in the afternoon. She cannot perform optimally as her morning medication is no longer fully effective. ▶ The candidate is not given an opportunity to have their current competency or prior learning recognised.

Principle of assessment	Evidence-gathering activity meets principles	Evidence-gathering activity does not meet principles

Valid
▶ Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.
▶ Validity requires:
  – assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance
  – assessment of knowledge and skills is integrated with their practical application
  – assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations
  – judgment of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
	▶ Assessment is valid when the process is sound and assesses what it claims to assess.
	▶ An assessment instrument that is originally developed to gather evidence in a specific context, is modified to gather the same type of evidence in a different context.
		▶ The assessment instrument is implemented for more than one candidate in different contexts and gathers different evidence. This may have been because the instructions were unclear or the assessor did not correctly interpret the requirements for providing reasonable adjustment.

Reliable ▶ Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.	▶ Marking guides are prepared to enable different assessors to make consistent judgments.	▶ The candidate receives conflicting advice from various people, including the assessor and the person assisting with assessment, regarding the criteria of quality evidence.

Definitions taken from the Standards for Registered Training Organisations (RTOs) 2015 at: www.legislation.gov.au/Details/F2014L01377

Meet the rules of evidence

The evidence presented for assessment must meet the rules of evidence in order for the assessor to make their assessment decision. The following table illustrates the types of evidence that would support the rules of evidence.

Rules of evidence	Evidence met rules	Evidence did not meet rules
Valid ▶ The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.	▶ Evidence covers foundation skills and knowledge evidence requirements. These are integrated with their practical application. ▶ Evidence is gathered on a number of occasions and in a range of contexts using different assessment methods. ▶ The assessment is aligned to the appropriate AQF level.	▶ Evidence is collected on only one occasion. For example, the candidate submits a report of a workplace project as the only evidence for the unit of competency. ▶ The evidence only partially addresses the assessment requirements. For example, evidence is gathered using observation of the candidate performing in a simulated workplace. The assessment activity does not collect evidence that the candidate is able to apply the required knowledge.
Sufficient ▶ The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgment to be made of a learner's competency.	▶ Evidence is provided of the learner's competence demonstrated across all aspects of the unit of competency and is demonstrated repeatedly. ▶ Supplementary evidence is provided where necessary. ▶ A third-party report is provided when the learner is observed performing a specific skill.	▶ Evidence is collected on only one occasion or the candidate performs tasks that only partially satisfy the assessment requirements of the unit of competency. For example, the candidate demonstrates they possess the required knowledge by completing a written quiz but are not observed using any specified foundation skills.

Rules of evidence	Evidence met rules	Did not meet rules
Authentic ▶ The assessor is assured that the evidence presented for assessment is the learner's own work.	▶ Evidence must be the candidate's own work and supporting documents must be genuine. For example, the workplace supervisor signs and dates a statement on the back of a work sample that they observed the candidate producing the material.	▶ The third party does not follow correct procedures to authenticate the candidate's evidence.
Currency ▶ The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.	▶ The evidence comprises items that are current; for example, some RTOs set limits for evidence to be no older than five years.	▶ The evidence includes pieces that are more than five years old and cannot be verified.

Definitions taken from the Standards for Registered Training Organisations (RTOs) 2015 at: www.legislation.gov.au/Details/F2014L01377

Example

Actively seek feedback on adequacy of evidence-gathering

Robbie supervises Leila who is a workplace trainee. Leila and her family are Sudanese refugees. She faces challenges in relation to English language and literacy and experiences anxiety in certain situations.

As part of her on-the-job assessment, Leila is required to demonstrate that she can access and interpret workplace WHS policies.

Robbie reviews the assessment instrument and notes that Leila is to be provided reasonable adjustment by having a translator to assist her with this part of her assessment. Robbie decides that the reasonable adjustment to be provided to Leila means that she will not be performing the task in an authentic manner. He considers insisting that Leila completes the instrument without support. Robbie speaks to his assessor to seek some advice and feedback.

The assessor speaks to Robbie about principles of reasonable adjustment and Robbie's responsibilities as the workplace supervisor of a trainee. He quotes the organisation's access and equity policies and cultural inclusion policies. After the explanation Robbie agrees to have an impartial and accredited translator present to provide assistance to Leila should she need it.

Activity 12

To complete this activity you need to refer to the evidence you collected for Activity 10.

1. Analyse the evidence gathered and comment on:
    – how the evidence-gathering activity meets the principles of assessment
    – opportunities that you identify to improve future processes.

Use this table to complete the activity.

Principles of assessment	Evidence-gathering activity meets principles	Opportunities to improve future processes
Fair		
Flexible		
Valid		
Reliable		

2. Analyse the evidence gathered and comment on:
   – how the evidence meets the rules of evidence
   – opportunities that you identify to improve future processes.

Use this table to complete the activity.

Rules of evidence	Evidence meets rules	Opportunities to improve future processes
Valid		
Sufficient		

Rules of evidence	Evidence meets rules	Opportunities to improve future processes
Authentic		
Current		

Click to complete Activity 12

4C Document areas for improvement in collecting evidence

Your workplace and the training organisation will benefit from continuously improving assessment processes. In this section, you examine the strategies that may be used to reflect on your own contribution to assessment processes and to review the quality of the training organisation's assessment system including assessment instruments and tools.

Reflect on your practice

Regular review of your performance including your contribution to assessment can enable you to identify opportunities for improvement. You may receive feedback from various parties during the assessment process. The candidate, work colleagues, specialist support providers and the assessor have the opportunity to observe your performance and can provide constructive advice on your own conduct and on various aspects of the assessment process. You should refer to your workplace policies and procedures and the assessor for advice about the various methods you should use to record feedback.

You may need to improve your skills and knowledge to contribute more effectively to the assessment process. Your evaluation could also identify problems with implementation of the assessment instrument that were not attributable to your performance. For example, the candidate may have been required to gather various pieces of evidence for their portfolio that were not available in their workplace.

Reflective questions

The following table summarises key quality areas of assessment that you should reflect on both during and after assessment activities.

Assessment instruments
▶ How do you ensure you are using the current version of assessment instruments?
▶ How do you ensure you interpret units of competency consistently with the assessor?
▶ How effective are you in explaining instructions to candidates?
▶ Were there any differences in the way you and the assessor interpreted instructions to candidates?
▶ What feedback did you receive about assessment instruments in regard to: – access and equity   – reasonable adjustment   – compliance with the principles of assessment and rules of evidence?

Collected evidence

▶ Do you understand the rules of evidence and the principles of assessment and how they apply to the evidence you gathered?

▶ Do you gather an appropriate amount of evidence? For example, you may have found that you gathered evidence that far exceeds the amount of evidence required by the assessment instrument.

▶ Do you consistently apply the training organisation's policies and procedures for assessment?

▶ How effectively do you give feedback to candidates?

Partnership with the qualified assessor

▶ Is there any way to improve on efficiency in terms of workplace time and resources?

▶ What feedback do you receive about your contribution to assessment from the assessor?

▶ How effective were you in maintaining a dialogue with the assessor?

▶ How did you ensure your contribution to assessment complied with the RTO's assessment system, policies and procedures?

▶ What feedback did you give the assessor about the quality of the evidence-gathering process?

Review assessment process

The training organisation will have used an evaluation form to gather feedback from the candidate about all aspects of the assessment process. Ask the assessor to share any relevant comments with you.

You may have the opportunity to participate in a formal review of the assessment process. This could involve various assessors from the training organisation, candidates, specialist service providers and representatives of industry. The purpose of a formal review is to identify opportunities for continuous improvement and quality issues in the training organisation's assessment system including individual assessment tools and instruments.

Prepare for formal review

▶ Prepare for a review meeting by collating any feedback you have received and your own comments and observations of the evidence-gathering process. It will help other members of the review panel if you are able to share with them specific examples of the strengths and weaknesses, issues and challenges that you encountered while collecting evidence.

The review process

▶ During the review process, panel members will use various methods to record their findings. They may make handwritten or electronic notes on assessment instruments; code evidence that has been judged by assessors; collate feedback and survey forms; complete checklists; and possibly record conversations and interviews with various assessment stakeholders.

▶ At the conclusion of this stage of the review session, the panel will have a significant quantity of data to analyse carefully in order to identify trends and patterns and to enable the findings to be presented as meaningful information. Suggestions for changes to assessment tools (including assessment instruments) need to be justified with reference to the validation findings.

Document examples

You can make a more meaningful and significant contribution to a review of the assessment process if you gather samples, record issues and comments and reflect on your assessment practice continuously throughout the assessment process. The assessor may be able to assist you by providing forms or checklists to document areas for improvement for future assessment activities.

Types of recommendations

Regardless of the format that is used to make recommendations, it is essential that the review team clearly records the gaps in assessment practice they have identified, a description of the material they examined to arrive at their conclusions, and the specific actions that should be taken to address these gaps.

Recommendations and improvements

▶ Assessment processes; for example, prepare clearer advice for assessment candidates regarding opportunities for recognition of prior learning

▶ Context and conditions for assessment; for example, make assessment instruments more flexible so they can be used to suit the specific work routine of the candidate

▶ Assessment methods and tools; for example, adjust the assessment methods so they comply with the assessment requirements of the unit of competency

▶ Instructions to candidates; for example, make changes to ensure that candidates understand the evidence they are required to submit for assessment

▶ How evidence is collected; for example, the RTO may need to develop enhanced procedures for collecting evidence from candidates for recognition of prior learning

▶ Provide clearer advice to candidates and assistant assessors about reasonable adjustment

▶ Provide checklists, diagrams or flow charts to help assistant assessors understand what they are required to do

▶ Ensure candidates have access to necessary resources such as workplace policies and procedures, technology and tools

Example

Document areas for improvement in collecting evidence

Robyn is the human resources manager in a state government department and works closely with the department's learning and development team to coordinate training and assessment activities.

She meets each quarter with the trainers and assessors to review and provide feedback about the quality of assessment instruments used by frontline managers in the workplace. These instruments are used to collect evidence for vocational courses that are delivered in the workplace, and the managers assist the candidates to collect evidence.

Robyn exchanges information with the trainers and assessors about the experience the frontline managers have in implementing the assessment instruments. They say they often need to make alterations to the instruction given to candidates and provide advice in regard to applying for RPL.

The assessors also share the feedback they have received from candidates about the support, advice and guidance they receive from their managers during the assessment process. Generally the comments are positive. Robyn also occasionally receives feedback similar to the following.

Feedback received

▶ The assessor didn't understand the instructions for the assessment.

▶ The assessor requires evidence to be collected in excess of the requirements of the assessment instrument.

▶ Reasonable adjustment was not provided as per the assessment plan.

▶ Assistance with assessment was not available at the required time.

▶ There are issues with access to relevant resources for assessment.

Robyn records this feedback in her diary and in each frontline manager's performance appraisal. Frontline managers are expected to include activities that enhance their contribution to assessment processes on their annual professional development plan.

In cases when a specific issue is identified that is of immediate concern, Robyn arranges for the assessor to meet with the frontline manager to develop a strategy for resolving the problem.

Activity 13

The assessment requirements for *TAEASS301 Contribute to assessment* require you to present documented feedback from others involved in assessment.

Gather evidence from stakeholders such as the assessor, the candidate, your manager and any technical experts or specialist service providers involved in the assessment that you contributed to in learning activities 9 and 10.

Submit the documented feedback with an action plan or professional development plan that records strategies to improve your assessment practice.

Click to complete Activity 13

Summary

1. The assessor will provide instructions about the format to be used to present evidence for assessment. The method selected will reflect the assessment requirements of the unit of competency and the assessment context.

2. You should discuss with the candidate the strategies they are using to gather evidence, and tips on how to check their evidence, use their time more effectively and collate their evidence into a suitable format.

3. You have a responsibility to actively seek feedback from the assessor about the quality of the evidence in order to identify opportunities to improve your own contribution to assessment.

4. The training organisation will use an evaluation form to gather feedback from the candidate about all aspects of the assessment process. You should ask the assessor to share any relevant comments with you so you can improve your performance.

5. To develop an action plan or professional plan for improvement, you need to integrate the various pieces of feedback you have received about your own performance and the processes that were used to collect evidence.