Assessing competencies in higher qualifications

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

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

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with support from the Department of Employment, Training & Youth Affairs (DETYA), the
Australian National Training Authority (ANTA) and Vocational Education and Training
Assessment Services (VETASSESS).

DEPARTMENT OF EDUCATION,
TRAINING AND YOUTH AFFAIRS

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FOREWORD

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

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

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

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

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

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

Appendix B: AQF qualification descriptors

Glossary
Assessing competencies in higher qualifications

This guide will help you assess competencies in higher qualifications

Is this guide for you?

Did you manage or coordinate training and assessment?

Do you deliver a Certificate IV, Diploma or Advanced Diploma qualifications?

Do you train supervisors, team leaders or managers in the workplace?

Do you assess supervisors, team leaders or managers in the workplace?

Do you train workplace trainers and assessors?

Did you answer YES to any of these questions?

Then this guide is for you.
THIS GUIDE ADDRESSES THE KEY ISSUES THAT YOU ARE LIKELY TO FACE

PART 1
Approaching assessment of competencies in higher qualifications

PART 2
Designing assessment strategies and tools

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PART 3
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PART 1: APPROACHING ASSESSMENT OF COMPETENCIES IN HIGHER QUALIFICATIONS

Overview

Assessment of competencies in higher qualifications presents special challenges for assessors. The traditional approaches to assessment, such as questioning and the practical demonstration of tasks, are not sufficient to confirm the competence of team leaders, supervisors, managers and specialist personnel.

The design of assessment needs to ensure that all aspects of competence are covered including:

- contingency management skills (responding to problems, breakdowns and changes in routine)
- job/role environmental skills (dealing with leadership responsibilities and expectations of the workplace)
- transfer of knowledge and skills to new situations.

This part of the guide includes information on the:

- differences in performance requirements between lower and higher level roles
- challenges for learning and assessment
- implications for planning, conducting and reviewing assessment
- changing nature of evidence as performance becomes less ‘visible’
- wider range of evidence sources required
- increased responsibility of candidates in the collection of evidence and determining readiness for assessment
- challenges faced by assessors in inferring competence and making judgements.
1. UNDERSTANDING HIGH LEVEL COMPETENCIES

How people think about competence affects how they go about assessing candidates against competency standards. Competence is a ‘catch-all’ concept that tries to capture all the knowledge, skills and attributes that someone needs to perform a particular job role or function. This model of competence requires candidates to:

- apply their knowledge, skills and attitudes in a range of familiar situations (task skills)
- manage a variety of tasks simultaneously (task management skills)
- deal with the responsibilities and expectations of the workplace (job role and function skills)
- use broad problem solving skills to handle unforseen situations (contingency management skills)
- transfer their knowledge and skills to new work situations.

Many competency standards do not address performance in such a comprehensive manner. This lack of detail presents immediate challenges for assessors, especially when dealing with high level competencies. Before assessors can begin to plan assessment, they have to invest time in forming an accurate picture of the performance required. They will need to clarify the intent of the standards by:

- analysing the information contained in each unit of competency
- relating performance requirements to actual job roles and tasks involved
- identifying all relevant sources of evidence.

Link to:

- Section 4.2: What information is in a unit of competency?
- Section 9: Customising competency standards
The most common approaches to assessing competence rely on questioning and the direct observation of candidates performing practical tasks. In some cases, assessors may seek other sources of evidence, such as reports from supervisors, to confirm that candidates can perform consistently to the required standard and in a range of contexts.

In higher qualifications, this assessment approach is not satisfactory because the units of competency involved are more complex and involve the capacity for tacit understanding, reflection, prediction, analysis, synthesis and evaluation. For example, it is difficult for assessors to directly observe candidates generating designs and ideas, analysing and solving problems, leading teams and developing long term plans. Other critical competencies, such as responding to emergencies, are even harder to assess because they are rarely used. Furthermore, because most candidates who work in high level roles are not closely supervised, there is also the question of who can know enough about what they do in order to assess them.

The challenge then for those assessing higher AQF qualifications is to infer competence by collecting valid evidence cost-effectively, from many sources and over an extended period of time. It requires a detailed understanding of the performance requirements and relevant sources of evidence that infer competence. It also requires a capacity to synthesise a wide range of evidence in order to make credible decisions about competence.

1.1 What is the nature of competence in higher qualifications?

Assessors who conduct assessments must be aware of the complexity of the competency standards involved and the challenges of assessing candidates against them. To illustrate this complexity more clearly, the following have been compared:

- the descriptors for qualification outcomes at Certificate III and Advanced Diploma (Table 1.1)
- competency profiles for two specific occupational groups – laboratory assistants (Certificate III) and laboratory supervisors (Advanced Diploma) (Table 1.2).
1.1.1 Distinguishing features of qualifications in the AQF

Table 1.1 shows the growing complexity of ‘competence’ as the qualification outcome moves from Certificate III (AQF 3) to Advanced Diploma (AQF 6).

Table 1.1: Comparing the descriptors for two AQF qualifications

<table>
<thead>
<tr>
<th>Certificate III</th>
<th>Advanced Diploma</th>
</tr>
</thead>
<tbody>
<tr>
<td>The competencies enable an individual with this qualification to:</td>
<td>The competencies enable an individual with this qualification to:</td>
</tr>
<tr>
<td>• demonstrate some relevant theoretical knowledge</td>
<td>• demonstrate understanding of specialised knowledge with depth in some areas</td>
</tr>
<tr>
<td>• apply a range of well developed skills</td>
<td>• analyse, diagnose, design and execute judgements across a broad range of technical or management functions</td>
</tr>
<tr>
<td>• apply known solutions to a variety of predictable problems</td>
<td>• demonstrate a command of wide ranging, highly specialised technical, creative or conceptual skills</td>
</tr>
<tr>
<td>• perform processes that require a range of well developed skills where some discretion and judgement is required</td>
<td>• generate ideas through the analysis of information and concepts at an abstract level</td>
</tr>
<tr>
<td>• interpret available information, using discretion and judgement</td>
<td>• demonstrate accountability for personal outputs within broad parameters</td>
</tr>
<tr>
<td>• take responsibility for own outputs in work and learning</td>
<td>• demonstrate accountability for group outcomes within broad parameters</td>
</tr>
<tr>
<td>• take limited responsibility for the output of others.</td>
<td></td>
</tr>
</tbody>
</table>


The differences between these general statements of AQF outcomes become even more striking when the competency profiles of workers within the same enterprise are compared.

Descriptors for other AQF qualifications are included in Appendix B.

1.1.2 Comparison of competency profiles for workers at different AQF levels

In the Laboratory Operations Training Package (PML99) the developers provided both job and competency profiles for a number of laboratory workers.

Extracts from the job profiles for Laboratory Assistants (AQF3) and Laboratory Supervisors (AQF 6) follow.
Job profile for Laboratory Assistants (Certificate III)

Laboratory Assistants help to maintain the laboratory and undertake straightforward tasks that support the safe and efficient delivery of laboratory services to customers.

They may perform straightforward sampling and testing by following set procedures and recipes and applying basic technical skills and scientific knowledge.

The majority of their work involves a predictable flow of parallel or similar tasks within one work area. They may also perform a range of administrative tasks.

Two examples of their work are given below.
- A laboratory assistant at a dairy factory gathers samples from the milk tankers, vats and the processing line, and performs routine chemical and bacteriological tests on the samples
- A laboratory assistant in a pathology laboratory receives and prepares tissue samples

Job profile for Laboratory Supervisors (Advanced Diploma)

Laboratory Supervisors are generally responsible for the planning, allocation of tasks, coordination, quality assurance, recording and reporting of laboratory outputs within their work area or project team. They are responsible for the day to day operation of their work area. This requires significant judgement about work sequences, choice of appropriate technology and procedures to ensure that products and services meet customer expectations, are provided safely and efficiently, and are in keeping with the enterprise's business and operational plans.

Supervisors are responsible for the effective implementation of operational policies and the technical training of personnel in their work area. They also contribute to the development of these policies through the application of their specialised technical knowledge. They generally conduct a wide range of complex and specialised tests. They exercise analytical and judgemental skills to determine appropriate methods and procedures to determine from a range of alternatives. They also modify methods to cope with non-routine tests and analyses.

Their work involves frequent peak periods, multiple and competing demands and frequent interruptions. Immediate decisions are often required. They must be adaptable to deal with the pressures brought about by demanding clients, suppliers or contractors; changes in technology; and regularly changing priorities. An example of their work is given below.
- A laboratory supervisor in a large water and sewage utility company has been a senior technical officer for more than five years. The role involves supervising technical personnel in the environmental testing section, monitoring the quality of their work, overseeing their training and ensuring that regulatory and NATA requirements are met. The supervisor assists with the planning of the section’s work program and advises management and customers about test schedules, results and methodology.

The following table (Table 1.2) illustrates the relative complexity of high level competencies for the two job profiles. As can be seen, the competency profiles demonstrate how the importance of contingency management and job/role function responsibilities increases markedly between the two AQF qualifications.
Table 1.2: Competency profiles for workers at Certificate III and Advanced Diploma

<table>
<thead>
<tr>
<th>Dimension of competency</th>
<th>Competency profile for Laboratory Assistant (Certificate III)</th>
<th>Competency profile for Laboratory Supervisor (Advanced Diploma)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Task skills</td>
<td>• clean work preparation areas and equipment</td>
<td>• plan, allocate tasks and record/report work outputs for work area</td>
</tr>
<tr>
<td></td>
<td>• dispose of waste</td>
<td>• conduct a wide range of complex and specialised tests</td>
</tr>
<tr>
<td></td>
<td>• store laboratory equipment and materials</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• perform straightforward sampling and testing</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• package, label, store and transport samples</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• process and record data</td>
<td></td>
</tr>
<tr>
<td>Task management skills</td>
<td>• follow set procedures</td>
<td>• determine work sequences</td>
</tr>
<tr>
<td></td>
<td>• handle a predictable work flow of parallel or similar tasks</td>
<td>• determine appropriate methods and procedures</td>
</tr>
<tr>
<td>Job role and function skills</td>
<td>• work under close and regular supervision</td>
<td>• handle frequent peak periods, multiple and competing demands and frequent interruptions</td>
</tr>
<tr>
<td></td>
<td>• take decisions within defined limits</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• work as part of a team</td>
<td></td>
</tr>
<tr>
<td>Contingency management skills</td>
<td>• recognise and report out of control conditions</td>
<td>• define and solve complex problems by investigating, developing and testing alternatives</td>
</tr>
<tr>
<td></td>
<td>• solve predictable problems</td>
<td>• deal with a range of demanding clients, changes in technology and changing priorities</td>
</tr>
<tr>
<td></td>
<td>• refer complex problems to senior staff</td>
<td>• ensure services and products are provided safely and efficiently</td>
</tr>
<tr>
<td>Transfer skills</td>
<td>• adjust to changed procedures and work situations</td>
<td>• develop or adapt methods and optimise instruments for non-routine samples</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• troubleshoot processes, products and equipment</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• deal with change in organisation, work processes and management</td>
</tr>
</tbody>
</table>
1.2 What are the challenges for learning and assessment in higher qualifications?

With the recent extension of many Training Packages to include higher qualifications, Registered Training Organisations (RTOs) face some common and unique challenges. For example, complex competencies may take a long time to acquire, particularly where the opportunities for skill development are limited. Opportunities to collect evidence of task management, contingency management and job role skills are also often limited. This guide provides practical strategies for how these challenges can be addressed.

Institutional and workplace RTOs each face their own special challenges. Some of these are outlined below.

1.2.1 Challenges for institutional RTOs

In many public and private RTOs, student learning and assessment occurs away from the workplace. As a result, there are significant challenges for these organisations when delivering Certificate IV, Diploma and Advanced Diploma qualifications.

- Many students expect to commence full-time study immediately after finishing their senior secondary schooling and complete their studies in the shortest possible time despite having little or no industry experience.
- Many students are seeking entry to the workplace. Training needs to reflect the broad interests of industry rather than the specific requirements of individual workplaces.
- The demand for student work experience and work placements often exceeds the capacity of employers to provide opportunities. Furthermore, it is not feasible to practise and assess high level management and technical competencies during short placements. In some instances, work placements involve little more than experiencing the work culture.
- Competencies in higher qualifications are often underpinned by a substantial body of knowledge and skills that require considerable time for reflection and development. However, it is not possible for institutions to operate in an open-ended timeframe. To meet timetabling and program funding requirements, institutional RTOs find it necessary to organise units of competency for delivery, assessment and reporting purposes.
- Some institutional RTOs use graded competency based assessment of Diploma and Advanced Diploma programs to provide motivation, reward excellence, and to enable students to compete for university places. Ideally, this requires a modular approach to
delivery and assessment that can provide a grade point average if required. Additional criteria may need to be included in the assessment process for grading purposes.

As a result, many institutional RTOs have developed simulations, innovative work based projects and effective industry partnerships in order to meet the requirements of industry competency standards. They have also designed structured training programs to efficiently deliver and assess the underpinning knowledge and skills required by students before they can successfully demonstrate competence. This is particularly the case where the knowledge and skills apply to a wide range of units of competency.

Perhaps the greatest challenge facing the institutional providers is to design and develop assessment strategies and tools that can validly determine competence in both the institutional and work–related components of the programs.

This guide provides a selection of case studies to show how some institutional RTOs have tackled these issues.

**Link to:**
- Section 6: Assessing attributes
- Section 7: Assessing complex technical knowledge and skills within institutional RTOs
- Section 8: Designing simulations in workplaces and institutions

### 1.2.2 Challenges for workplace RTOs

The main challenges facing these enterprises in achieving quality assessments are how to:

- interpret Training Packages and make them relevant to their workplace
- address the underpinning knowledge requirements of workplace competence
- develop a cost-effective and structured program of learning and assessment for their employees in an operational environment, particularly when training is not their core business
- achieve articulation from vocational to higher educational qualifications
- recognise the existing skills of workers and concentrate resources on skill gaps and higher level competencies
- make learning and assessment part of employees’ normal work, as far as practicable
- develop assessment procedures and tools that are simple yet effective
- assess competencies that involve high risk, safety or are seldom used.
Link to:

- Section 4: Developing the evidence requirements
- Section 5: Developing assessment tools
- Section 8: Designing simulations in workplaces and institutions
- Section 9: Customising competency standards
- Section 10: Putting it all together – assessing whole job roles
2. IMPLICATIONS FOR PLANNING ASSESSMENT

Assessors need to plan assessment carefully to ensure that all steps in the process are given appropriate attention. Assessment of high level competencies will often be a developmental process. It is likely to take place over an extended period of time and involve a range of people who support the conduct of the assessment and assist with the collection of evidence. Careful preparation and planning will ensure the interested parties are fully briefed about their roles and have confidence in the processes to be used.

A critical task in designing high level assessment is identifying the type and amount of evidence to collect for each unit of competency. This depends to some extent on an initial judgement of the risk. Assessors need to consider what they can reasonably ask candidates to do in order to be convinced that they are competent, as well as the resources and time involved. For example, observation of candidates performing routine tasks, coupled with questioning, is appropriate when considering highly visible tasks. However this approach has limitations when dealing with more complex competencies.

With management and supervisor competencies there may not be much that can be observed, given that part of these roles involve being able to delegate responsibility and exercise autonomy and independence.

Candidates should be encouraged to assess their own competence and skill development needs. By giving candidates specific assignments or projects to manage and asking them to assemble a portfolio of documentary evidence of performance in past and present roles, assessors will be able to assemble a body of written evidence that is open to external assessment.
The ‘risk’ for assessors is to ensure that:

- judgement is based on sufficient, relevant and current evidence
- the type of evidence collected is appropriate to the unit(s) of competency and the expectations of the workplace
- the assessment is affordable and reliable; one way of ensuring this is to empower candidates to assist with the collection of evidence
- safety is not compromised
- candidates are not burdened with unnecessary assessment.

In some situations, assessors may consider that the risk requires the demonstration of problem solving and contingency management under ‘real time’ pressure. Section 8 contains an explanation of how to construct a simulation exercise when real world events are unpredictable and the opportunity for observation is limited.

Link to:
- Section 8: Designing simulations in workplaces and institutions

The following steps provide practical advice on what to do when planning assessments.

<table>
<thead>
<tr>
<th>Clarify the purpose of the assessment</th>
<th>The purpose could include:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>recognition of competencies already achieved</td>
</tr>
<tr>
<td></td>
<td>the award of a nationally recognised qualification</td>
</tr>
<tr>
<td></td>
<td>identification of further skills and career development</td>
</tr>
<tr>
<td></td>
<td>industry or enterprise award classifications</td>
</tr>
<tr>
<td></td>
<td>confirmation for safety, licensing or legislative requirements.</td>
</tr>
</tbody>
</table>

| Decide on the criteria for the assessment | The benchmarks will usually be nationally endorsed competency standards in Training Packages. They may be learning outcomes, or other performance outcomes, usually linked to national standards. |

<table>
<thead>
<tr>
<th>Confirm the conditions under which the assessment will be conducted</th>
<th>Assessors must be familiar with:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>enterprise or institutional processes governing assessment</td>
</tr>
<tr>
<td></td>
<td>the range statement in the unit(s) of competency</td>
</tr>
<tr>
<td></td>
<td>the assessment guidelines in the relevant Training Package.</td>
</tr>
</tbody>
</table>
### Decide on what evidence is required

Assessing competencies in higher qualifications requires careful consideration of what forms of evidence are most appropriate. Traditional forms of evidence, based on observation and questioning, may have limited relevance. Assessors should:

- ‘unpack’ the unit(s) of competency to clearly understand the performance and evidence requirements
- negotiate with candidates and workplace managers to identify evidence that they may be able to collect.

The important issue is that the evidence collected will ensure confidence in the assessment judgement that is to be made.

### Involve candidates and other relevant parties

Involving candidates will:

- create trust and a supportive environment
- help assessors to translate the evidence requirements in the competency standards into an appropriate evidence plan
- empower them to judge their readiness for assessment and collect valuable evidence
- help assessors to design realistic work projects to fill gaps in their evidence
- ensure useful feedback for further skill development.

Involving workplace managers will ensure:

- support for and confidence in the process
- approval for work projects and other evidence gathering activities
- cooperation of third parties to provide reports
- help with the confirmation of the candidates’ competence over time and in a range of contexts.

### Ensure efficient evidence gathering

Efficient evidence gathering will mean:

- customisation of evidence to reflect practice in the workplace
- holistic assessment that reflects real work
- capacity to infer competence in related units of competency (see ‘Interdependent assessment of units’ in the relevant unit(s) of competency)
- focusing on obvious gaps in evidence and the ‘critical’ aspects of competence
- designing realistic workplace projects over time to address gaps in evidence.

### Confirm that the assessment approach conforms with the principles of assessment

Refer to the assessment guidelines in the Training Package for advice about validity, reliability, fairness and flexibility.

### Prepare or customise assessment tools to collect and record evidence and competencies attained

The tools should:

- reflect performance requirements of the competency standards
- be user friendly and simplify collection of evidence (especially by third parties).
3. IMPLICATIONS FOR CONDUCTING AND REVIEWING ASSESSMENT

The process of planning, conducting and reviewing assessment is equally important for assessment at all AQF levels. The added complexity of high level competencies means that assessors must consider:

- the use of a broad range of evidence collected over an extended time and variety of situations
- the judgement of competence in an integrated way that takes account of whole job roles
- empowering candidates to take more responsibility for collecting evidence and judging their own readiness for assessment
- planning and negotiating the assessment process to ensure that all parties to the assessment are fully briefed about their roles in the conduct of activities and collection of evidence over an extended time.

Somehow, assessors must strike a balance between requiring too much and too little evidence. For example, a verified account of how a supervisor introduced improved work practices into the work area over a given period could be used to assess, among other things, the candidate’s:

- technical knowledge of the processes involved
- planning and problem solving skills
- communication and interpersonal skills
- application of workplace agreements and quality improvement guidelines
- demonstration of ethics, attitudes and values.
However, assessors cannot infer too much from a single assessment event. Candidates must demonstrate that they can perform consistently to a defined standard and in a variety of contexts. The narrower the base of evidence, the greater the difficulty in generalising the performance to other roles and situations. Therefore, it is inevitable that the demonstration of critical knowledge and skills will need to be tested more than once, in a range of situations and using a variety of methods that are faithful to the performance in the real world of work.

Finally, it is important that assessors have a detailed understanding of the Training Package, including the competency standards that they use to assess candidate performance. The elements, performance criteria, range statement and evidence guide all contain valuable information about:

- the standard of performance to be judged
- the evidence requirements to infer competence
- how this evidence may be collected.

### 3.1 What are relevant sources of evidence?

Quality assessment requires the assessor to:

- identify the features of competent performance
- determine the nature of the evidence that will support a sound judgement of competence
- select methods of collecting evidence that are both practical and cost-effective
- design assessment tools to record the evidence and the decision.

In the past, practitioners have placed considerable weight on the direct observation of candidates in making judgements about competence. Assessors used so-called supplementary evidence (such as third party reports and workplace documents) to confirm competence. However, given the limitations of direct observation for the assessment of supervisors and managers, this so-called supplementary evidence is often the primary source of evidence.
For simplicity, evidence in this guide has been classified according to who collects it. While this separation is not always clear, a general rule is outlined as follows.

- Candidates can collect portfolios of evidence dealing with past and present performance. These portfolios should include personal statements that outline their own assessment of competence against the standards and the main items of evidence that candidates use to support their claims. Portfolios should also contain a resume (outlining past experience and qualifications), workplace documents, training records, case studies, project reports, journal or diary entries and testimonials or awards. The currency and authenticity of this evidence must be verified by a reliable third party.

- Assessors can observe candidates performing specific tasks and interview candidates or seek their answers to specific questions. Because assessors have very limited opportunities to collect direct evidence of complex competencies, they also tend to rely heavily on reports from third parties and items produced by candidates to confirm performance over time and in a range of situations.

Table 3.1 summarises these sources of evidence together with the information that they provide about the candidate's performance.

### Table 3.1: Summary of possible evidence sources for assessing high level competence

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

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

While some of the above sources of evidence and assessment methods are seldom used, they have been canvassed widely in the literature. For this reason, only the use of portfolios and structured interviews for assessing competencies in higher qualifications are described.
3.2 How do you empower the candidate?

Making the assessment process a participatory experience between assessors and candidates is good practice in all assessment. It ensures that candidates will take a closer interest and accept more responsibility for their own assessment. Empowering candidates to play a key role in high level assessment is not just good practice, it is essential.

In many instances, the bulk of the evidence required for assessment will be collected by candidates. This means that candidates and assessors will need to work together to develop evidence plans that identify the:

- range of evidence required
- best sources of evidence available
- most effective way of collecting, collating and presenting the evidence.

Link to:
- Section 4.3: How do you negotiate an evidence plan?

This direct involvement of candidates at an early stage will enable them to:

- participate in designing their own assessment
- decide what evidence is readily available, where there are gaps and what development may be required
- assemble a portfolio of evidence that is directly linked to their past, current and future work experience and skill development
- determine when they are ready for assessment (self-assessment).

3.2.1 Preparing the candidate (initial interview)

The nature of the meeting will vary according to whether candidates are in an institutional or workplace setting and whether they are familiar with their program of study or are new to vocational education and training. A workshop could be run to explain the Training Package, specific program, assessment process and evidence requirements to a group of candidates, or assessors could meet with them individually.
Prior to the interview, prospective candidates could be provided with an outline of the program, a self-assessment checklist or a Candidate Kit so that they can properly prepare.

**Link to:**
- Section 10.3: Preparing an Assessor Kit and Candidate Kit

In any event, assessors should use the initial interview to help candidates:

- clarify the performance standards expected of them
- assess their own readiness for assessment or entry to the program
- prepare a personal statement that documents their self-assessment against the relevant unit(s) of competency
- prepare a resume of past experience and training completed
- identify gaps in their knowledge and skills
- identify appropriate sources of evidence
- negotiate an evidence plan
- arrange skill development and support (learning materials, workshops, industry visits, work-based projects, coaching, mentoring, help-line).

The evidence plan provides a blueprint for skill development and assembling a portfolio of current and future evidence.

### 3.2.2 Assembling a portfolio

Portfolios contain diverse items of evidence collected by candidates from different sources. These items could include agendas, minutes, letters, memos, plans, policies, budgets, reports, charts, surveys, printouts, diagrams and graphs. In other words, portfolios contain the typical workplace outputs of people in high level roles or performing high level functions.

Assessors could ask candidates to provide carefully prepared personal statements of their self-assessment against the competency standards, including the main items of evidence that are included in the portfolios to support their claims.
It is also common practice for candidates to attach accounts of all relevant work achievements such as resumes, testimonials and records of professional development. Candidates in senior job roles should also be able to provide written examples of reflection on their own practice and performance (diaries, journals, performance appraisal).

As such, portfolios have much to offer both candidates and assessors. They enable candidates to be actively engaged in their assessment by using knowledge of themselves and their work experience to assemble evidence over time. They provide a portable and permanent record of achievement and offer assessors a cost-effective means of reviewing evidence of tasks performed by candidates that are not highly visible and do not lend themselves to direct observation.

Such documents are easily able to reflect the multiplicity of tasks performed by candidates and provide evidence of performance relating to many units of competency. For this reason, it is important that candidates prepare portfolios which are indexed, and cross-reference all the items against the units and/or elements of competency being assessed.

### 3.2.3 Engaging with candidates (final interview)

Assessors should review candidate portfolios before conducting a final interview to confirm the sufficiency, currency and relevance of the evidence. They should:

- confirm the contribution and achievements claimed by candidates by seeking corroboration of those events and activities that have been witnessed by others
- judge the evidence as a ‘whole’ rather than checking it off in an atomised way
- quickly identify any gaps in the evidence or areas where specific performance criteria cannot be reasonably inferred from the evidence.

Assessors can then use the interview to ‘home in’ on the portion of the evidence that is inadequate rather than using valuable time going over evidence that is clearly satisfactory.

Assessors need to estimate the risks involved with judging the person competent now. To minimise the uncertainty, they may seek additional third party reports ahead of the interview or arrange for a technical expert to be present.

**Link to:**

- Section 5.4: How do you evaluate a portfolio?
Note that the portfolio contents do not provide sufficient evidence in themselves. Candidates need to explain to assessors how the documentary evidence directly relates to the requirements in the relevant competency standards. During interviews, assessors should:

- clarify the context, currency, authenticity and relevance of each document
- identify any gaps between the evidence presented and what is required so that candidates know what supplementary evidence to collect.

Assessors should use the opportunity presented by the interview to question candidates about their underpinning knowledge, ethics, values and attitudes. They should use a sequence of carefully prepared questions to draw out the candidates’ understanding of their own practice. As candidates describe episodes of past experience assessors should be able to explore aspects of their high-level performance such as reflection, evaluation and ability to transfer skills to unfamiliar situations.

**Link to:**

- Section 6.1.2: Using structured interviews to assess attributes

During interviews, assessors should use questions to confirm their growing picture of candidate competence. They should use questions to clarify areas where some other evidence may indicate weakness or uncertainty. They must be able to ‘read’ the candidates’ answers and then prompt them with the right follow up questions. Assessors should then use candidate answers to add or subtract from their confidence about making a decision about competence.

This active use of evidence means that there may be no set pattern for an interview because it will flow according to candidate responses. However, proper planning will ensure that interviews will yield the information required by assessors in reaching a decision.

For example, assessors should plan and sequence questioning to extend candidates from the:

- known to unknown
- concrete to abstract
- simple to complex
- closed to open.
3.3 How do you ensure confidence in assessment decisions?

As outlined earlier, assessment of high level competencies necessarily involves the analysis of evidence collected from a wide range of sources. Assessors must judge the quality and sufficiency of this evidence and then decide whether they can confidently infer that candidates are competent.

3.3.1 Judging competence reliably

There are four common criteria that assessors use to analyse evidence. The questions listed for each criterion will help assess the quality of the evidence.

- **Authentic**: Can assessors be sure that the evidence relates to candidates and not other people? Has the evidence been verified by a reliable third party?
- **Sufficient**: Is there enough evidence to enable assessors to confidently make a decision? Have all aspects of competence been met? If not, what additional evidence is required?
- **Valid**: Is the evidence relevant to the unit(s) of competency being assessed? Does it help assessors to infer competence? Is the evidence necessary? What degree of uncertainty in the evidence can assessors tolerate? Is the evidence from one source compatible with evidence from other sources? Can any inconsistencies be explained? Does one piece of evidence disagree markedly with a candidate’s usual performance - should it be discounted?
- **Current**: Does the evidence describe recent performance? Has the value of the evidence been eroded over time?

Having judged the quality of the individual items of evidence, assessors must make professional judgements of the overall competence of the candidates. This task could be approached using one of the following strategies.

1. Assume that the candidate is competent unless presented with evidence to the contrary.
2. Assume that the person is not yet competent, add up all the evidence and then compare the sum of evidence with the total requirements of the unit(s) of competency involved.

The position chosen could depend on whether the candidate is:

- an experienced worker or in a low risk role (probably opt for strategy 1)
- a new employee or in a high risk role (probably opt for strategy 2).
The risks associated with assessing most high level competencies are likely to be significantly greater than for lower level competencies. For example, candidates will often have responsibilities for the management of operations and budgets and for the welfare of groups of people.

The challenge for assessors is to make credible judgements of competence based on multiple sources of evidence that describe multiple facets of performance. This is no easy task. There is no substitute for informed professional judgement. However, this takes time to develop. For this reason, assessors will need the support of quality assessment systems and other experienced assessors.

### 3.3.2 Ensuring quality assessment systems

To improve the reliability of assessment decisions, RTOs have a responsibility to support the assessment process. They need to:

- arrange for the professional development of their assessors, particularly to design and customise assessment tools and procedures
- develop valid, cost-effective assessment tools for high level competencies
- monitor decisions made by different assessors using the same evidence
- observe assessors and candidates during assessments and question them about the process
- examine assessment records
- maintain a database containing competency profiles of successful candidates to develop a more complete picture of the performance requirements.

This guide is designed with these strategies in mind. The remaining sections (4–10) of the guide include:

- worked examples that show how to develop a wide range of assessment tools
- case studies that show how other assessors have developed creative assessment solutions to common challenges
- templates so that assessors can design their own tools more efficiently.

These worked examples and case studies cover a wide range of industries and contexts. Although they may not exactly fit each situation, they will provide some ideas to get started. Worked examples will be used to examine the following questions.
• How do you interpret a unit of competency to identify what evidence is required?
  ▪ Section 4: unpack the Unit of Competency PMLORG600A Supervise laboratory operations in work/functional area from the Laboratory Operations Training Package.

• How do you develop a valid assessment tool?
  ▪ Section 5: how to develop an assessment tool for the same Unit of Competency (PMLORG600A).

• How do you assess attributes such as values, attitudes and ethics that are integral to the roles of most senior personnel?
  ▪ Section 6: how an institutional RTO assesses the evidence requirements for personnel working in the welfare sector.

• How do you assess complex technical knowledge and skills in institutions?
  ▪ Section 7: how an institutional RTO has designed a structured training program and simulated workplace projects to develop and assess technical competencies for the Information Technology Training Package.

• How do you design and implement effective simulations, particularly for assessing contingency planning and problem solving skills in high level competencies?
  ▪ Section 8: how to design a workplace simulation to assess a Unit of Competency PUASES006A Manage emergency operations from the Public Safety Training Package and how an institutional RTO has simulated a fashion design workshop for an accredited Diploma of Applied Arts in Fashion.

• How do you ensure reality in assessment activities by customising evidence requirements to suit your context?
  ▪ Section 9: how to customise the evidence requirements for the generic Unit of Competency BSXFMI403A Establish and maintain workplace relationships from the Frontline Management Competency Standards to suit the retail and civil construction sectors.

• How do you put it all together? How do you group and assess related units of competency to reflect actual job tasks and roles?
  ▪ Section 10: using the Seafood Industry Training Package to illustrate customisation and integrated assessment of a group of four units of competency for small business managers in the aquaculture sector. Examples of an Assessor Kit and Candidate Kit prepared by the RTO to support the process are included.
PART 2: DESIGNING ASSESSMENT STRATEGIES AND TOOLS

Overview
The importance of negotiating an assessment strategy that works for candidates and workplaces or institutional settings increases with the complexity of the competency standards being assessed. This part of the guide includes information on designing practical and relevant assessment by focusing on ways to:

- plan the assessment in a systematic way
- identify sources of evidence that meet the requirements of the unit(s) of competency and the circumstances of candidates
- develop tools to collect, evaluate and record the evidence efficiently
- assess attributes such as values, attitudes and ethics
- assess high level technical skills, particularly in an institutional setting
- design and implement effective simulations where lack of opportunity precludes demonstration in the workplace
- customise generic competency standards.

Worked examples across a range of industries will illustrate how other assessors have met these challenges.
4. DEVELOPING THE EVIDENCE REQUIREMENTS

One of the main challenges in achieving quality assessment is designing an assessment process that suits both circumstances and budget. It is unlikely that assessors will be able to buy what they need off the shelf. They will probably need to design their own tools, or at least modify tools designed by others to make them fit a particular context.

4.1 What evidence is required to demonstrate competence?

While competency based assessment involves the judgement of performance against the competency standards in an endorsed industry or enterprise Training Package, the evidence requirements need to be customised to suit the assessment context. For example:

- in workplace-based assessment, take account of enterprise procedures and equipment
- in an institutional context, ensure that the assessment conditions presented in the competency standards are met, including the design of realistic simulated workplace conditions where required.

Interpreting competency standards and designing an assessment strategy is not a simple process. Assessors may have conducted assessments in the past in which they simply compared candidate performance to a checklist based on the elements and performance criteria in a unit of competency. This approach may be acceptable where the performance of candidates is highly visible and the risks of making an incorrect judgement are minimal. However, it is not acceptable for the assessment of high level competencies.

Part One of this guide included information that showed that the assessment of higher level competencies is not straightforward. The job roles are usually complex and involve the application of skills and knowledge over a period of time (or work cycle) and in a range of contexts. Performance cannot be readily observed by an external assessor. In cases where candidates are required to work autonomously or are remote from direct supervision, observation by workplace assessors may also be problematic.
For these reasons it is important to consider all of the components in a unit of competency to ensure that candidates possess the skills, knowledge and attitudes to perform in a range of contexts and situations. In other words, carefully unpack the units of competency when planning assessment and designing assessment tools.

### 4.2 What information is in a unit of competency?

All units of competency have the same basic layout.

- **Elements** and **performance criteria** outline what standard of performance is expected of candidates. They can be used to assist with identifying the kinds of evidence required to establish competence and the methods by which such evidence can be obtained.

- **Range statement** provides a range of possible workplace contexts, tasks or enterprise specific requirements that may be relevant. This information will help design the focus of the assessment.

- **Evidence guide** is designed to assist with the interpretation and assessment of the unit. It outlines the key things to look for during assessment (critical aspects of competence), underpinning knowledge and its application (essential knowledge) and suggestions about which units may be assessed together (interdependent assessment of units). The evidence guide also suggests possible assessment strategies (assessment methods and resources) and describes the generic competencies that underpin effective workplace practice (key competencies).

To illustrate the unpacking process, following is a unit of competency from the Advanced Diploma qualification in the Training Package for Laboratory Operations. Although this particular unit may not be directly relevant to each situation, it has broad application to any supervisory role and will illustrate how useful assessment information can be extracted from a unit of competency.

Also outlined is how this information can be used as a basis for negotiating an evidence plan for a Laboratory Supervisor in a large national company that specialises in mineral, food, environmental and pharmaceutical testing.

The unit is *PMLORG600A: Supervise laboratory operations in work/functional area.*
4.2.1 Analysing the elements of competency and performance criteria

Beginning with the elements and performance criteria, following is an analysis of the performance requirements to identify sources of evidence that may be relevant to inferring competence (Table 4.1).

Table 4.1: Identifying sources of evidence from the elements and performance criteria

<table>
<thead>
<tr>
<th>ELEMENT</th>
<th>PERFORMANCE CRITERIA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Program and direct work practices within functional area</td>
</tr>
<tr>
<td>1.1</td>
<td>Ensure that personnel follow all relevant procedures, regulations and standards</td>
</tr>
<tr>
<td>1.2</td>
<td>Confirm that all technical work is performed in accordance with relevant standards, SOPs and schedules</td>
</tr>
<tr>
<td>1.3</td>
<td>Ensure that analytical results/data are checked, collated and distributed in accordance with enterprise requirements</td>
</tr>
<tr>
<td>1.4</td>
<td>Monitor testing and sampling procedures for quality control in accordance with enterprise requirements</td>
</tr>
<tr>
<td>1.5</td>
<td>Identify and resolve complex problems by using agreed problem solving strategies and acting to prevent their recurrence.</td>
</tr>
</tbody>
</table>

Possible sources of evidence

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

- questioning to confirm knowledge of procedures, regulations and standards (1.1, 1.2, 1.3, 1.4)
- workplace documents and audit documents (1.2, 1.3, 1.4), quality systems reports (1.4), non-conformance reports (1.5)
- practical demonstration of fault finding (role play or simulated) exercise, including interview about addressing critical incidents (1.5).

2 Manage personnel within work area

- Develop and coordinate rosters to balance job requirements, laboratory efficiency and skill development opportunities
- Empower work groups/teams in dealing with technical and work flow problems and suggesting improvements
- Provide coaching and mentoring to support personnel who have difficulties with meeting targets for performance and/or resource usage
- Establish and maintain effective communication with all personnel and clients to ensure smooth and efficient operations.

Possible sources of evidence

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

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

3 Establish resource requirements and operating budgets

- Collect and analyse available resource information in consultation with appropriate personnel
- Prepare operational plans which make the best use of available resources, taking into account client needs and enterprise plans
- Identify and analyse possible variances due to external/ internal factors and prepare contingency plans
- Compile operating budgets as required.

Possible sources of evidence

While opportunities for observation are limited, it is likely that candidates will contribute to important enterprise workplace documents, such as business plans, budgets and operation plans. Candidates may contribute their working documents as evidence. Other sources of evidence could be:

- workplace documents (periodic reports on resource usage against budgets, contingency plans) (3.2, 3.3, 3.4)
- third party reports (manager) (3.1–3.4)
- questioning/interview about critical incidents (3.3).
### Assessing competencies in higher qualifications

<table>
<thead>
<tr>
<th>4</th>
<th>Procure resources to achieve operational plans</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1</td>
<td>Analyse resource requirements and sources of supply in terms of suitability, cost, quality and availability</td>
</tr>
<tr>
<td>4.2</td>
<td>Select and purchase new materials and equipment in accordance with enterprise procedures</td>
</tr>
<tr>
<td>4.3</td>
<td>Coordinate stocktaking of materials and equipment to ensure maintenance of stock at prescribed levels</td>
</tr>
<tr>
<td>4.4</td>
<td>Ensure that personnel are competent to perform required tasks and organise training if required</td>
</tr>
<tr>
<td>4.5</td>
<td>Arrange for the recruitment and induction of personnel as appropriate.</td>
</tr>
</tbody>
</table>

**Possible sources of evidence**

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

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

<table>
<thead>
<tr>
<th>5</th>
<th>Monitor and optimise operational performance and resource usage</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1</td>
<td>Monitor the relationship between budget and actual performance to foresee problems</td>
</tr>
<tr>
<td>5.2</td>
<td>Analyse variations in budget performance and either report or rectify abnormal/sub-optimal performance</td>
</tr>
<tr>
<td>5.3</td>
<td>Negotiate with designated personnel and seek approval for variations to operational plans as required</td>
</tr>
<tr>
<td>5.4</td>
<td>Assess utilisation of plant, equipment and consumables and compare with planned usage</td>
</tr>
<tr>
<td>5.5</td>
<td>Rectify sub-optimal utilisation of plant, equipment and consumables</td>
</tr>
<tr>
<td>5.6</td>
<td>Program and arrange for maintenance of plant and equipment in accordance with enterprise maintenance schedules</td>
</tr>
<tr>
<td>5.7</td>
<td>Maintain systems, procedures and records associated with resource usage in accordance with enterprise requirements.</td>
</tr>
</tbody>
</table>

**Possible sources of evidence**

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

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

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

The range of evidence sources identified in Table 4.1 was prepared with reference to the range statement for Unit PMLORG600A. For example, the range statement has been used to identify the:

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

Assessors could further customise the evidence sources by identifying the actual procedures, standards, documentation, resources, equipment and job roles within the enterprise in which the assessment will take place. The importance of the participation by candidates and other staff in the design of assessment has already been stressed. This will ensure that the evidence sources are specified in terms and language familiar to candidates. This process will be explained in Section 4.3 when an evidence plan for a candidate is prepared.

4.2.3 Analysing the evidence guide

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

Assessors should begin by looking at the ‘Critical aspects of competence’ as shown in Table 4.2 and trying to relate these requirements directly to the elements and performance criteria. Cross-referencing the evidence requirements in this way will ensure that all critical aspects of competence are covered by the evidence sources identified in Table 4.1. If they are not all covered, the sources will need to be supplemented.
Table 4.2: Analysing the critical aspects of competence component of the evidence guide

<table>
<thead>
<tr>
<th>Critical aspects of competence (PMLORG600A)</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competence must be demonstrated in the ability to supervise laboratory operations and personnel so that planned outcomes are achieved within agreed resource and budget parameters without compromising safety, quality and ethics. In particular, assessors should look to see that candidates can:</td>
<td></td>
</tr>
<tr>
<td>• collect, analyse and report information for enterprise operational plans, budgets and performance management</td>
<td>3.1–3.4, 4.1, 5.1, 5.2, 5.4</td>
</tr>
<tr>
<td>• organise and optimise the use of resources within agreed parameters to achieve planned outcomes</td>
<td>2.1, 3.1–3.3, 4.1, 4.3–4.5</td>
</tr>
<tr>
<td>• revise plans to take account of the unexpected</td>
<td>1.5, 3.3, 5.1–5.3, 5.5</td>
</tr>
<tr>
<td>• make decisions within limits of responsibility and authority</td>
<td>1.5, 2.1, 2.2, 4.2, 4.4, 4.5, 5.5, 5.6</td>
</tr>
<tr>
<td>• ensure that legislation, statutory and enterprise requirements are met in work operations</td>
<td>1.1–1.4, 4.2, 5.6, 5.7</td>
</tr>
<tr>
<td>• monitor outputs, analyse processes and introduce ways to improve operations</td>
<td>1.4, 1.5, 2.2, 5.1–5.3, 5.5</td>
</tr>
<tr>
<td>• use effective consultative processes</td>
<td>1.1, 2.2–2.4, 3.1, 5.3</td>
</tr>
<tr>
<td>• promote a learning environment for personnel in immediate work area</td>
<td>2.2, 2.3, 4.4</td>
</tr>
<tr>
<td>• motivate and counsel personnel to improve performance</td>
<td>1.1, 2.2, 2.3, 4.4</td>
</tr>
<tr>
<td>• access information from relevant external sources</td>
<td>1.1, 1.2</td>
</tr>
</tbody>
</table>

After working through this process, it can be seen that Table 4.2 confirms that all critical aspects of competence are addressed comprehensively in the performance criteria for the unit of competency.

Next, assessors should look in the essential knowledge sector of the evidence guide and prepare a list of underpinning knowledge that candidates should be able to apply. These statements can be linked to the elements and performance criteria in Table 4.1 to indicate where questioning and interviewing of candidates are relevant to the demonstration of competence. Table 4.3 cross-references the essential knowledge with the performance criteria. The framing of specific questions for use during an assessment interview is usually done at a later time and in consultation with workplace managers to ensure relevance to each candidate’s context.
Table 4.3: Analysing the essential knowledge component of the evidence guide

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

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

Methods and resources suggested for unit PMLORG600A have been summarised in Table 4.4 and cross-referenced against the relevant performance criteria.
Table 4.4: Analysing the recommended assessment methods and resources

<table>
<thead>
<tr>
<th>Assessment methods and resources (PMLORG600A)</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Because of the comprehensive nature of this unit and the need to integrate a wide range of knowledge and skills, the assessment timeframe must allow for adequate assessment over a planning cycle and address a range of non-routine problems. The following assessment methods are suggested in the unit:</td>
<td></td>
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<tr>
<td>• direct observation of the candidate’s interactions with personnel</td>
<td>1.5, 2.2, 4.3, 4.4</td>
</tr>
<tr>
<td>• review of reports from subordinates, peers, managers and customers</td>
<td>All criteria</td>
</tr>
<tr>
<td>• review of reports, operational budgets and plans generated by the candidate</td>
<td>3.1–3.4, 5.1, 5.2</td>
</tr>
<tr>
<td>• review of performance reports for the candidate’s work area</td>
<td>1.2–1.5</td>
</tr>
<tr>
<td>• review of documented examples of quality performance improvements achieved and examples of significant problems solved</td>
<td>1.4, 1.5, 2.2</td>
</tr>
<tr>
<td>• simulations/role plays to assess situations which are critical but did not arise during the negotiated assessment period</td>
<td>1.5</td>
</tr>
<tr>
<td>• questioning/interview to assess underpinning knowledge</td>
<td>1.1–1.4, 3.3, 4.2, 5.1–5.7</td>
</tr>
<tr>
<td>• relevant workplace policies, procedures, operational reports, financial reports and stock records.</td>
<td>1.2–1.4, 2.1, 2.4, 4.3</td>
</tr>
</tbody>
</table>

Note that the evidence sources identified in Table 4.1 are consistent with all the assessment methods suggested in the unit of competency above. By way of illustration, this assessment:

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

In addition to the recommended assessment methods, some workplace projects should be negotiated with the candidate to demonstrate a contribution to improving processes and practices (Elements 4 and 5).
Finally, in unpacking the unit of competency there are seven generic competencies, referred to as key competencies, that should be considered in the assessment design. They focus on the overall capacity of candidates to apply knowledge and skills in an integrated way in the workplace. It is expected that they will be achieved, as competence in the unit is developed.

The seven key competencies are reported for all national competency standards and involve three levels of performance. In simple terms:

- level 1 is the level of competency required to undertake activities
- level 2 is the level of competency required to manage activities
- level 3 is the level of competency required to evaluate and reshape activities.

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

The following checklist has been produced to ensure that the key competencies are assessed as a part of the assessment design. In Table 4.5 the key competencies are checked to ensure that they are incorporated at the appropriate level within the performance criteria for the unit of competency. This ensures that these requirements are assessed indirectly by the evidence gathered to meet the performance requirements of the unit. Obviously, if an assessor’s checklist reveals gaps other sources of evidence will need to be provided to cover the deficiency in evidence.

Table 4.5: Ensuring the key competencies are assessed

<table>
<thead>
<tr>
<th>Evidence guide (PMLORG600A)</th>
<th>Key competency</th>
<th>Level</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.3, 2.4</td>
<td>Communicating ideas and information</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>1.3, 1.4, 2.1, 3.1-3.4, 4.1, 5.1, 5.2</td>
<td>Collecting, analysing and organising information</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>1.1-1.5, 2.2, 2.3, 3.2, 4.2-4.5, 5.5-5.7</td>
<td>Planning and organising activities</td>
<td>3</td>
<td></td>
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<tr>
<td>1.1-1.5, 2.1-2.4, 5.3</td>
<td>Working with others and in teams</td>
<td>3</td>
<td></td>
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<tr>
<td>1.3, 1.4, 3.3, 4.1, 5.1, 5.2</td>
<td>Using mathematical ideas and techniques</td>
<td>3</td>
<td></td>
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<tr>
<td>1.5, 2.2, 2.3, 3.3, 5.3, 5.5</td>
<td>Solving problems</td>
<td>3</td>
<td></td>
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<tr>
<td>1.3, 2.4, 3.1, 3.4, 5.1, 5.2</td>
<td>Using technology</td>
<td>2</td>
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</tbody>
</table>
Unpacking of this unit of competency is now completed and a range of evidence sources relevant to assessing competence has been identified. This is recorded in Table 4.6 by ticking (✔) the appropriate boxes to record the sources of evidence for each element and associated performance criteria.

While this may seem a fairly mundane process, the table will show at a glance whether evidence sources are capable of covering all aspects of performance specified in the unit (Template 1).

Note that unpacking this unit of competency has not identified all of the possible sources of evidence. Some of the sources (e.g., personal statement/resume, training records) will be influenced by the circumstances of the candidates. This information will be identified when negotiating an evidence plan with candidates (Section 4.3) and can then be added to Table 4.6.
Table 4.6  
Summary of evidence sources for the unit of competency  

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</tbody>
</table>

Note:
* denotes observation of a simulated or role play exercise
+ evidence sources such as B1, B3–B7 have been identified in consultation with candidates (see Table 4.7).
4.3 How do you negotiate an evidence plan?

The process conducted so far will ensure that the sources of evidence used reflect the requirements of the unit of competency. However, unpacking the unit in this way is essentially a ‘research’ task and will not guarantee that the assessment is both relevant to the candidates and cost-effective to enterprises or institutions.

The unit of competency needs to be interpreted and translated to the context in which the assessment will take place. This requires assessors to consult closely with candidates and workplace managers to:

- customise the evidence requirements to reflect the workplace or institutional context within which the assessment will take place
- incorporate specific forms of evidence identified by candidates or managers
- negotiate opportunities and any special arrangements required to collect further evidence.

In addition to identifying the range of evidence sources, assessors will need to satisfy the requirements for quality evidence. Following consultations, there will need to be agreement on:

- what constitutes enough evidence for a confident judgement to be made
- some rules concerning the currency of existing forms of evidence
- how evidence such as workplace documents can be authenticated.

There is no hard and fast rule for determining how much evidence is enough, but it is generally accepted that competence should be demonstrated on more than one occasion and (preferably) in more than one way. The range statement and evidence guide in the unit of competency will provide some help. For example, the evidence guide for unit PMLORG600A suggests assessment over a planning cycle, which could be a period of up to one year. Assessors have to weigh up what is fair to candidates, achievable and cost-effective for the assessors (and the businesses) as well as reliable for the assessment outcomes.
The evidence that is gathered can only ever be a sample drawn from the possible range that could be assessed. Essentially, it comes down to a judgement about whether the evidence is:

- sufficiently comprehensive to appropriately cover the performance specified within the unit(s) of competency
- of a quality that ensures validity and reliability of the decision making
- gathered from a variety of sources, contexts and instances, through a variety of assessment strategies
- collected in the most cost-effective way possible.

The ‘how, what, where and when’ questions are vital to good assessment practice, particularly where all of the participants have a role in producing evidence of competence over an extended period. Template 2 has been produced to help capture this information. It is also suggested that the parties to the assessment formally signify their agreement to the plan.

Template 2 for unit PMLORG600A has been completed in Table 4.7.
**Table 4.7: Evidence plan for the unit PMLORG600A**

<table>
<thead>
<tr>
<th>Evidence plan</th>
<th>Template 2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name of candidate</strong></td>
<td>Susanne Squires</td>
</tr>
<tr>
<td><strong>Unit(s)</strong></td>
<td>PMLORG600A: Supervise laboratory operations in work/function area</td>
</tr>
<tr>
<td><strong>Registered Training Organisation</strong></td>
<td>Labskill</td>
</tr>
<tr>
<td><strong>Sources of evidence</strong></td>
<td><strong>Agreed evidence</strong></td>
</tr>
<tr>
<td>A1 Practical Demonstration</td>
<td>Practical demonstration to assessor of one team meeting, and an induction of new employee</td>
</tr>
<tr>
<td></td>
<td>Practical demonstration of remediying equipment failure (observed by manager, as opportunity presents)</td>
</tr>
<tr>
<td>A2 Third Party Reports</td>
<td>Manager (Dave Holmes), Supplier (Capital Laboratory Supplies), Team Member (Jane Smeed), Customer (ARGI Pty Ltd)</td>
</tr>
<tr>
<td>A3 Questioning/Interview</td>
<td>Oral questions to be framed in consultation with manager</td>
</tr>
<tr>
<td>B1 Personal Statement/Resume</td>
<td>To be provided by candidate</td>
</tr>
<tr>
<td>B2 Workplace Documents (verified)</td>
<td>Two recent reports to QA Committee, two quarterly audit reports, staff roster, production record (actual vs target) over four quarters, annual training plan for personnel, annual operational plan (to flag personal contributions), annual operating budget with variations explained, maintenance program, etc</td>
</tr>
<tr>
<td>B3 Training Records</td>
<td>BSZ404A: ‘Train small groups’ qualification (Element 4), project management course outline (Elements 3, 4)</td>
</tr>
<tr>
<td>B4 Case Studies</td>
<td>See notes below</td>
</tr>
<tr>
<td>B5 Projects</td>
<td>See notes below</td>
</tr>
<tr>
<td>B6 Journal/Diary</td>
<td>Not required</td>
</tr>
<tr>
<td>B7 Testimonials/Awards</td>
<td>QA Committee award for excellence</td>
</tr>
</tbody>
</table>

**Skill development activities**
- Simulation of complex problem solving in workplace (manager to define a relevant problem)
- Projects to review staff development processes and identification of wastage reduction strategy
- Case study: candidate will work with Division Manager to develop budget in next planning cycle.

**Arrangements**
- Assessor will observe team meeting scheduled for March 16 and induction of new employee on March 20
- Manager on leave February 23–28
- Manager will use observation checklist prepared by assessor when a maintenance problem arises
- Assessor to approach supplier and customer for third party reports
- Candidate to approach manager and team member for third party reports.

**Agreement**
- Evidence to be submitted by: April 16
- Interview date: April 26
- I agree to the evidence plan:
  - Candidate: Susanne Squires
  - Supervisor: Dave Holmes
  - Assessor: Mario Agento
In preparing this evidence plan for the laboratory supervisor a number of skill development activities have been identified to address gaps in the evidence. In particular, supervisors in this company do not normally prepare budgets by themselves. Therefore, it is proposed that the candidate works with the manager to develop the necessary financial knowledge and skills.

Any new evidence sources can be added to Table 4.6 to complete the template.

In preparing an evidence plan, try to choose tasks, activities, exercises and/or workplace documents that will enable the collection of required evidence for several units of competency or elements during the one assessment activity. Care should be taken that quantity is not confused with quality. As many as possible of the elements and performance criteria in each column of Template 1 should be linked together into each assessment event. For example, the operational plans and budgets prepared by the candidate in the case study will provide evidence for Elements 3, 4 and 5 of the unit of competency.

Assessors should use evidence plans to decide the sequence of the assessment events and check the progress of candidates toward gaining competencies throughout the training. It may be less stressful to assess the basic knowledge and skills of candidates, before progressing to the more complex tasks and/or whole job roles. This could involve making several contacts with candidates over the duration of assessment. For example, meet to conduct a broad assessment of the candidate portfolio (including a personal statement, resume and training records) prior to designing the more complex assessment activities or seeking third party reports. In this way, assessors can concentrate future assessment efforts and resources on collecting and reviewing additional evidence in those areas where there are likely gaps in skills and/or knowledge. Evidence plans should be updated to reflect changes as they are negotiated with candidates.
Although the development of an evidence plan for a candidate in a workplace setting has been illustrated, the plan could equally be developed for a group of students in an institutional setting. The evidence sources may be quite different. For example, there may be a greater reliance on projects, simulations, role plays and understanding theoretical concepts. Institutions may also need to negotiate work placements or projects.

The evidence plan should be signed off and retained as a permanent record of how the assessment was conducted.

**Link to:**
- Section 6.2: Learning and assessment for an accredited Diploma of Community Services (Welfare Studies)
- Section 7.2: Institutional delivery and assessment for the Diploma of Information Technology (Network Engineering)
- Section 8.2: Simulating on-the-job learning and assessment for an accredited Diploma of Applied Arts in Fashion
5. DEVELOPING ASSESSMENT TOOLS

A carefully constructed assessment tool is a valuable guide to the assessment and the collection of evidence. It also provides a permanent record of the sources of evidence that are used to infer competence and make a judgement.

An assessment tool contains the information, instructions and recording mechanisms that an assessor needs to conduct the assessment. For example, it includes:

- information and specific instructions for assessors and candidates
- checklists or other templates for recording the evidence collected from each source
- documents for determining and recording the assessment decision.

The assessment tool should be designed during the planning stage so that the ‘how, what and when’ decisions are accurately captured in the tool.

This section of the guide includes an assessment tool for the assessment of the Unit of Competency PMLORG600A. Templates for each evidence source can be used to design assessment tools relevant for a particular context. Eight templates have been provided in all. (Templates 1 and 2 were introduced in Section 4 of this guide):

- **Template 1**: Summary of evidence sources for the unit of competency
- **Template 2**: Evidence plan
- **Template 3**: Record of assessment by observation/demonstration
- **Template 4**: Record of questioning of underpinning knowledge
- **Template 5**: Third party evidence report
- **Template 6**: Evaluation of portfolio contents
- **Template 7**: Record of assessment of simulated workplace project
- **Template 8**: Record of assessment outcome.

Copies of all templates are included in Appendix A.
5.1 How do you design an observation checklist?

Observation is often used to assess practical and work skills that are outlined in the performance criteria and the critical aspects of competence section within a unit of competency. While the opportunity to use direct observation may be limited for high level competencies, there are situations where this evidence is relevant. For example, there may be some opportunities for the assessor to observe a planned activity (say, conducting a regular team meeting). Alternatively, the assessor may be able to arrange for a third party (for example, the candidate’s manager) to observe activities that cannot be planned in advance.

Following is an example of an observation checklist for an assessor to use to observe a candidate conducting a regular team meeting and inducting a new employee (Table 5.1).

The template could be modified to prepare a checklist for a workplace manager to use when unscheduled maintenance of equipment is undertaken by the candidate. In this case, it is unlikely that the assessor will be present when such an event occurs and it is important that the third party observer uses a properly structured recording sheet to ensure that the performance requirements are clearly understood and reported.

Observation checklists are also used to assess role plays and simulation exercises.

Link to:
- Section 8.1: Simulating emergency management
- Section 8.2: Simulating on-the-job learning and assessment for an accredited Diploma of Applied Arts in Fashion
Table 5.1  Observation checklist for unit PMLORG600A

<table>
<thead>
<tr>
<th>Record of assessment by observation/demonstration</th>
<th>Template 3</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name of candidate</strong></td>
<td>Susanne Squires</td>
</tr>
<tr>
<td><strong>Unit(s)</strong></td>
<td>PMLORG600A: Supervise laboratory operations in work/function area</td>
</tr>
<tr>
<td><strong>Registered Training Organisation or workplace</strong></td>
<td>Labskill</td>
</tr>
<tr>
<td><strong>Name of assessor/observer</strong></td>
<td>Mario Agento</td>
</tr>
</tbody>
</table>

**Observation of:**

- **a) team meeting conducted by candidate**
  - During a **team meeting**, did the candidate:
    - prepare a properly structured agenda and summarise the key issues and possible options? Yes No N/A
    - use language appropriate to the audience? Yes No N/A
    - seek input from others? Yes No N/A
    - respect differences of opinion? Yes No N/A
    - keep the meeting moving while ensuring participation? Yes No N/A
    - negotiate agreed positions? Yes No N/A
    - summarise outcomes for action and distribution? Yes No N/A

- **b) induction of new employee by candidate**
  - During the **induction of a new employee**, did the candidate:
    - welcome the new employee? Yes No N/A
    - outline the company structure and business objectives? Yes No N/A
    - outline relevant policies and procedures of work area? Yes No N/A
    - identify future learning opportunities and pathways? Yes No N/A
    - arrange for introduction to team members? Yes No N/A

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

Signed by the assessor/observer: __________________________ Date: __________________________

Feedback to candidate: 

---------------------------------------------------------------------

---------------------------------------------------------------------

---------------------------------------------------------------------

---------------------------------------------------------------------

---------------------------------------------------------------------
5.2 How do you assess underpinning knowledge?

Many of the sources of evidence that are relevant to assessing competencies in higher qualifications are related to *process* or *product*. However, in order to be confident about candidate performance, it is important to assess whether candidates possess the required knowledge and can use it to:

- analyse new situations
- make predictions based on past experience
- evaluate work performance
- reflect and learn from experience.

It is important to also assess the candidates' knowledge of procedures and problem solving techniques to predict their ability to respond to emergencies and handle unexpected difficulties since these cannot be assessed directly.

Underpinning knowledge and understanding is generally assessed using questions as part of a structured interview or written test. Alternatively, candidates in senior job roles could be required to demonstrate understanding by the preparation of written reports. There are various types of questions.

- Those requiring **short answers (oral or written)** are used to assess lower level cognitive skills such as the candidate’s ability to describe, clarify, name, recall, identify, distinguish, calculate, define and explain information and ideas. Responses will confirm the ability to recall knowledge, follow instructions, comply with rules and respect opinions.
- Those requiring **open-ended or extended responses** are used to assess higher level cognitive skills such as the candidate’s ability to compare, analyse, synthesise, interpret, contrast, debate, translate, plan, develop and evaluate information and ideas. Responses will confirm the ability to make judgements, solve problems, justify positions and clarify values.
The following approach includes a range of questions to assess underpinning knowledge. The key tasks for assessors are to:

- prepare ‘open’ questions which are capable of eliciting responses that demonstrate the understanding required (the evidence guide will provide help in this area)
- sequence the questions to extend candidates from familiar issues to exploring responses to unfamiliar situations (enabling assessors to infer the ability of candidates to generalise, draw logical conclusions, make predictions and evaluate alternative approaches)
- define a range of acceptable responses where possible to ensure that consistency of assessment is achieved.

Assessors should seek guidance from workplace managers and other subject matter experts to help with designing relevant questions and responses.

Table 5.2 includes questions for assessors to use in order to judge the underpinning knowledge of candidates in a consistent manner for the unit PMLORG600A. A range of acceptable responses should also be prepared to encourage reliability in the assessment. Template 4 could easily be modified to enable assessors to record candidate responses to the questions.
### Table 5.2: Record of questioning for unit PMLORG600A

<table>
<thead>
<tr>
<th>Name of candidate</th>
<th>Susanne Squires</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit(s)</td>
<td>PMLORG600A: Supervise laboratory operations in work/function area</td>
</tr>
<tr>
<td>Registered Training Organisation or workplace</td>
<td>Labskill</td>
</tr>
<tr>
<td>Name of assessor</td>
<td>Mario Agento</td>
</tr>
</tbody>
</table>

#### Questions

<table>
<thead>
<tr>
<th>Question</th>
<th>Satisfactory response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q1. What are the company’s overall business goals and values and how do they inform the work you do?</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>Q2. Which specific Key Performance Indicators are most relevant to you and what is your approach to ensuring optimum performance?</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>Q3. What are the broad quality requirements for continuing registration by NATA? Assess the risks of non-compliance in your work area.</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>Q4. What are your main responsibilities under the enterprise agreement in dealing with your staff?</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>Q5. What are the relationships between your budget and operational plans and how do you negotiate variations? Use a recent variation to illustrate the steps you took to prevent recurrence.</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>Q6. What arrangements do you follow in making changes to SOPs and disseminating information?</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>Q7. Outline in broad terms how you solve problems and analyse a recent example.</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>Q8. Outline your leadership style and explain how you are able to achieve ongoing commitment from your staff.</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>Q9. What are the company procedures for quality auditing? Discuss how you ensure compliance in your area.</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>Q10. How do you induct a new employee and prepare training plans to ensure that they achieve appropriate development of skills?</td>
<td>Yes ☐ No ☐</td>
</tr>
</tbody>
</table>

The candidate's underpinning knowledge and understanding was:

- Satisfactory ☐
- Not satisfactory ☐

Signed by the assessor: ___________________________ Date: ___________________________

Feedback to candidate:

- ————————————————————————————————————————————————————————————————————————————————————————————————————
- ————————————————————————————————————————————————————————————————————————————————————————————————————
- ————————————————————————————————————————————————————————————————————————————————————————————————————
- ————————————————————————————————————————————————————————————————————————————————————————————————————
- ————————————————————————————————————————————————————————————————————————————————————————————————————
5.3 How do you design third party reports?

Third party reports provide a valuable way of confirming the ability of candidates to perform on an ongoing basis and to transfer skills and knowledge to different contexts or situations. They are particularly important in assessing competencies in higher qualifications which cannot be directly observed and in contingency management situations where the occurrence of events is unpredictable.

Third party reports can be obtained from those people who are regularly exposed to the work of candidates, including supervisors/managers, peers and subordinates, as well as external customers/suppliers. They will need to be fully briefed to ensure that quality feedback is received. It is important to recognise that these third parties are not making the assessment decision. The information should be used carefully, usually as a means of confirming evidence of competence obtained from other sources.

In negotiating the evidence plan, assessors and candidates will agree on:

- who will provide the reports
- how they will be distributed and collected.

Third party reports should be designed to be simple and should require minimal effort to complete, unless the third party chooses to provide an extensive report. The following example is a simple checklist, although a short narrative response could be requested. The key to producing valuable evidence from third party reports is to ensure that the responses sought are closely tied to the competency standards. Therefore, checklists should be prepared carefully to ensure that respondents are requested to report on matters that are relevant to:

- their knowledge of the candidates
- the specific performance criteria that are being assessed.

Table 5.3 is a checklist for supervisors/managers. The template can be readily customised to suit reports from other sources (peers, team members, customers or suppliers). Worked examples of other third party reports are provided in the case study of business management in the aquaculture sector (Section 10).
Table 5.3: Third party evidence report from supervisor for unit PMLORG600A

<table>
<thead>
<tr>
<th>Third party evidence report</th>
<th>Template 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of candidate</td>
<td>Susanne Squires</td>
</tr>
<tr>
<td>Unit(s)</td>
<td>PMLORG600A: Supervise laboratory operations in work/function area</td>
</tr>
<tr>
<td>Registered Training Organisation or workplace</td>
<td>Labskill</td>
</tr>
<tr>
<td>Name of supervisor</td>
<td>Dave Holmes</td>
</tr>
</tbody>
</table>

As part of the assessment for the unit(s) of competency listed above, we are seeking evidence to support a judgement about the candidate’s competence. As part of the process of gathering evidence of competence, we are seeking reports from the supervisor and other people who work closely with the candidate. We would like you to complete this report. We value your contribution and ask that you answer the questions honestly.

<table>
<thead>
<tr>
<th>Does the candidate consistently meet your company’s performance standards for:</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>achieving outcomes consistent with plans/budgets?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>implementing safe working arrangements?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>contributing proposals and ideas for quality improvements?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>contributing to the company’s quality system?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>revising operational plans to reflect essential variations?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>making decisions that are appropriate?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>optimising resource usage in terms of the operational plans?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>communicating and consulting with colleagues and clients?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>motivating and counselling personnel to improve performance?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>promoting a learning environment in the work area?</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

Signed by the supervisor: .................................................. Date: ..............................

Please provide some comments to support your responses:

-----------------------------------------------------------------------------------------------------------------------------------
5.4 How do you evaluate a portfolio?

The process of assembling and evaluating a portfolio was outlined in Sections 3.2.2 and 3.2.3. The provision of workplace documents and other records in a portfolio will not suffice in themselves. It is the responsibility of assessors to:

- guide candidates in preparing suitable personal statements and resumes so that their claims are fully considered and documented
- seek verification of the candidates’ roles from others who have witnessed the events documented
- interpret the currency of the material and the way that candidates apply the skills in the present context
- obtain an explanation of the material to clarify the context and relevance to the unit(s) of competency involved. This may be achieved by interviewing candidates on one or more occasions. The interviews will also enable assessors to ask questions relating to the underpinning knowledge requirements of the unit(s)
- evaluate the contents using a holistic approach. Rather than taking an atomistic approach by checking each item in the portfolio against the unit requirements, assessors should consider evidence as a whole or in large integrated pieces. The benefits of this approach are that it is less time–consuming and allows assessors to concentrate on those areas where there are perceived gaps in the evidence. These gaps can then be addressed during the interview stage and/or in subsequent skill development.

To assist in evaluating candidate portfolios, it is advisable to use two templates:

- Template 2 (Evidence plan) allows assessors to keep track of the materials that are provided by the candidates (see Section 4.3).
- Template 6 (Evaluation of portfolio contents) allows assessors to:
  - make a holistic evaluation of the contents against the unit(s) of competency
  - identify gaps in the evidence and potential deficiencies in skills and knowledge
  - summarise the feedback, clarification and questions assessors propose to raise with candidates during formal assessment interviews
  - retain a record of the final assessment interviews.

Table 5.4 contains a partially completed Template 6 following a review of the portfolio prior to the final interview. Careful evaluation of the portfolio is important so that any issues requiring clarification can be raised with the candidate.
Table 5.4: Evaluation of portfolio prior to interview for unit PMLORG600A

<table>
<thead>
<tr>
<th>Requirements of the unit of competency:</th>
<th>Yes</th>
<th>No</th>
<th>Unsure</th>
</tr>
</thead>
<tbody>
<tr>
<td>The contents of the portfolio provided satisfactory evidence of the candidate’s ability to:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• achieve outcomes consistent with plans/budgets</td>
<td>☐</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>• implement safe working arrangements</td>
<td>☑</td>
<td>☑</td>
<td>☐</td>
</tr>
<tr>
<td>• contribute proposals and ideas for quality improvements</td>
<td>☑</td>
<td>☑</td>
<td>☐</td>
</tr>
<tr>
<td>• contribute to the company’s quality system</td>
<td>☑</td>
<td>☑</td>
<td>☐</td>
</tr>
<tr>
<td>• revise operational plans to reflect essential variations</td>
<td>☐</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>• make decisions that are appropriate</td>
<td>☐</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>• optimise resource usage in terms of the operational plans</td>
<td>☑</td>
<td>☑</td>
<td>☐</td>
</tr>
<tr>
<td>• communicate and consult with colleagues and clients</td>
<td>☑</td>
<td>☑</td>
<td>☐</td>
</tr>
<tr>
<td>• motivate and counsel personnel to improve performance</td>
<td>☐</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>• promote a learning environment in the work area.</td>
<td>☑</td>
<td>☑</td>
<td>☐</td>
</tr>
</tbody>
</table>

Following analysis of the evidence, the following issues require clarification during interview:

• obtain more detail on previous job role (see resume)
• clarify extent of involvement in QA Committee
• explain production shortfall in latest quarterly operational plan
• query issue on recent audit report
• training plan appears to have no needs analysis.

Additional evidence is required in the following area:

• budgeting (annual and quarterly reports)
• written communication (letters and memos)
• implementing safe working arrangements (proposals and reports)
• motivating and counselling personnel (third party report from team member).

Signed by the assessor: ___________________________ Date: ___________________________
Assessors may prepare specific templates to assist with evaluating other evidence identified in the evidence plan. For example, Template 7 could be modified for reviewing the outcomes of negotiated case studies and work projects to ensure consistent judgements by different assessors. While Template 7 has not been used for unit PMLORG600A, it has been included in Sections 7 and 10 of this guide. A blank Template 7 is provided in Appendix A.

Link to:

- Appendix A: Use Template 7 to design assessor checklists for work projects and case studies.
- Section 7.2.3: Design brief for the simulated work project
- Section 10.3: Preparing an Assessor Kit and Candidate Kit
5.5 How do you record the assessment outcome?

Assessment results must be recorded systematically. An example of the use of a template for this purpose is illustrated in Table 5.5. The template is used to collect all the assessment results for a unit of competency together in one place so that the final decision about the candidate competence for the unit can be made and formally documented. The template in Appendix A should be adapted to design a customised form.

Include the assessment dates so that there is no doubt about the currency of the candidate’s skills. The candidate may have presented for their first assessment some time ago before taking an extended leave of absence. In this case, the assessor would make sure that the candidate was still able to demonstrate all of the required skills during the final observation event.

Assessors should make sure that there is sufficient evidence of competence and that every aspect of candidate performance meets the required standard before recording a final result as ‘competent’ for the unit(s) of competency.

Space is set aside to write in comments about any follow up training and assessment that would be required if the overall result is ‘not yet competent’. Assessors should make sure that candidates understand what additional skill development is needed to reach the required standard before they attempt re-assessment. They should carefully record the feedback given to candidates, including reasons for a ‘not yet competent’ decision. This information is vital in the event of an appeal. Be sure that the form is signed by both the assessor and the candidate. The workplace supervisor could also sign the form as part of the validation process.
### Table 5.5: Record of assessment for unit PMLORG600A

<table>
<thead>
<tr>
<th>Record of assessment outcome</th>
<th>Template 8</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of candidate</td>
<td>Susanne Squires</td>
</tr>
<tr>
<td>Unit(s)</td>
<td>PMLORG600A: Supervise laboratory operations in work/function area</td>
</tr>
<tr>
<td>Registered Training Organisation or workplace</td>
<td>Labskill</td>
</tr>
<tr>
<td>Qualification</td>
<td>Advanced Diploma in Laboratory Operations</td>
</tr>
<tr>
<td>Summary of evidence sources:</td>
<td></td>
</tr>
<tr>
<td>- Practical demonstrations (3)</td>
<td></td>
</tr>
<tr>
<td>- Third party reports (5)</td>
<td></td>
</tr>
<tr>
<td>- Personal statements/resume and QA award</td>
<td></td>
</tr>
<tr>
<td>- Workplace documents and training records (as per evidence plan)</td>
<td></td>
</tr>
<tr>
<td>- Case study (budget)</td>
<td></td>
</tr>
<tr>
<td>- Projects (2)</td>
<td></td>
</tr>
<tr>
<td>- Interview April 26</td>
<td></td>
</tr>
</tbody>
</table>

The candidate was assessed as:

- Competent [ ]
- Not Yet Competent [ ]

The candidate requires the following skill development before re-assessment:

- N/A

Feedback to candidate on overall performance during assessment:

A wide range of evidence was presented based on performance over a six month period. Evidence confirmed consistent high level performance over the period.

The candidate has been provided with feedback and informed of the assessment result and the reasons for the decision.

<table>
<thead>
<tr>
<th>Name of Assessor:</th>
<th>Mario Agento</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature of Assessor:</td>
<td></td>
</tr>
<tr>
<td>Date:</td>
<td>April 26</td>
</tr>
</tbody>
</table>

I have been provided with feedback on the evidence I have provided. I have been informed of the assessment result and the reasons for the decision.

<table>
<thead>
<tr>
<th>Name of Candidate:</th>
<th>Susanne Squires</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature of Candidate:</td>
<td></td>
</tr>
<tr>
<td>Date:</td>
<td>April 26</td>
</tr>
</tbody>
</table>
6. **ASSESSING ATTRIBUTES**

The personal and professional attributes that a person brings to the workplace can have just as much impact on performance as how they apply knowledge or technical skills. An awareness of an organisation’s ethics and values is sufficient for some workplaces. In others, a personal commitment to ethical behaviour is crucial to competent performance.

Attributes are often ignored in competency based assessment. This is because:

- the elements and performance criteria in many competency standards do not explicitly include the requirements
- assessment tends to focus on more easily observed ‘task oriented’ behaviour
- assessment decisions may be seen as highly subjective and value-laden.

So far, this guide has not dealt specifically with the assessment of personal and professional attributes. The design of assessment for the Unit of Competency *PMLORG600A: Supervise laboratory operations* in Sections 4 and 5 dealt with attributes in a peripheral way. They are incorporated within organisational procedures and policies, as well as industry quality standards and statutory requirements.

In view of the importance of attributes such as ethics, values and attitudes to high level competencies, these issues will be dealt with explicitly in this section.

### 6.1 Addressing ethics, values and attitudes in assessment

The purpose of this section of the guide is to illustrate ways in which assessment of ethics, values and attitudes can be explicitly addressed in assessment of high level competencies. These attributes have a significant impact on performance in areas such as workplace relations, leadership, creativity, problem solving and cultural understanding. As demonstrated in the case study of the welfare sector, they fundamentally shape the way decisions are made and the manner in which people interact in the workplace, within teams and with clients.
For example, in the welfare sector it is crucial that personnel demonstrate:

- empathy with clients or patients
- sensitivity to the needs of others
- acceptance of and respect for alternative viewpoints
- confidentiality when dealing with clients
- acceptance of responsibility for one’s own actions
- awareness of and sensitivity to cultural diversity
- ethical behaviour in a given situation.

While assessors agree that ethics, values and attitudes are important in workplace performance, they also agree that they are difficult to measure and assess. If they are not to be ignored, attributes should be assessed in conjunction with other workplace activities so that competence can be inferred by observing normal workplace behaviour over an extended period. The challenge for assessors is to ensure that the assessment context is as authentic as possible, particularly in situations where extensive observation may be intrusive. This challenge is greater for teachers and assessors in institutional RTOs where there may not be regular access to workplaces and where they depend on simulations or work projects.

**Link to:**

- Section 8.2: Simulating on-the-job learning and assessment for an accredited Diploma of Applied Arts in Fashion

Most of the assessment strategies identified in Sections 4 and 5 are relevant to assessing personal attributes in combination with skills and knowledge. The most common approaches used are the direct observation of performance over time, coupled with the conduct of structured interviews to explore personal and professional attributes in more depth.

However, assessment must involve more than simply preparing observational checklists and questions from the performance criteria in the competency standards.

The assessment strategy must be carefully planned to ensure that candidates:

- have the time to develop the required attributes, if necessary
• demonstrate the required behaviours consistently in a range of realistic workplace contexts and situations
• are required to reflect on and evaluate their responses to complex issues and problems that may not arise during the assessment process.

The remainder of this section includes advice about enhancing assessor confidence in making assessment decisions that involve attributes.

For example, a case study in the welfare sector is used to illustrate how teachers in an institutional RTO assess attributes as part of assessing their students’ workplace projects.

6.1.1 Using observation of performance over time to assess attributes

At lower AQF levels, the assessment of ethics, values and attitudes can be easily built into observational checklists since the required behaviours are readily observed. For example, it is important that receptionists are respectful of cultural diversity. This attribute could be assessed by observing their customer service skills. A reliable third party could observe the candidate’s performance over time to assess whether all customers are:

• greeted politely and respectfully
• served in order of arrival
• treated with patience and every effort is made to meet their needs (particularly if they are not fluent in English).

Similarly, an observational checklist could be used to assess the ability of a pharmacy assistant to maintain confidentiality when handling a customer's prescriptions. Again, a third party or assessor could check that:

• prescriptions are handed directly to the pharmacist and not left lying on the counter
• the personal and health details of customers are kept secure
• access to customer information is only given to authorised people
• requests for sensitive advice are handled discreetly and referred to the pharmacist as appropriate.

However, in higher qualifications, the competency standards may require assessors to gather more detailed evidence about the ethics, values and attitudes of candidates in the context of their practice or work situation.
One way of doing this is to develop structured third party reports so that managers, clients and team members, without a conflict of interest, can comment directly on the candidate workplace behaviours and provide examples to back up their claims. For example, the following checklist could be used by adapting Template 5 to assess a candidate’s leadership style.

<table>
<thead>
<tr>
<th>Does the candidate consistently:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• demonstrate open, honest and ethical dealings with others?</td>
</tr>
<tr>
<td>• place organisational goals above self-interest or gain?</td>
</tr>
<tr>
<td>• show commitment and loyalty by supporting agreed goals, other leaders and staff?</td>
</tr>
<tr>
<td>• take responsibility for joint or individual actions and decisions?</td>
</tr>
<tr>
<td>• accept constructive criticism?</td>
</tr>
<tr>
<td>• inspire and support others to achieve common goals?</td>
</tr>
<tr>
<td>• apply personal drive and energy effectively?</td>
</tr>
</tbody>
</table>

6.1.2 Using structured interviews to assess attributes

Interviews also provide an excellent opportunity to assess attributes that underpin competence as well as the understanding and application of essential knowledge. For example, an assessor can use a structured interview to lead a candidate through a series of questions to explore and reflect on issues of attitudes, ethics and values that arise from carefully chosen aspects of work.

This approach is based on the theory of ‘narrative storytelling’ and is known by a variety of names (eg complex storytelling, structured interview). It is adapted from the Ethical Pursuits Kit, developed by the Vocational Education and Assessment Centre (1999).

Structured interviews for the assessment of high level competencies should involve five types of questions.

- **Questions of invitation** invite candidates to select and describe episodes of their work practice that were challenging or stretched their capability.
- **Questions of exploration** assist candidates to develop their simple stories into more complex accounts by seeking information about other participants’ or stakeholders’ perceptions. The questions should clarify the workplace contexts involved and help candidates to analyse the options that were available and the choices they made.
• **Questions of confirmation** ask candidates to name which competencies are related to the performances they have described.

• **Questions of investigation** follow up areas of uncertainty or ambiguity and check that the performances fully reflect the AQF requirements of candidate job roles. These questions are used to fine tune the evidence presented and confirm assessor decisions.

• **Questions of reflection** invite candidates to analyse their past practice to gain insight about areas of personal development and improvement.

To illustrate this approach, an assessor involved in the welfare sector could use the following key questions to assess a candidate's ability to communicate effectively.

**Example: Work project to establish a community support facility in a large public housing complex**

- **Questions of invitation**
  ‘Can you tell me about how you gained the confidence of the residents? Were they sceptical about anything new?’

- **Questions of exploration**
  ‘So, how did you work out the best way of approaching the residents? What were the results of talking with the Aboriginal leaders within the complex? How did they respond when so few residents turned up to the initial meeting?’

- **Questions of confirmation**
  ‘Can you describe how your experience at the housing complex confirms your ability to communicate effectively?’

- **Questions of investigation**
  ‘Can you tell me a bit more about what happened when you encountered the small group of women residents who refused to cooperate because they considered themselves to be above the problems of other residents? How did you react? What did you do to gain their support? How did you keep things on track over time?’

- **Questions of reflection**
  ‘What would you do differently next time? What did the experience tell you about your own views and opinions? How would you have reacted to the proposed facility if you were in their position?’

This approach could be used when the candidates are either reflecting on routine work activity or reporting on the outcomes of projects as part of their assessment. The important point is that interviews and questioning can be used to gather a lot more evidence than the mere recall of essential knowledge.
6.2 Learning and assessment for an accredited Diploma of Community Services (Welfare Studies)

To illustrate the assessment of ethics, values and attitudes associated with high level competencies, an example has been chosen from the community services (welfare) sector. The example will show how learning and assessment is conducted:

- in an institutional setting where most students do not have direct access to a workplace
- in an occupational area (welfare) where personal attributes are both explicitly described in the performance standards and vital to competent performance in the workplace.

The challenge faced by the teachers was to deliver competency based training and assessment while trying to meet the needs of a variety of stakeholders. The program had to be flexible to meet the needs of:

- students who were working, seeking to enter the workforce and/or seeking to enter university at the completion of their studies
- employers who required program outcomes to be consistent with the vocational performance standards
- universities required a system which was capable of grading students to ensure fair competition for places.
Case study

The conversion from an existing criterion-referenced, graded curriculum to a competency based one provided teachers at a major institutional RTO with an opportunity to totally review the approach to teaching and assessment of an accredited Diploma in Community Services (Welfare Studies).

A key feature of the review was to seek input from all stakeholders in the process, including the students, employers, universities and teachers. A constant theme in the feedback received was that the major issues centred around assessment and the way in which the results were reported to users. The outcome was the implementation of a competency based approach in which:

- the curriculum was mapped to the competency standards in the Community Services Training Package and a modular pathway developed
- competency based assessment was introduced for all modules
- a cluster of modules was identified for optional ‘capstone’ grading. The cluster provided students with an opportunity to apply the skills, knowledge and attitudes (embedded in earlier modules) to an integrated work-related task
- teachers and students were provided with a resources folder to guide the assessment process, including self-assessment (for RPL) by the student.

The clustered modules form the basis of ‘managed workplace learning’ projects. Students are required to negotiate and complete a project with a relevant host organisation that:

- meets the learning outcomes of the cluster of modules
- demonstrates achievement and initiative of the student
- provides value to the host organisation
- could form the basis of a graded assessment by a panel of assessors, if required by the student.

The projects selected by the students involve a variety of approaches to the delivery of improved community services. Examples of projects undertaken so far include the:

- evaluation of foster care services
- establishment of a support group for grief and loss
- design of a youth suicide awareness program
- preparation of a procedure manual for use by community service workers
- research into the needs for specific services and programs.

Students and their supervising agency are provided with considerable resources and institutional support as they negotiate and conduct their projects. They are able to negotiate a variety of evidence sources, although the major ones are likely to be:

- the project report
- a critical reflection and self-evaluation of the project in writing, based on a diary compiled during the placement
- teacher reports, based on regular and formal contact points during the project
- structured agency reports
- presentation by the candidate to an assessment team in a structured final interview. In the interview the candidate’s personal and professional reactions to various issues recorded in the diary are explored. The team explores issues by use of leading questions such as:
  - How did you feel …?
  - How did you react …?
  - What did you learn …?
6.2.1 **Using work–based projects to support assessment of personal attributes in the welfare sector**

In this case study, the approach to learning and assessment involves:

- a structured training program to deliver and assess the underpinning theoretical perspectives
- an induction workshop where students are introduced to a range of alternative learning and assessment options, depending on their current knowledge and relevant work experience
- a process of self-assessment and recognition of prior learning (RPL) which leads to the development of an individualised training plan
- managed work–based projects and assessment to demonstrate competence in a range of key performance outcomes, including:
  - professional creativity and innovation
  - application of underpinning knowledge
  - an awareness of personal and professional values and attitudes within each student’s field of practice.

**Link to:**

- Section 4.3: How do you negotiate an evidence plan?
- Appendix A: You could use Template 2 to design an individualised training plan.

The negotiation, conduct and evaluation of the work–based project provides the basis of the evidence required for the final competency assessment. This evidence can be broadly grouped into two sources.

**Direct observation of candidates over the period of the project**

Both the teachers and agency representatives provide written feedback. While the teachers assess candidates against the learning outcomes in the training program, the agency representatives comment on student performance in the workplace. The agency report is structured to address the relevant performance criteria as illustrated.
Agency report

The student has demonstrated the ability to:

- liaise with management
- liaise with staff
- liaise with other service providers
- understand and respect the ethics of the agency
- use supervision appropriately and contribute to the establishment of an open learning relationship with the agency
- use an empowerment approach to community development
- apply creative solutions and use initiatives to develop and implement appropriate strategies
- use creativity and initiative to develop and/or access resources
- work independently while maintaining a clear focus on the task
- work within the code of ethics as outlined by the Australian Institute of Welfare and Community Workers.

Link to:

- Section 5.3: How do you design third party reports?
- Appendix A: You could use Template 5 to design an agency report.

Structured interview

A team of four assessors (two internal/two external to the institution) meets with the candidate. The following evidence is considered:

- a presentation by the candidate based on the project report and personal reflections
- responses to questioning by team members to confirm underpinning knowledge
- exploration of key issues arising during the project and the candidate’s personal and professional reactions and responses to the issues.

The team is required to judge the candidate’s performance using the following criteria.

Team report

The student:

- identifies realistic and achievable expectations and parameters for the project
- demonstrates awareness of client issues at the micro level
- demonstrates awareness of industry issues and needs at the micro level
- uses initiative in a professional manner towards achieving desired outcomes
- demonstrates an awareness of self and own professional development

Additional criteria are used to determine graded results.
Assessing competencies in higher qualifications

Link to:
- Section 5: Developing assessment tools
- Appendix A: You could use some of the templates to record and evaluate evidence from teachers, structured interviews and panel reports.

Acknowledgement

The authors are grateful to Lola Krogh and Satch Campbell for the development of this case study.
7. ASSESSING COMPLEX TECHNICAL KNOWLEDGE AND SKILLS WITHIN INSTITUTIONAL RTOS

So far, this guide has focused on the design of assessment tools to capture task management skills, contingency management skills and the personal and professional attributes underpinning competence. This section concentrates on the assessment of complex technical knowledge and skills and the unique challenges this provides for institutional RTOs.

7.1 Challenges facing institutional RTOs

These challenges arise from the nature of the students and competencies involved and the requirement that all students must be assessed against standards that describe workplace performance.

- Many students commence full-time study immediately after finishing their senior secondary schooling and expect to complete their studies in the shortest possible time despite having little or no relevant industry experience.
- Students with limited access to the workplace require a very structured, systematic development of underpinning knowledge and skills. Substantial time is required for the practice of skills and feedback prior to any final assessment.
- Many technical units of competency at the Diploma and Advanced Diploma level are complex and are underpinned by a substantial body of specialised knowledge and skills. Many of these technical units specify that ‘... evidence is collected over an extended period of time.’ To meet these performance requirements, timetabling constraints and program funding requirements, institutions have no option but to break large technical units of competency into smaller delivery, assessment and reporting blocks.
- Simulated work projects and case studies are required so that students can be assessed against industry competency standards. However, many institutional RTOs lack a contemporary knowledge of current and emerging work practices and technologies. This may inhibit their ability to conduct realistic workplace simulations.
The following case study outlines how one large institutional RTO delivers and assesses the Diploma of Information Technology (Network Engineering) from the Information Technology Training Package.

It shows how the RTO copes with the development and assessment of large complex units of competency over an extended period of time by using a structured training program to ensure that underpinning knowledge and skills are developed efficiently. Competencies are assessed at the end of the program using simulated work projects that require the integration of a number of related units of competency.

### 7.2 Institutional delivery and assessment for the Diploma of Information Technology (Network Engineering)

#### 7.2.1 Training delivery

Diploma qualifications in information technology are becoming increasingly recognised as important entry points into the information technology industry. As such, there is very strong demand for student places.

In the delivery model adopted by this RTO, each Diploma of Information Technology is delivered using a structured training program with early exit points at the Certificate III and Certificate IV levels. This approach enables the efficient, sequenced and timely delivery of underpinning knowledge and skills that are relevant to more than one unit of competency.

Figure 7.1 illustrates the structured approach used for achievement of the core Diploma level competencies within the Diploma of Information Technology (Network Engineering). Different shading patterns have been used to illustrate which modules are required for competence in the Certificate III in Information Technology (Network Administration) and the additional requirements for the Certificate IV in Information Technology (Network Management).
By analysing the competence requirements, the underpinning knowledge and skills and the potential for integration of related units, the RTO has identified a range of relationships between the program’s modules and the relevant units of competency.

- The sequence of modules Operating Systems and Operating Systems (UNIX) plus the sequence Programming 1 and Programming 2 lead to the achievement of the unit Create code for applications (ICAITB070A).

- The module Build an Intranet plus its pre-requisite sequence Introduction to Hardware and Networks, Network Administration and Build an Internet lead to the achievement of the unit Build an Intranet (ICAITI099A).

- The module Complex Networks plus its pre-requisite sequence leads to the achievement of three technical units ICAITAD044A, ICAITAD045A and ICAITI098A. The same module Complex Networks in combination with Network Engineering Work Placement leads to the achievement of the unit Troubleshoot and resolve network problems (ICAITS122A).
Assessing competencies in higher qualifications

FIGURE 7.1: Structured pathway for the achievement of core Diploma units of competency for the Diploma of Information Technology (Network Engineering)

- **Computer Applications**
- **Communicating with Clients**
- **Computer User Documentation**
- **Software Customisation**
- **Hardware**
- **Operating Systems**
- **Network Administration**
- **Network Installation & Management**
- **Help Desk Management**
- **Network Security**
- **Build an Intranet**
- **Build an Internet**
- **Complex Networks**
- **Operating Systems**
- **System Administration**
- **Project Management**
- **Complex Networks**
- **Work Placement**

- **Certificate III in Information Technology (Network Administration)**
- **Certificate IV in Information Technology (Network Management)**
- **Diploma of Information Technology (Network Engineering)**

---

**Pre-requisites**

- **ICAITS123A**
  - Manage network security
- **ICAiTAD056A**
  - Prepare disaster/recovery plan

**Co-requisites**

- **ICAITI098A**
  - Install and manage complex networks
- **BSX154L607A**
  - Manage communications
- **BSX154L608A**
  - Manage risk
- **BSX154L609A**
  - Manage procurement
- **BSX154L501A**
  - Guide application of project integrative processes

**ICAITAD043A**
- Develop and present a feasibility report

---

**ICAITAD044A**
- Develop system infrastructure design plan
- **ICAITAD045A**
  - Produce network/communication design
- **ICAITI099A**
  - Install and manage complex networks

---

**BSX154L602A**
- Manage scope
- **BSX154L604A**
  - Manage costs
- **BSX154L605A**
  - Manage quality
- **BSX154L606A**
  - Manage human resources
- **BSX154L607A**
  - Manage communications
- **BSX154L608A**
  - Manage risk
- **BSX154L609A**
  - Manage procurement
7.2.2 Assessment

The integrated assessment of the three technical Units of Competency ICAITAD044A: *Develop system infrastructure design plan*, ICAITAD045A: *Produce network/communication design* and ICAITI098A: *Install and manage complex networks* is presented in detail to illustrate the assessment approach.

The structured pathway shown in Figure 7.1 provides for the sequential development and formative assessment of underpinning knowledge and skills.

The relationship between the three individual units of competency and possible sources of evidence is presented in the following grid.

<table>
<thead>
<tr>
<th>Unit of competency</th>
<th>Sources of evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Practical demonstration</td>
</tr>
<tr>
<td></td>
<td>Laboratory exercises</td>
</tr>
<tr>
<td>Develop system infrastructure design plan</td>
<td></td>
</tr>
<tr>
<td>Produce network/communication design</td>
<td>✓</td>
</tr>
<tr>
<td>Install and manage complex networks</td>
<td>✓</td>
</tr>
</tbody>
</table>

Link to:

➢ Appendix A: You could use Template 1 to design the evidence grid.
➢ Section 4.3: How do you negotiate an evidence plan?

The grid above could be used to design evidence plans that suit the particular circumstances of individual students. For example, students with access to relevant work may be able to provide third party reports of their performance.

Figure 7.2 shows how the two modules *Network Installation and Management* and *Complex Networks* are used to provide an efficient way of integrating the assessment of the three units. The simulated workplace project requires students to carry out a feasibility study and the analysis and design for an IT Support System for a fictitious mining company Australian Red Gold Inc.
Students undertake the project in two stages. In the first stage, students are required to design an IT Support System (single domain) for the yet to be established head office of Australian Red Gold Inc using a given brief. In the second stage, students are required to undertake a full feasibility, analysis and design investigation for an integrated IT Support System incorporating the new head office and five existing regional mining sites. Students are also required to build a pilot model (approximately 15% of the total design) to test the model design. In both stages students are required to respond to late changes to the brief specifications as a test of their ability to deal with unforeseen challenges.

**Figure 7.2 Integrated assessment of the three Units of Competency:**

*Develop system infrastructure design plan, Produce network/communication design and Install and manage complex networks*

<table>
<thead>
<tr>
<th>Module</th>
<th>Assessment Instruments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Network Installation and Management (60 hours)</td>
<td>Core technical laboratory exercises</td>
</tr>
<tr>
<td></td>
<td>Skill development and formative assessment (Individual)</td>
</tr>
<tr>
<td></td>
<td>Theory Test 1</td>
</tr>
<tr>
<td></td>
<td>Practical Test 1</td>
</tr>
<tr>
<td>Complex Networks (120 hours)</td>
<td>Build a pilot model of a given scenario</td>
</tr>
<tr>
<td></td>
<td>Theory Test 2</td>
</tr>
<tr>
<td></td>
<td>Practical Test 2</td>
</tr>
</tbody>
</table>

- **Work Project Stage 1**
  - Design of IT Network and Support System for the head office for Australian Red Gold Inc (ARGI)
  - Modification to brief exercise
    - (Small group exercise)

- **Work Project Stage 2**
  - Analysis, design and implementation of significant changes to ARGI IT Support System from single domain network (head office) to multiple domain network (head office plus five regional mine sites).
  - Modification to brief exercise
    - (Small group exercise)
7.2.3 Design brief for the simulated work project

Case study: The business venture

Australian Red Gold Inc (ARGI) is a new mining business venture. It proposes to set up a head office in a major capital to provide the management, coordination and administration of a proposed mining operation involving five regional mining sites: Walhalla (Vic); Bathurst (NSW); Roxby Downs (SA); Kalgoorlie (WA) and Normanton (Qld).

You have been invited to design the IT Network and Support System (ITSS) for the integrated management and administration of the new company. The project is to be implemented in two stages:
- Stage 1: the design of a new ITSS for the head office
- Stage 2: the design of a complex ITSS to integrate the new head office and the existing five regional mining site IT networks.

THE BRIEF

Stage 1: Head office

You are required to:
- interview an ARGI representative to establish the specifications for the head office ITSS
- determine if the proposed centralisation of management and administration in the head office is feasible with respect to IT support
- analyse and document the User Requirement
- develop a set of system requirements for a proposed ITSS that will meet the requirements of the company
- design the ITSS for the head office
- produce a report for ARGI that details the results of feasibility study, design analysis and investigation, and development
- present the final report to ARGI by 24 November (end Semester 2).

At this time ARGI has made no decision about the location, building or resources. It seeks the advice of the consultant on these issues. ARGI reserves the right to request minor changes to the network specification within the period of the contract.

Stage 2: Integration of head office ITSS with existing regional mining site networks

You are required to:
- interview an ARGI representative to clarify the company’s requirements for the integrated network and support system
- determine if the development and implementation of an enterprise–level management and administration ITSS is feasible
- analyse and document the User Requirement
- develop a set of system requirements for a proposed ITSS that will meet the requirements of the company
- design the ITSS for the enterprise
- produce a report for ARGI that details the results of feasibility study, design analysis and investigation, and development
- present the final report to ARGI by 15 June (end Semester 3).

You are provided with statements on the enterprise–level User Requirement for each of the regional locations of ARGI, the existing IT support equipment, and the existing data communication services of the locations. ARGI reserves the right to request minor changes to the network specification within the period of the contract.
7.2.4 Assessor checklist for the simulated work project

The RTO has developed assessment criteria based on the relevant units of competency to ensure that all projects are assessed reliably. These criteria have been developed from a careful consideration of the performance requirements. They can be put into a modified Template 7 as illustrated in Table 7.1.

Link to:

- Section 10.3: Preparing an Assessor Kit and Candidate Kit
- Appendix A: You could use Template 7 to design a checklist for a simulated work project.
Table 7.1: Assessor checklist for the simulated project

<table>
<thead>
<tr>
<th>Record of assessment of simulated workplace project</th>
<th>Template 7</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name of candidate</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Unit(s)</strong></td>
<td>In combination with other assessment instruments for ICAITAD044A, ICAITAD045A, ICAITI098A</td>
</tr>
<tr>
<td><strong>Registered Training Organisation or workplace</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Name of assessor</strong></td>
<td></td>
</tr>
</tbody>
</table>

Use the checklist below as a basis for judging whether the candidate's project and supporting evidence meets the required competency standard.

**Stage 1: Head Office – single network domain**

Feasibility report and executive summary prepared. Written report to include:
- an analysis of client current and future requirements undertaken and documented
- a minimum of two alternative scenarios presented addressing principal inputs/outputs; expected improvements/impacts; revenue/cost benefits; risks; physical requirements of each
- recommendation on preferred scenario
- details of scope and function of proposed system
- a plan describing project schedule, timeframe and cost constraints.

System infrastructure design plan developed and detailed. Documented design to include:
- architecture requirements
- specification and analysis of hardware and software
- system diagram plus supporting argument for proposed network design (model)
- analysis of model against technical specifications, industry standards, expected future organisational needs.

Late changes to design brief successfully integrated.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Stage 2: Integration of regional sites and Head Office – complex network domain**

Feasibility report and executive summary prepared. Written report to include:
- an analysis of client current and future requirements undertaken and documented
- a minimum of two alternative scenarios presented addressing principal inputs/outputs; expected improvements/impacts; revenue/cost benefits; risks; physical requirements of each
- recommendation on preferred scenario
- detail of scope and function of proposed system
- a plan describing project schedule, timeframe and cost constraints.

System infrastructure design plan developed and detailed. Documented design to include:
- architecture requirements
- specification and analysis of hardware and software
- system diagram plus supporting argument for proposed network design (model)
- analysis of model against technical specifications, industry standards and expected future organisational needs.

Late changes to design brief successfully integrated.

Pilot model constructed, tested and confirmed as meeting design specification.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Record of assessment of simulated workplace project (continued)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Did the project meet the required standard?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yes ☐</td>
<td></td>
<td></td>
</tr>
<tr>
<td>No ☐</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Signed by the assessor:</td>
<td>Date:</td>
<td></td>
</tr>
<tr>
<td>Feedback to candidate:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The following issues require clarification:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Additional evidence is required in the following areas:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Acknowledgement**

The authors are grateful to Roger Ellyard and Dave Wemyss for the development of this case study.
8. DESIGNING SIMULATIONS IN WORKPLACES AND INSTITUTIONS

The observation of real work involving high level competencies is not always a practical option. For example, it is difficult for assessors to directly observe candidates generating designs and ideas, analysing and solving problems, leading teams and developing long term plans. In other cases, the presence of assessors may be intrusive (such as in counselling). Other critical competencies, such as responding to unforeseen problems and emergencies, are even harder to assess because they are seldom used. Most candidates who work in high level roles are not closely supervised. Therefore, there is also a question of who can know enough about what they do in order to assess them.

For institutional RTOs, the observation of candidates performing real work is even more problematic since many of their students have no access to a workplace.

Despite the practical difficulties involved, there are some circumstances where it is highly desirable for assessors to observe key aspects of high level performance. To address this need, two case studies are provided that illustrate the design of effective simulations.

The first case study is workplace-based and involves assessing personnel who manage responses to major events that seldom occur, or where it is unsafe or too costly to conduct assessment in the real work environment (Section 8.1). It describes how to design and write a simulation for the Unit of Competency PUASES006A: Manage emergency operations, from the Public Safety Training Package. It should be noted that while emergency management in the mainstream public safety sector has been chosen as an example, most managers and team leaders may be called upon to manage serious and unforeseen emergencies. For example:

- a retail store manager may have to evacuate customers and staff in the event of a fire
- a supervisor in a warehouse may have to implement emergency procedures after a container of dangerous chemicals has been ruptured by a forklift.
Assessing competencies in higher qualifications

The use of simulations in high risk situations arises out of the reluctance of assessors to rely on other forms of past and present evidence (such as third party reports, interviews and workplace documents). The simulations are designed to predict the ability of candidates to apply critical skills in pressure situations and in a real workplace environment. Prior to assessing their overall performance, assessors should be satisfied that candidates already possess the skills and knowledge to perform the individual tasks involved.

The second case study involves Diploma students in an institutional setting who are required to demonstrate performance in the ‘real’ workplace (Section 8.2). A simulated work project is described in which the candidates must demonstrate the ability to design garments to meet the demands of a competitive marketplace.

8.1 Simulating emergency management

Effective emergency management does not simply rely on the application of technical expertise and well-defined operating procedures. It also requires candidates to demonstrate non-technical skills, such as efficient communication and decision making, sometimes under considerable pressure. Without adequate development of these non-technical skills, problems can arise during crisis management such as:

- poor appreciation of an emerging crisis
- inadequate situation analysis
- weak leadership
- faulty decision making
- blind adherence to procedures
- role ambiguity
- lack of explicit coordination and communication.

Assessment strategies must be focused towards confirming these skills as well as an all round capability to deal effectively with emergency situations. Emergency management requires professionals who are able to combine a range of technical, human and logistical skills to ensure appropriate responses before, during and after an emergency occurs.

A simulation exercise provides a controlled opportunity to observe an emergency management performance. It also enables assessors to confirm the ability of candidates to respond to unfamiliar and unforeseen contingencies and manage emergency responses without close supervision.
The skill of assessors is crucial to the success of conducting large scale simulations. The general difficulty of observing management roles together with the issue of subjectivity when assessing candidate responses to problems can lead to unreliability in assessment. One way to increase reliability is to employ subject matter experts to assist with the design and conduct of the exercise. Another way is to design tools that provide a consistent basis for professional judgement of competence.

8.1.1 What is a simulation?

Exercises, or simulations, fall into three categories.

- Hypotheticals – where a facilitator asks participants a series of ‘what if…?’ questions as a way of eliciting ideas or developing a novel solution to a problem.

- Table top exercises – where the participants work together to consider a problem and produce one solution (from a group of known solutions). While all the decision makers can be involved, the artificial format makes it difficult to represent what would happen in the real world.

- Simulated or ‘live’ exercises – where the participants respond to a scenario using the resources provided. These exercises can be highly sophisticated, as in the case of war fighting, and involve the deployment of personnel and equipment. They may also involve the development of sophisticated computer programs. These large scale exercises are prohibitively expensive for enterprises outside aviation and the defence, fire and police services. However, simulations can be successfully designed on a much more modest scale.

The following pages contain information on how to design a large scale exercise and relevant assessment tools to collect the evidence produced. A small scale exercise will involve exactly the same approach. The challenge for assessors in all simulations is to design and document a scenario that is realistic in terms of the activities and resources required. Once this has been achieved, the assessment process is little different to all others described in this guide.

8.1.2 Managing a simulated flood event

The following case study describes the assessment of senior State Emergency Service (SES) personnel during the management of an emergency operation.

The relevant Unit of Competency is PUASES006A: Manage emergency operations.
The unit applies to the following personnel:

<table>
<thead>
<tr>
<th>Emergency managers*</th>
<th>Broad duties</th>
</tr>
</thead>
</table>
| Operations Controller (OC) [Unit Controller, Deputy Controller or other senior SES member] | • Controls response to the event  
• Responsible for planning, intelligence and strategic decision making |
| Operations Centre Manager (OCM) [May be combined with OC for small scale events] | • Manages the Operations Centre  
• Responsible for the efficient running of the Centre and tactical management of the operation [routine decisions, coordinating activities and logistics, managing information, assisting OC to prepare operational orders] |

* Note that job titles may vary across jurisdictions

SES agencies throughout Australia are typically responsible for the combat of natural hazards such as floods and storms. They may also provide response teams for a range of other emergency activities, such as search and rescue exercises. SES agencies are highly decentralised with the establishment of units reflecting local government areas and the locations of greatest threat. It is common for the local Operations Controllers and all of their team members to be volunteers. The high incidence of volunteer members poses special problems for training, including issues relating to their motivation and availability.

The Unit of Competency PUASES006A covers the management of emergency operations, usually within a single agency command. The information within the unit provides valuable advice on relevant sources of evidence for assessment. This information has been extracted in the following table (Table 8.1).

**Link to:**
- Section 4.2: What information is in a unit of competency?
  This section unpacks a unit of competency in greater detail than shown in Table 8.1.
Table 8.1: Identifying sources of evidence for the unit PUASES006A

<table>
<thead>
<tr>
<th>PUASES006A</th>
<th>Manage emergency operations</th>
</tr>
</thead>
<tbody>
<tr>
<td>ELEMENT OF COMPETENCY</td>
<td>PERFORMANCE CRITERIA</td>
</tr>
<tr>
<td>1 Prepare for operations</td>
<td>1.1 Operational information is obtained and hazards are identified to permit accurate assessment of the problem</td>
</tr>
<tr>
<td></td>
<td>1.2 Operational plans are activated in accordance with local emergency management practices and procedures</td>
</tr>
<tr>
<td></td>
<td>1.3 Operations Centre is activated and confirmed as ready for use</td>
</tr>
<tr>
<td></td>
<td>1.4 Operations Centre’s staff recall system is activated.</td>
</tr>
</tbody>
</table>

Possible sources of evidence

It would be costly and impractical to directly observe candidates opening up an Operations Centre. Competence can only be confirmed over a period of time. Third party reports from managers (written reports, logs, etc) would be appropriate. Other evidence could be:

- questioning about roles, responsibilities, authority, information sources (flood plans) (1.1 – 1.4)
- response to scenarios to confirm knowledge of emergency management arrangements (1.1 – 1.4)
- development of action plans that outline preparations for storm and flood operations (1.1 – 1.4).

2 Manage an Operations Centre

| 2.1 Operations Centre tasks are allocated, staff rosters confirmed and briefings conducted in accordance with operational plans |
| 2.2 Internal and external liaison networks are activated and maintained to ensure effective communication |
| 2.3 Operations Centre staff work is supervised to ensure it meets relevant OHS and other regulatory requirements |
| 2.4 Physical and financial resources are managed in accordance with organisation’s policies and procedures. |

Possible sources of evidence

While assessor may observe a briefing, it is more likely that competence would be demonstrated over time and in a range of contexts. Sources of evidence could be:

- observations during a simulated emergency operation (2.1–2.4)
- workplace documents (rosters prepared to meet a given scenario that reflect scale of operation, work and childcare requirements of volunteers, shifts, skills required) (2.1)
- workplace documents (a real/simulated briefing using SMEAC convention) (2.1)
- workplace documents (fax stream list to agencies) (2.2)
- OHS audit using a checklist for assessing centre layout, lighting, furniture, staff rotation, etc (2.3)
- third party reports (team members, manager) concerning interpersonal skills, personnel and resource management during operations (2.3–2.4).

3 Manage operational information

| 3.1 Operations Centre staff are tasked to collect and collate operational information using standard operational procedures |
| 3.2 Information flow is managed in accordance with standard operating procedures |
| 3.3 Operational information is analysed to modify and update plans and prioritise tasks in accordance with operational plans and policies |
| 3.4 Regular and timely situation reports are raised and distributed in accordance with organisation standards |
| 3.5 Media liaison is managed to maximise public awareness and to ensure warnings are effectively promulgated |
| 3.6 Additional telephone lines are organised in accordance with standard operating procedures |
| 3.7 Radio and allied communications nets are established in accordance with standard operating procedures |
| 3.8 Message and information management systems are implemented and maintained to provide accurate operational records. |
### Possible sources of evidence

Candidates could provide workplace documents such as event files, Operations Centre records, shift logs or faxes as evidence. Other sources of evidence could be:

- observation during a simulated emergency operation (3.1–3.8)
- preparation of situational reports by candidates (3.4)
- questioning about communication equipment and protocols (3.1–3.8)
- explanations/interpretations of data in flood intelligence cards, flood plans (3.3)
- questioning about strategies adopted and decisions taken in previous operations (3.1–3.8)
- third party reports (manager, team leader, other agency personnel, media) about communication skills (3.1–3.4).

<table>
<thead>
<tr>
<th>4</th>
<th>Make operational decisions</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1</td>
<td>The extent of the operational area is identified promptly</td>
</tr>
<tr>
<td>4.2</td>
<td>Operational strategies are identified, assessed and implemented in accordance with local emergency management arrangements and SOPs</td>
</tr>
<tr>
<td>4.3</td>
<td>Hazards are identified and prioritised to ensure that the response is appropriate to the type and scale of the event</td>
</tr>
<tr>
<td>4.4</td>
<td>Response teams are rostered in accordance with organisational SOPs</td>
</tr>
<tr>
<td>4.5</td>
<td>Termination of the operation is accomplished in accordance with operational standards</td>
</tr>
</tbody>
</table>

### Possible sources of evidence

Observation of candidates during a simulated emergency will be more practical than relying solely on third party evidence from previous operations. Other evidence may be:

- questioning during simulated emergencies (4.1–4.3)
- third party reports from managers about strategies adopted and decisions taken in prior roles (4.1–4.3)
- workplace documents such as event files, Operations Centre records and shift logs (4.1–4.5).

<table>
<thead>
<tr>
<th>5</th>
<th>Provide leadership</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1</td>
<td>Operational goals are identified and communicated to operational staff</td>
</tr>
<tr>
<td>5.2</td>
<td>Team cohesion is developed and maintained</td>
</tr>
<tr>
<td>5.3</td>
<td>Conflict is dealt with promptly and appropriately</td>
</tr>
<tr>
<td>5.4</td>
<td>Leadership style is appropriate to the situation</td>
</tr>
<tr>
<td>5.5</td>
<td>Delegations and accountability processes are concise and clear</td>
</tr>
<tr>
<td>5.6</td>
<td>Relevant State or Territory EEO and OHS policies are implemented</td>
</tr>
</tbody>
</table>

### Possible sources of evidence

Evidence for this element will be accumulated over time via third party reports from managers and team members. Other evidence could be obtained from:

- questioning about standard operating procedures, regulations and delegations (5.5–5.6)
- observation during simulated emergency operations (5.1–5.6).

<table>
<thead>
<tr>
<th>6</th>
<th>Manage post-operation activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.1</td>
<td>Debriefing requirements are met in accordance with organisational standards</td>
</tr>
<tr>
<td>6.2</td>
<td>Signs and symptoms of operational stress are recognised and action initiated</td>
</tr>
<tr>
<td>6.3</td>
<td>Operational reports are prepared to organisational standards</td>
</tr>
<tr>
<td>6.4</td>
<td>Training and operational planning review requirements are met to enhance future operations</td>
</tr>
</tbody>
</table>

### Possible sources of evidence

Evidence for this element will be accumulated over time via third party reports from managers and team members. Other evidence could be obtained from:

- questioning about signs and symptoms of operational stress (6.2)
- observation of candidates conducting a debriefing after a real or simulated emergency operation (6.1)
- debrief reports based on personal logs, suggestions for improvements to procedures (6.1, 6.3–6.4).
Table 8.1 highlights the importance of simulated exercises in providing evidence of competence for this unit (particularly for Elements 2–5). This central role for simulations is then reflected in the evidence plan (Table 8.2) for assessing this unit of competency.

### Table 8.2: Evidence plan for unit PUASES006A

<table>
<thead>
<tr>
<th>Evidence plan</th>
<th>Template 2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name of candidate</strong></td>
<td>Graham Price</td>
</tr>
<tr>
<td><strong>Unit(s)</strong></td>
<td>PUASES006A: Manage emergency operations</td>
</tr>
<tr>
<td><strong>Registered Training Organisation</strong></td>
<td>SES</td>
</tr>
<tr>
<td><strong>Sources of evidence</strong></td>
<td><strong>Agreed evidence</strong></td>
</tr>
<tr>
<td>A1 Practical Demonstration</td>
<td>Simulation of critical event</td>
</tr>
<tr>
<td>A2 Third Party Reports</td>
<td>Unit Controller (Pam Smeath), Division Controller (Frank Amery), Council Emergency Coordinator (Peter Phillips)</td>
</tr>
<tr>
<td>A3 Questioning/Interview</td>
<td>Oral questions, based on underpinning knowledge and issues from unpacking the unit of competency</td>
</tr>
<tr>
<td>B1 Personal Statement/Resume</td>
<td>To be provided by candidate</td>
</tr>
<tr>
<td>B2 Workplace Documents (verified)</td>
<td>Recent roster, shift log, briefing report (SMEAC), fax stream list, event file</td>
</tr>
<tr>
<td>B3 Training Records</td>
<td>Confirm completion of the Unit of Competency 'Work in operations centre'</td>
</tr>
<tr>
<td>B4 Case Studies</td>
<td>Candidate to work with Divisional Controller to prepare and deliver high level briefing</td>
</tr>
<tr>
<td>B5 Projects</td>
<td>N/A</td>
</tr>
<tr>
<td>B6 Journal/Diary</td>
<td>Personal log from recent exercise</td>
</tr>
<tr>
<td>B7 Testimonials/Awards</td>
<td>Provide copy of testimonial from local Police Sergeant</td>
</tr>
</tbody>
</table>

**Skill development activities**
- See ‘Case Studies’ for coaching program (Element 2)
- Two–day workshop followed by six months of practical experience with local unit
- Simulation – Retnuh Valley flood.

**Arrangements**
- Visit Divisional Controller’s office 23 May to participate in briefing of Mayor on SES readiness arrangements
- Attend two–day workshop on weekend of 14/15 June
- Attend Retnuh simulation scheduled for weekend of 11/12 December.

**Agreement**
- Evidence to be submitted by:
- Interview date:
- I agree to the evidence plan:
  - Candidate: Graham Price (name) (signature)
  - Supervisor: Frank Amery (name) (signature)
  - Assessor: Ric O’Shea (name) (signature)
8.1.3 Negotiating a learning and assessment strategy within the SES

The training and assessment of SES personnel is carefully integrated. The high cost of emergency services simulations and the possible negative impact of failure on volunteers ensures that the SES only select candidates for emergency management situations who are ready for assessment and have the pre-requisite skills. Candidates are given a self-assessment checklist to help them assess their readiness. They also require satisfactory reports from their supervisors to be considered for the program.

Link to:

- Section 10.3: Preparing an Assessor Kit and Candidate Kit

The learning and assessment strategy involves three major stages:

- a workshop to support learning and assessment of competence of specific underlying tasks within the emergency management role
- a period of work experience to provide ongoing practice in the specific tasks and their integration (during this period, readiness for final assessment is determined)
- a final assessment involving a full-scale simulation of an emergency event (the simulation is also used for recognition of competence of experienced personnel and confirming ongoing competence of current practitioners).

The workshop involves a series of in-class activities that deal with specific tasks involved with setting up an Operations Centre and managing the response to a storm emergency. Candidates are provided with a learning guide prior to the workshop. In preparation for the workshop, they work through activities that require them to examine the operating procedures for their unit. During the two days they:

- prepare an organisational chart and a diagram that shows links with other relevant agencies and organisations
- brainstorm an action plan for establishing an Operations Centre using standard operating procedures and manuals
- simulate a ‘heads up’ exercise to commence an operation
- develop a staffing roster in response to a given emergency scenario
• conduct a briefing, ‘hot’ debriefs at the end of shifts or activities and operations debriefings
• prepare situation reports, flood bulletins, shift logs and/or event files
• critique an Operations Centre layout
• participate in a ‘cluedo’ activity to convert information into intelligence
• respond to hypothetical communications problems
• respond to questions about procedures, equipment, regulations, scenarios and reasons for decisions.

After the workshop, candidates consolidate their knowledge and skills over several months by participating in a minimum number of exercises and/or events.

The final assessment requires the management of a simulated flood emergency to enable real-time urgency to be built into the scenario. Six candidates are assessed by rotation through various roles during the one event, with the opportunity for an OCM and OC to jointly manage one of three two-hour shifts during the emergency.

There is a debrief at the conclusion of each simulation exercise. A video record and participant evaluations are used to improve successive exercises.

8.1.4 Writing a simulation

This section includes general instructions for writing a simulation, using a flood emergency response example for illustration.

A typical simulation has five elements.

1. Creating a scenario. This is called the general idea. This should set the scope and context for the exercise and outline the types of resources that are available to the team or individual.

2. Designing additional information that participants must react to and complicated problems that they need to solve. These are called the special ideas. They must be realistic, but not ‘over the top’. They should also have a logical sequence, mirror the likely occurrence of various unforeseen problems and be consistent with the overall time constraints of the exercise.

3. Providing instructions for the exercise manager(s). Their role is to:
   - rotate candidates through OC and OCM roles at simulated change of shifts
   - monitor the decisions that candidates make as the exercise unfolds
Assessing competencies in higher qualifications

- second guess consequences for the actions and decisions that candidates take and modify the exercise to suit
- decide whether to intervene to keep the exercise safe
- decide how much pressure candidates can take and whether to push them beyond their comfort zone
- decide whether to rescue candidates (as in the real world) to prevent catastrophic failure and to keep the exercise flowing
- decide when to introduce special ideas to increase complexity and pressure
- role play interactions with the candidate(s) to draw out their reasoning behind key decisions and actions.

Decisions will also need to be made on the duration of the exercise, the location, the number of candidates and whether they will rotate through various roles. The manager must know what resources are available. For example, will all information be provided in print or can the exercise manager contact the group via the phone, fax or email to increase realism? The information could also be assembled in a kit.

4. Providing the assessors with tools that they can use to record the performance of candidates during the exercise. Depending on the budget, there may be more than one assessor if there are six or more candidates. In the SES case, a District Controller or the State Training Manager will be used as the second assessor to enhance quality assurance. Assessors could be allowed to ask questions during the simulation, although questioning may distract the candidates. In any event, there should be a ‘post mortem’ of the exercise and questions relating to the process can be left to this debrief.

5. Providing the participants with the information they need.
8.1.5 Case study: The flooding of the Retnuh Valley

General idea

The Retnuh River valley is prone to flooding. If the water level rises more than 11 metres then one large and several small towns will be cut off. You have maps of the area that show the locations of a major town, a district hospital and high school, three primary schools, a retirement home, an airport, fire brigade and a defence base. The council has one major depot within the area. There are 12,000 people living in the valley. The main population centre has a ring levee. It is broken by roads in four places and by the railway track in two places. These gaps will need to be closed in the event of a major flood above 11 metres.

Detailed information about the towns and their populations is provided in the exercise manual. You have also been provided with the relevant flood plans, flood intelligence cards, standard operating procedures, Controllers Handbook, and a manual dealing with Emergency Management Arrangements.

Steady rain is falling and the Retnuh River is rising. The Bureau of Meteorology has issued a minor flood warning. The gauge reading at Girella Bridge at 8.00 am is 3.8 metres. The Division Controller has issued a media release that includes advice to farmers and equipment operators about moving stock and plant to higher ground.

The following special ideas will be introduced during the exercise.

Special idea 1

Twelve hours have elapsed … the Bureau has issued a second bulletin that includes a moderate flood warning.

- Establish the flood Operations Centre. Assign tasks. Allocate roles. Set up flood boards. Develop a roster. Activate gauge readers. Do you advise other agencies and organisations?
- Determine the likely effects in the valley using flood intelligence cards, gauge heights and flood plans.
- The Local Emergency Management Officer attached to the Council is on the telephone (role play). Discuss what the unit needs and establish what the Council can offer. Determine mitigation measures, personnel and resources required.
- Estimate lead times for necessary actions (evacuations, closing levee, involvement of other services).

Special idea 2

A member of the Operations Centre staff does not trust the Bureau of Meteorology bulletin. The staff member is in a critical role.

- Do you counsel the member or assign them to other duties?
Special idea 3

The District Controller telephones (role play) and provides five readings from up-stream gauges that indicate the levels are approaching 6 metres. There are three reports from the public about road closures. There are six calls for help. Not all the information is congruent or equally reliable.

- Analyse the stream gauge data and take appropriate actions.
- Deal with each request for help.

Special idea 4

One of the volunteers reports that her boss wants her to return to work immediately. Your best flood plotter needs childcare backup tomorrow. These developments have immediate roster implications.

- Do you try and negotiate with her boss?
- What do you do about childcare?

Special idea 5

One of your centre staff reports that a council supervisor refuses to call in staff to provide sand for sandbags, claiming a lack of overtime funds.

- What are your powers? Are you going to pay for the overtime? Which section of the Act applies?
- How are your centre staff holding up? Do you need to prepare a new roster?

Special idea 6

A volunteer telephones (role play) the Operations Centre and says that a major evacuation route is blocked by sightseers. The local police constables are on the scene but claim that they have no power to move the sightseers on.

- What are your powers? How should you react?

Special idea 7

A major flood warning is issued by the Bureau. The river level at Girella Bridge is now approaching 11 metres.

- Should this trigger a major evacuation response? What is your response?
- What involvement from the other major services is required?
- Do you need to advise the Division Controller, the Local Emergency Management Coordinator, others?
- Is a media release required?
- Is a door knock required? Where will the forward control points and evacuation centres be?
Special idea 8

The major town is now cut off. The Operations Centre receives a fax from the hotel to say that it has run out of beer and a telephone call to say that a resident is seriously ill and requires urgent medication. The school children will not be able to get to school for a week. Your resources are stretched and some priorities need to be set.

- How will you re-supply the town? Who pays for the supplies?
- Do you need a vetting committee? What would be the appropriate membership?

Special idea 9

The water has peaked. Announce an ‘All Clear’.

- What steps do you take now?
- Develop a re-supply plan and roster a skeleton staff to manage the re-supply.

Special idea 10

Pool all your ideas from running the three shifts and prepare a debrief for the District Controller. Choose one person to conduct the debriefing.
8.1.6  Preparing assessment tools for the simulation

The design of an effective simulation should include preparation of relevant assessment tools to record the evidence that is gathered during the exercise.

As the simulation is intended to be a practical demonstration of a management task, Template 3 has been adapted to provide a checklist for assessors to use as they observe the simulation (Table 8.3).
Table 8.3: Assessor checklist for the observation of SES simulation

<table>
<thead>
<tr>
<th>Record of assessment by observation/demonstration</th>
<th>Template 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of candidate</td>
<td>Graham Price</td>
</tr>
<tr>
<td>Unit(s)</td>
<td>PUASES006A: Manage Emergency Operations</td>
</tr>
<tr>
<td>Registered Training Organisation or workplace</td>
<td>SES</td>
</tr>
<tr>
<td>Name of assessor/observer</td>
<td>Ric O'Shea</td>
</tr>
</tbody>
</table>

Observation of: A simulation of management of flood emergency in fictional Retnuh River. Assessment of six OC/OCMs rotating through various roles during one-day exercise

During the simulation did the candidate:

- plan actions and resource requirements by appreciating topography, assessing likely conditions and allowing appropriate lead time? ☐ ☐ ☐ ☐
- make informed decisions despite lack of adequate time and information? ☐ ☐ ☐ ☐
- implement decisions and assess outcomes? ☐ ☐ ☐ ☐
- keep options open when tackling problems? ☐ ☐ ☐ ☐
- listen actively? ☐ ☐ ☐ ☐
- remain focused, take considered action and avoid being sidetracked? ☐ ☐ ☐ ☐
- give and receive constructive feedback? ☐ ☐ ☐ ☐
- give concise briefings and directions that are readily understood? ☐ ☐ ☐ ☐
- plan flexibly and prepare to modify plans as necessary? ☐ ☐ ☐ ☐
- recognise own shortcomings and ask for help at appropriate times? ☐ ☐ ☐ ☐
- identify strengths of team members and match tasks with individuals? ☐ ☐ ☐ ☐
- maintain confidence of team members through honest and open communication and through being firm and fair? ☐ ☐ ☐ ☐
- understand the roles and functions of team members and have empathy with other people's situations and pressures? ☐ ☐ ☐ ☐
- prioritise tasks, take control of the situation, get the obvious things done before tackling the difficult challenges? ☐ ☐ ☐ ☐
- make the time to support individuals with a minimum of fuss, recognise normal and abnormal behaviour of team members? ☐ ☐ ☐ ☐
- maintain credibility with team through applying knowledge of emergency management effectively? ☐ ☐ ☐ ☐
- avoid taking personal offence during negotiations and discussions? ☐ ☐ ☐ ☐
- analyse own actions, learn from mistakes, strive for improved response? ☐ ☐ ☐ ☐

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

Signed by the assessor/observer: _____________________________ Date: _____________________________

Feedback to candidate:

----------------------------------------------------------------------------------------------------------------------------------
----------------------------------------------------------------------------------------------------------------------------------
----------------------------------------------------------------------------------------------------------------------------------
The debriefing stage of the simulation enables assessors to confirm the candidates' knowledge of key issues and processes and to seek explanation for their decision making and management style. This stage requires careful planning in order to analyse the thought processes of each candidate. Template 4 can be adopted to record the main areas of questioning during the interview. For example, the following questions cover four areas:

1. **Problem solving.** A series of probing questions could be asked about problem solving. For example, did the candidate:
   - define the problem
   - consider factors such as environment (day, night, temperature), people, resources, cost, credibility of information, reliability of information
   - make logical deductions
   - develop available options, ‘what ifs’, fall back positions
   - review options and make a decision
   - run with the decision, gather feedback and adapt plan as required.

2. **Communications.** Questions could be as follows:
   - What are the options and channels for information transfer? (email, fax, pager, telephone, radio)
   - What are the first signs of congestion? (no time between calls) How can you respond? (more call takers, more lines, silent line)

3. **Rosters and centre management.** Questions could be as follows:
   - What do you consider when drawing up rosters and running an Operations Centre for a one-week event? (numbers of shifts, volunteers, unnecessary calls, work commitments, childcare, burn-out, stress, skill development, access to food, hygiene, noise, lighting, ventilation, arranging work-spaces, public demand for information, expanding response required, delegation, additional support from other agencies, matching roles with suitable people).
   - How do you deal with the ‘there's water in the river’ scenario, where volunteers and the public converge on the Operations Centre and want to help?

4. **Ethics, values and attitudes.** Questions could be as follows:
   - How do you deal with competing demands for evacuations or rescue?
   - How do you deal with belligerent members of the public?

**Link to:**
- Section 5.2: How do you assess underpinning knowledge?
- Section 6.1.2: Using structured interviews to assess attributes
- Appendix A: You could use Template 4 to design questions to check candidate knowledge and aspects of their performance during the simulation.
Additional tools will be needed during the overall assessment of this unit of competency. While the full range of tools has not been completed for unit PUASES006A, it could be developed using the blank templates in Appendix A, using:

- Template 2 for negotiating an evidence plan with each candidate (see illustration in Section 4.3)
- Template 5 for gathering third party evidence reports (Section 5.3)
- Template 7 for recording the assessment outcome (Section 5.5).

Acknowledgement

The authors are grateful to Rick Stone and his SES colleagues for assisting with the development of this simulation.

8.2 Simulating on-the-job learning and assessment for an accredited Diploma of Applied Arts in Fashion

Many training programs rely heavily on the assessment of candidates performing simulated work tasks. This is because issues of access and cost make it impractical to assess the performance of real work, particularly where training occurs in institutional settings. However, carefully constructed simulations that mirror real work can ensure the validity and status of the off-the-job assessment. The challenge for assessors is to ensure that the level of acceptance of assessment decisions made on this basis is on a par with those generated during assessment of real work.

The following case study details how a simulation approach is used in an accredited Diploma of Applied Arts in Fashion. In this case, the credibility of the assessment is enhanced by drawing industry experts into the learning environment to assist with assessing student performance.
The design of valid, fair and cost-effective assessment presents a special challenge in the fashion industry as there is potential for a wide diversity of views when assessing such a complex performance. The assessment process was designed to satisfy two major considerations:

- the comprehensive nature of the preparation of student designers for the workplace
- the subjectivity in the assessment of design skills, since judgements about what is innovative and imaginative can be easily swayed by the personal views of the judges.

The solution was to set up an assessment system which relies on a partnership with industry designers. A panel or jury marking system was established where people from industry worked alongside the teaching staff. It was found that one of the immediate advantages of this approach was that the external panel members naturally focused more on the project outcomes rather than what was known about the student. Individual judgements are shared and discussed openly. Assessment decisions are therefore more transparent and concerns about potential subjectivity are minimised.

Students are not thrown into this system without careful preparation or consultation. During early coursework, assessment is conducted internally with a gradual transition to the use of external industry assessors. Students use checklists to self-assess their technical competence. This is confirmed independently by their teacher. The more complex components of design competence are then assessed via a formal presentation of the portfolio to the panel and through interactive discussion.
Students have the opportunity to nominate panel members. Their own class teachers (or studio leaders), although not directly involved with the assessment, play a central role in explaining the assessment process and the assessment criteria to them. The Panel Coordinator is also distanced from the process since that person does not teach the students involved nor contribute to the determination of the outcome. Instead, the Panel Coordinator role is to facilitate the panel deliberations and consensus decision making, and to record, collate and report the final assessment results.

Experience of this form of simulation suggests that the critical elements of successful implementation are:

- a willingness of staff to let go of the exclusive professional judgement of their students’ performance and to share this with others
- commitment of sufficient time to develop a shared understanding of what student performance should look like
- documentation of the process so that all participants understand their roles and responsibilities
- development of procedures and policy to support the process
- evolution of the role of staff from teacher to facilitator in order to share the role of preparing students for project/problem based learning and assessment
- extension of the informal relationships that exist between individual staff and industry designers to a more formal working relationship across a delivery program
- commitment to ongoing evaluation and continual improvement.
9. CUSTOMISING COMPETENCY STANDARDS

Competency based training and assessment focuses on the development of competencies required for effective performance in employment. Most competency standards are designed to have a broad relevance to employment across an entire industry. The objective is to have workers who are capable of applying their skills in new situations and work organisations, rather than simply confirming their competence to perform current tasks.

Competency standards are best thought of as a picture of performance that is built up from many snapshots of businesses across the industry. For this reason, the range statement for each unit of competency allows for a wide range of contexts and ways of working. Similarly, the evidence guide gives flexibility in the way assessment of competence may be carried out. The wording of parts of the competency standards should be translated to suit a particular workplace or off-the-job provider.

The challenge for trainers and assessors in enterprises and institutions is to design delivery and assessment strategies that are relevant to their context while protecting the integrity of the competency standards and qualifications. This task is often referred to as ‘customisation’.

Customisation will normally involve four steps.

- Step 1 – refer to the customisation guidelines in the relevant Training Package.
- Step 2 – align the unit(s) of competency with the range of work and levels of performance expected within the particular workplace to identify a relevant job profile.
- Step 3 – identify the kinds of evidence that candidates may be able to provide in their job roles that will satisfy the requirements of the standard.
- Step 4 – prepare evidence plans for the candidates.
Link to:

- Section 1: Understanding high level competencies
  You should look at the competency profiles developed for laboratory assistants and supervisors (Section 1.1.2). These illustrate Step 2.

### 9.1 Customising a unit of competency to suit an enterprise

To illustrate how to customise a unit of competency, a unit has been selected at AQF 4 from the Frontline Management Competency Standards. This set of standards has been selected because:

- it is ‘cross industry’ and therefore not specific to a particular industry or occupation; the units require translation into an industry context before they can be related to a particular workplace or employment context
- Frontline Management Units are incorporated in high level qualifications in many Training Packages.

The unit chosen for customisation is BSXFMI403A: Establish and manage efficient workplace relationships.

To customise this unit of competency to suit particular enterprises, it is important to first decide how this unit (at AQF 4) aligns with the levels of performance expected of different management classifications in the enterprise. Once job profiles are identified with the levels of performance expected, it will be possible to identify the kinds of evidence that managers may be able to provide as part of their normal work.*

---

* Each of the eleven units in the Frontline Management Competency Standards has identical elements and performance criteria for the AQF levels 3, 4 and 5. The differences in performance expected of candidates operating at different levels are described in the evidence guide and range statement for each unit.
The range statement in this unit will provide general guidance. According to the chosen competency standards, frontline managers operating at AQF 4 level are normally engaged in roles in which they:

- are autonomous, working with general guidance
- may supervise and organise the work of others and guide teams
- apply some in-depth knowledge and skills to a broad range of tasks and roles using established guidelines and advice
- exercise some discretion in the planning and allocation of resources for themselves and others and the use of services and processes to meet work objectives
- solve problems requiring some complexity in the choice of possible actions and are able to cope with non-routine tasks
- operate in a relatively diverse workplace environment.

To illustrate how to customise the Unit of Competency BSXFMI403A, following are selected examples of frontline managers from enterprises in two sectors. Examples are:

- a large construction materials company in the civil construction sector
- enterprises within the retail industry that vary according to size and ownership arrangements.

**Step 1: Customising the unit of competency in accordance with the requirements of the Training Package**

Customisation of competency standards is actively encouraged to enable the units of competency to be used in a wide variety of contexts. In general, it is possible to:

- replace general directions, generic equipment/processes/procedures in performance criteria with enterprise specific ones
- alter the wording of the range statement and evidence guides.

In either case, the RTO must ensure the integrity of the competency standards.
Step 2: Customising the unit of competency according to the range of work and level of performance

The Frontline Management Competency Standards contain generalised statements about the range of work that managers perform and the level of performance expected of them. These statements will need to be translated into job roles and tasks that are relevant to a specific enterprise.

Table 9.1 shows examples of frontline managers at AQF 4 and their management roles in the two industry sectors.

Table 9.1: AQF level 4 management roles in the construction and retail industries

<table>
<thead>
<tr>
<th>Enterprise</th>
<th>Titles for managers</th>
<th>Management tasks</th>
</tr>
</thead>
</table>
| Large construction materials company | Plant Manager, Area Supervisor, Project Supervisor, Laboratory Supervisor, Quality Supervisor, Accounting Manager, Regional Sales Manager, Credit Manager | • manage one large plant or two/three small plants  
• manage a large project or many projects within one area  
• manage a support function |
| Small retail shop               | Manager (owner/operator)                     | • manage business, possibly in conjunction with accountant, banker, solicitor  
• may manage daily operations |
| Chain of retail stores          | Store Manager                                | • manage facility, merchandising, stock control, store security and sales  
• liaise with suppliers, creditors and debtors  
• manage employee relations, training, work schedules  
• develop strategic and operational plans  
• manage financial resources |
| Shopping centre operation       | Operations Manager                           | • manage functions such as finances, property, marketing and retail operations  
• develop own operational budget and business objectives  
• liaise with contractors, leaseholders and suppliers  
• report performance. |
Step 3: Identifying evidence relevant to the frontline management roles

The next step is to identify the kinds of evidence of competence that would be appropriate to the job roles and tasks of the frontline managers in the enterprise. A good place to start is to collect examples of relevant job descriptions and duty statements. Talk to people who are performing the job roles and to their supervisors. Ask them questions like:

- What do the performance criteria mean in terms of your workplace?
- What does the range statement mean in the context of your workplace?

Analysing the relevant unit(s) in detail should assist in developing a table similar to the one presented in Table 9.2.
### Table 9.2: Illustration of the range of evidence available in different workplaces for the unit BSXFMI403A

<table>
<thead>
<tr>
<th>ELEMENT</th>
<th>EVIDENCE OF COMPETENCY IN A RETAIL ORGANISATION</th>
<th>EVIDENCE OF COMPETENCY IN A CIVIL CONSTRUCTION ORGANISATION</th>
</tr>
</thead>
</table>
| 3.1 Gather, convey and receive information and ideas | The candidate could provide evidence by:  
- preparing staffing rosters, daily sales and productivity returns  
- preparing stock turnover reports  
- preparing one page summaries of product information (features, benefits, etc)  
- explaining product information and company procedures to staff making allowance for common language barriers | The candidate could provide evidence by:  
- preparing a task plan with timeframes, resources and costs that will achieve business objectives  
- explaining information clearly to minimise language barriers  
- providing team leader briefings and regular communication between management and crew leaders  
- preparing job reports, worksheets, using company proformas |
| 3.2 Develop trust and confidence |  
- monitoring sales targets and customer service and providing effective feedback to sales team  
- implementing an incentive scheme to achieve sales targets  
- maximising sales staff performance through effective scheduling, cooperation and team work  
- providing a consistent high standard of customer service (eg arranging special orders, transfer of goods between stores in the same chain, ‘going the extra yard’)  
- explaining company standards and procedures relating to customer service, sales, commissions, conditions of employment |  
- explaining the company’s values, social and ethical standards, customer service standards, environmental protection requirements, business targets  
- managing the information flows between the construction teams, area managers, customers, company and private drivers, state and local authorities, contractors and members of the public  
- keeping company management and crew members informed of progress and problems  
- respecting confidential information  
- using company networks to ensure that teams achieve allocated tasks with the resources provided |
| 3.3 Build and maintain networks and relationships |  
- working with other store managers within the chain to:  
  - transfer stock easily between branches for customers  
  - refer sales, offer joint promotions  
  - conducting regular staff meetings and briefings |  
- using team leader meetings to communicate company objectives and address variations to plans  
- preparing regular memos to team leaders to provide information and acknowledge achievements  
- convening regular briefings for local government and other large clients |
| 3.4 Manage difficulties to achieve positive outcomes |  
- resolving workplace difficulties by counselling staff who:  
  - are persistently late  
  - do not share work  
  - have poor appearance  
  - generate friction through undue competition for sales  
  - do not deal with difficult customers effectively  
  - applying principles of conflict resolution  
  - handling complaints from the public. |  
- resolving workplace difficulties by counselling staff who:  
  - fail to follow OHS procedures or meet environmental requirements  
  - provide poor customer service  
  - harass other employees (eg initiation of new crew members)  
  - applying company procedures for handling grievances or complaints and counselling employees  
  - investigating breaches of the company’s code of behaviour. |
Step 4: Designing an evidence plan for the candidate

The next task is to design an evidence plan to show how the sources of evidence identified in Table 9.2 could be collected for a particular candidate. To illustrate the process, an evidence plan has been prepared for a candidate in a civil construction company (Table 9.3).

Link to:

- Section 5: Developing assessment tools. This section provides a similar example for Laboratory Supervisors.
- Appendix A: The templates will provide you with a means of recording and evaluating the evidence identified in the evidence plan.
Table 9.3: Evidence plan for unit BSXFMI403A for a candidate in the civil construction industry

<table>
<thead>
<tr>
<th>Evidence plan</th>
<th>Template 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of candidate</td>
<td>Philip Nixon</td>
</tr>
<tr>
<td>Unit(s)</td>
<td>BSXFMI403A: Establish and manage effective workplace relationships</td>
</tr>
<tr>
<td>Registered Training Organisation</td>
<td>SERT</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Sources of evidence</th>
<th>Agreed evidence</th>
<th>Received</th>
</tr>
</thead>
<tbody>
<tr>
<td>A1 Practical Demonstration</td>
<td>Observe the team leader conducting a briefing on a major contract. Observe meeting with team leaders to discuss reports</td>
<td>☐</td>
</tr>
<tr>
<td>A2 Third Party Reports</td>
<td>Reports from Area Manager (Steve Smith), Council Engineer (Phil Rogers), Quarry Manager (Peter Percival) and Transport Contractor (XR Haulage)</td>
<td>☐</td>
</tr>
<tr>
<td>A3 Questioning/Interview</td>
<td>Prepare oral questions for interview of candidate, covering company values/standards, EPA rules, company plans/budgets, client relations, responsibilities, problem solving processes, code of behaviour</td>
<td>☐</td>
</tr>
<tr>
<td>B1 Personal Statement/Resume</td>
<td>Needs updating to reflect recent management posting within Head Office – bring to final interview</td>
<td>☐</td>
</tr>
<tr>
<td>B2 Workplace Documents (verified)</td>
<td>Task plan, job reports, worksheets, team leader memos, disciplinary report</td>
<td>☐</td>
</tr>
<tr>
<td>B3 Training Records</td>
<td>Provide copy of certificate of completion received at ‘Report Writing’ workshop</td>
<td>☐</td>
</tr>
<tr>
<td>B4 Case Studies</td>
<td>Not applicable</td>
<td>☐</td>
</tr>
<tr>
<td>B5 Projects</td>
<td>Manage a project to address issues impacting on staff morale and provide report to Quality Committee</td>
<td>☐</td>
</tr>
<tr>
<td>B6 Journal/Diary</td>
<td>Not applicable</td>
<td>☐</td>
</tr>
<tr>
<td>B7 Testimonials/Awards</td>
<td>Copy of Civil Engineering Association Award for customer relations</td>
<td>☐</td>
</tr>
</tbody>
</table>

Skill development activities
- see ‘Projects’ – to involve wide consultation within the project teams.

Arrangements
- team briefing on new contract – date to be notified to assessor
- team leader meeting to discuss morale issues on 28 April and to be completed in time for Quality Committee meeting on 30 June
- next meeting with candidate on 16 July to review evidence

Agreement
- Evidence to be submitted by:
- Interview date:
- I agree to the evidence plan:
  - Candidate | Philip Nixon | (name) | (signature)
  - Supervisor | Steve Smith | (name) | (signature)
  - Assessor | Fiona Galbraith | (name) | (signature)
PART 3: PUTTING IT ALL TOGETHER – ASSESSING WHOLE JOB ROLES

Overview

So far, the guide has mainly focused on the challenges faced by assessors when assessing single, high level units of competency.

This part of the guide outlines how to integrate the assessment of a group of related units of competency. This approach acknowledges the reality that workers use more than one unit of competency when undertaking whole tasks or jobs.

Designing assessment for several units of competency is a complex and time-consuming process. An example is included which shows how one RTO has prepared detailed checklists and reporting proformas to assess managers in the aquaculture sector of the seafood industry. The RTO also produced an Assessor Kit and Candidate Kit to support the key participants in the process and to ensure reliable and consistent assessment outcomes.
10. PUTTING IT ALL TOGETHER – ASSESSING WHOLE JOB ROLES

10.1 Understanding the complexity of integrated assessments

Up until now, this guide has mainly focused on the challenges faced by assessors dealing with single units of competency.

However, workers generally use more than one competence at a time when performing a particular role or completing a task. Therefore, when the performance of candidates is assessed at a ‘whole of job or task’ level, outcomes that are realistic and meaningful are much more likely to be achieved. The overall time and cost of assessment will probably be reduced as well.

This so-called ‘holistic’ assessment approach tries to integrate the assessment of related units (or elements) of competency by:

- identifying common circumstances or overlap between units and elements
- combining knowledge, understanding, problem solving, technical skills, attitudes and ethics into single assessment tasks
- basing assessment on actual practice, relevant workplace tasks or realistic simulations.

While this approach adds realism to the assessment process and outcomes, it inevitably increases the complexity and challenges facing assessors. Multiple units will:

- make a wider range of possible evidence sources available
- require assessors to design more complex assessment tools
- require assessors to contact a greater number of third parties to obtain or verify evidence
- require assessors to provide more support to candidates
- require assessors to allow candidates more time to collect or generate evidence as part of their normal work cycles.
Because of this added complexity, there is a greater risk of problems arising during the assessment process. There are also challenges for RTOs as they seek to ensure assessments are valid, fair, reliable and cost-effective across a range of assessors and workplaces.

This part of the guide includes a case study to illustrate how these challenges can be overcome. The context of the case study is the assessment of four business management units within the aquaculture stream of the Seafood Industry Training Package. An Assessor Kit and Candidate Kit have been designed to support each party through the process.

Please note that these Kits are only examples. You should customise them to suit your context.

The **Assessor Kit:**

- describes the assessor's part in the assessment process
- shows how to unpack the units of competency involved, identify the evidence requirements and design an evidence plan
- provides checklists to evaluate workplace projects and other documentation submitted by candidates against the performance criteria
- provides templates for the collection of evidence from third parties
- identifies questions that can be used in formal interviews with candidates to confirm understanding
- provides a template for recording the assessment outcome.

The **Candidate Kit:**

- describes the candidate's part in the assessment process
- provides advice on collecting evidence and determining readiness for assessment
- includes a case study of a successful candidate
- provides an evidence plan and forms for the collection of evidence, together with assessor checklists that clearly indicate the performance requirements.

In both the Assessor Kit and Candidate Kit there are a large number of templates and detailed worked examples based on an actual case study in the aquaculture sector. This level of detail has been deliberately included to show that the integrated assessment of a group of high level competencies is a complex and time-consuming process.
There are no short cuts to achieving a quality outcome that ensures a high level of credibility within the industry. It is particularly important to carefully prepare checklists and reporting pro formas that capture the essence of the task management and contingency management roles that underpin high level competence. It should also be noted that the full process of researching the competency standards and negotiating evidence plans with the candidates and workplace managers is not outlined in this section of the guide.

Link to:
- Section 4: Developing the evidence requirements
- Section 5: Developing assessment tools

### 10.2 Assessing business management units within the Seafood Industry Training Package

#### 10.2.1 The context

The seafood industry poses special challenges to providers of vocational education and training programs. Employment is seasonal and mainly distributed among small coastal ports. There is an uneven commitment to training across the industry because of the mobility of the workforce, lack of industrial awards and isolation from the major cities.

However, with the increasing trend away from wild catch fishing to land or coastal-based aquaculture and the availability of the new Training Package, the demand for skill development is increasing.

The Diploma of the Seafood Industry (Aquaculture) is relevant to people working as operations managers of aquaculture farms or sites. The units of competency listed for the Diploma are grouped into seafood industry core units, aquaculture core units and electives. They cover aspects of:

- husbandry and production, product quality
- farm operations and assets
- harvesting, post harvesting and marketing
- occupational health and safety and environmentally sustainable development
- business management.
10.2.2 The challenge

One RTO is gearing up to meet this demand for training and assessment. Most of their clients are already experienced farmers who are keen to improve aspects of their business. In general, the clients have little experience of vocational education and training. They are attracted by the possibility of self-paced learning materials, intensive workshops and field days. They like the idea of providing evidence of their current competence and collecting new evidence as part of their future training and its application in their normal work.

The Candidate Kit is essential to help the farmers play their part in the assessment process. It will need to provide them with clear instructions about what they have to do.

The RTO wants to be sure that their assessors are able to unpack the competency standards involved, customise the evidence requirements to suit aquaculture farming and negotiate an evidence plan that suits each candidate. They want assessors to follow the same quality assessment process, use common tools and use the same criteria for deciding whether candidates are competent. The Assessor Kit is seen as vital in ensuring consistent outcomes using different assessors in a variety of locations around Australia.

The RTO plans to develop an Assessor Kit and Candidate Kit for each of the five groups of units in the Diploma qualification. By doing so, they will have documented systems consistent with the RTO requirements of the Australian Quality Training Framework.

10.3 Preparing an Assessor Kit and Candidate Kit

The rest of the guide contains an Assessor Kit and Candidate Kit for four business management units in the aquaculture stream of the Diploma of the Seafood Industry.

Acknowledgment

The authors are grateful to Dos O'Sullivan for assisting with the development of these Kits.
Assessor Kit

Business Management Units

RUHHRT602A  Develop a business plan
RUHHRT513A  Manage business operations
RUAAG6206BMA Manage human interaction
RUAAG6205BMA Install a total quality management system

Diploma of the Seafood Industry (Aquaculture)

Insert Logo

Insert Name of RTO
Assessing competencies in higher qualifications

**Contents**

This Assessor Kit is designed to help you design and conduct the assessment for the following units of competency in the Seafood Industry Training Package (SFI00):

- RUHHRT602A  Develop a business plan
- RUHHRT513A  Manage business operations
- RUAAAG6206BMA  Manage human interaction
- RUAAAG6205BMA  Install a total quality management system

The Assessor Kit sets out the steps in the assessment process that you should follow. These four units have been unpacked to reveal the evidence requirements for competent performance. A sample evidence plan is included to help you negotiate similar plans with groups or individual candidates. The Assessor Kit also provides forms that you can use when judging the competence of candidates, collecting evidence from third parties and when recording the final outcome of the assessment.

The Assessor Kit comprises seven sections.

- Your part in the assessment process
- The four units of competency
- Identifying the required evidence
- Collecting quality evidence
- Types of evidence
- Negotiating an evidence plan
- Forms for collecting evidence
Your part in the assessment process

The following list sets out the things that you will need to do. Tick them off as you complete each one.

☐ Read through the four units of competency from the Seafood Training Package (SFI00) and look at the evidence requirements that are listed for each unit in the Assessor Kit.

☐ Organise and conduct an interview with the candidate to explain the performance requirements, training activities available and the assessment process. (You could send the Candidate Kit prior to interview.)

☐ Review any evidence that the candidate has brought to the interview. This could include the self-assessment form, a resume outlining any business management experience and membership of industry organisations, a current job description, a business plan for the candidate’s enterprise and documented procedures relating to the business.

☐ Identify any gaps in current knowledge and skills that could be addressed by further skill development.

☐ Negotiate an evidence plan that sets out what additional evidence needs to be collected, by when and by whom. The evidence plan will include any agreed skill development activities, such as work projects.

☐ After you have agreed on what evidence is needed, fill in the blank evidence plan and sign it. Make sure that the candidate also signs the plan to confirm that it is a formal agreement about what skill development is to be undertaken and what evidence is to be collected.

☐ Use assessor checklists to explain what is expected of the candidate's work-based projects and the criteria that you will use to judge whether they are satisfactory or not.

☐ Contact the third parties (owner, business associate, client, customer, supplier) nominated by the candidate and send them the forms to collect independent evidence of the candidate's performance. You may find it easier to collect some of this evidence by telephone.

☐ Provide support to the candidate in developing skills and collecting evidence prior to final assessment. Monitor the candidate’s progress against the key dates in the evidence plan.

☐ Review the candidate's portfolio of evidence and organise a time for a final interview and assessment. Focus on any areas of performance that concern you. Prepare questions for the interview that address your concerns and/or arrange for more evidence to be collected, such as additional third party reports.
Use the interview to confirm the candidate’s understanding of the complex tasks and issues surrounding the competencies. Focus on any weak aspects of performance. Make your final judgement of competence using the guidance provided on assessor checklists in the Assessor Kit. Give constructive feedback to the candidate and advise the candidate of your assessment decision.

Complete the assessment outcome form and make sure the candidate has the opportunity to indicate agreement with the assessment decision and receipt of feedback. Arrange for the candidate to receive formal notice of the result soon after.

The four units of competency

The competency standards in the Seafood Industry Training Package contain detailed information that will help you to assess candidates.

The four business management units have been analysed to clearly define the level of performance required and to determine the tasks, procedures, equipment and other work contexts that suit the aquaculture sector of the seafood industry. The essential knowledge and skills requirements together with the types of evidence that candidates could collect have also been identified. This information is summarised in the next four tables.

Table 1: Identifying sources of evidence for the unit RUHHRT602A

<table>
<thead>
<tr>
<th>RUHHRT602A</th>
<th>Develop a business plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>ELEMENT OF COMPETENCY</td>
<td>AQUACULTURE CONTEXT</td>
</tr>
<tr>
<td>1</td>
<td>Review the strategic direction of the business</td>
</tr>
<tr>
<td>1</td>
<td>economically viable, socially acceptable, environmentally sustainable (1.1)</td>
</tr>
<tr>
<td>1</td>
<td>external environmental influences (pollution or contamination of water source), internal influences (nutrients, stock loss, visual amenity, water flows, resource utilisation) (1.1)</td>
</tr>
<tr>
<td>1</td>
<td>stakeholders; other resource users (landowners, recreational and commercial fishers, shipping); regulators; representatives of environmental community; indigenous groups (1.1)</td>
</tr>
<tr>
<td>1</td>
<td>resources: site (land, water), food, labour, chemicals, power (1.2)</td>
</tr>
<tr>
<td>1</td>
<td>regulations for land use and environmental protection (1.2)</td>
</tr>
<tr>
<td>1</td>
<td>viability (market demand, pests diseases, price, costs) and stability (seasons, changed supply and demand, cash flows) (1.1 – 1.2)</td>
</tr>
<tr>
<td>1</td>
<td>growth options include expanding culture units, changing technology, alternative sites; diversification within industry (poly-culture, new species, products); diversification outside industry (using waste water for crops) (1.3)</td>
</tr>
<tr>
<td>1</td>
<td>production options include hatcheries, nurseries, grow out facilities, on-farm processing, holding and storage (1.4).</td>
</tr>
</tbody>
</table>

Possible sources of evidence:

- pre-feasibility or scoping study leading to a business plan (1.1 – 1.4)
- promotional material provided to clients, financiers, or as part of licence applications (1.4)
- interview questions (1.5).
| 2 Specify business objectives and targets | • targets for size of operation, production, costs of production, critical mass as part of 3, 5 and 10 year plans (2.1). |
| Possible sources of evidence: | • targets documented in business plans (2.1). |
| 3 Assess financial implications of the business, marketing, purchasing and personnel plans | • financial implications (profit/loss, cash flow); tax implications (loans, leases for major acquisitions) (3.1) |
| • sufficient understanding of process of establishing financial viability to interpret accountant’s reports (3.1) |
| • personnel structure, skills required currently and in future |
| • understanding of assumptions, underpinning plans and models (3.2). |
| Possible sources of evidence: | • workplace documents (business performance records over 2–3 years, forward projections and assumptions, comparisons with industry benchmarks) (3.1 – 3.2). |
| 4 Evaluate alternative plans | • risk assessment (4.1) |
| • develop alternatives and options in light of environmental regulations, stakeholder risks, logistics (no stock available) (4.1) |
| • reassess species, technology, site and other inputs, market, costs (4.2) |
| • understanding of assumptions underpinning plans and models (3.2). |
| Possible sources of evidence: | • workplace documents (correspondence showing responses to stakeholder concerns, feedback from consultants or government) (4.2) |
| • third party reports (adherence to environmental code of practice, eg eco–labelling) (4.1– 4.2). |
| 5 Identify assets to be purchased and sold during the planning period | • infrastructure, machinery, equipment lists, purchase dates (5.1) |
| • understanding of current aquaculture technology (5.3) |
| • cost/benefit analysis for assets required (5.4). |
| Possible sources of evidence: | • training records (attendance at industry conferences, workshops, trade fairs) (5.3) |
| • workplace documents (assets register, depreciation schedules) (5.1, 5.2, 5.4) |
| • questioning about current technology (5.3). |
| 6 Develop risk management strategies | • risks include stock mortality/escapes; fire, wind, storms, flooding, wave action; vandalism, poaching, malicious damage; predators/pests; collisions; toxic algal blooms, water supply, water pollution/contamination; viability of suppliers and distributors; market variations such as seasonality, price, exchange rates, competition; food safety (6.1) |
| • monitoring/warning systems (alarms, weather gauge/reports, water quality, staff/external observers) and historical records (6.1) |
| • facility design (clearances, fences, levees, lights, security) and structures to withstand flood and storms (6.2) |
| • disease/predator treatments, firefighting operations, insurances, stock management practices. |
| Possible sources of evidence: | • workplace documents (insurance cover, operating procedures and instructions for staff for risk minimisation, HACCP plans, Food Safety Plan, ISO certification, marketing strategies) (6.1 – 6.3) |
| • questioning about assumptions and problem solving, quality improvements (6.3). |
| 7 Implement a business plan | • assessment of plans by business associates, financiers, stakeholders, regulators/licensing authorities |
| • development of operational plans. |
| Possible sources of evidence: | • workplace documents (final assessment of business plans by relevant stakeholders) (7.1 – 7.3) |
| • third party reports (assessment of business plans by consultants, associates etc) (7.1–7.3). |
### Table 2: Identifying sources of evidence for the unit RUHHRT513A

<table>
<thead>
<tr>
<th>RUHHRT513A</th>
<th>Manage business operations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ELEMENT</strong></td>
<td><strong>AQUACULTURE CONTEXT</strong></td>
</tr>
</tbody>
</table>
| 1 Implement the business, marketing, personnel and financial plans | • develop action/operational plan from business plan (1.1)  
• manuals, supervisor instructions, communication procedures  
• standard operating procedures (SOPs) for all aspects of operations that define tasks, roles and responsibilities, personnel, resources, procedures to follow, performance requirements, timelines (1.2)  
• SOPs for stock husbandry (feeding, grading, harvesting, environmental monitoring)  
• SOPs for equipment machinery operation (operating instructions, maintenance)  
• SOPs for OHS (PPE, safe manual handling, MSDS)  
• SOPs for environmental protection (waste management, interactions with other species, reporting to government agencies)  
• SOPs for food safety (Food Safety Plan, HACCP)  
• SOPs for personnel management (IR, pay and conditions, code of behaviour)  
• SOPs for processing/marketing (processing instructions, packaging, storage, transport, promotion)  
• SOPs for financial administration (budgeting, ordering, purchasing, receipt of goods, assets register). |
| **Possible sources of evidence:** | • examples of SOPs prepared by candidate (1.1 – 1.2). |
| 2 Monitor changing conditions in the business environment | • set performance benchmarks (survival rates, food conversion ratios, production costs/kg) and define corrective actions for predictable variances (feeding modification) (2.1)  
• consult with owner/manager, business partners  
• keep records as a basis for monitoring and reporting water quality; stock inventory; daily/weekly operations; pay schedules, work rosters; production records and environmental monitoring reports for regulators, maintenance, monthly financial statements. |
| **Possible sources of evidence:** | • performance targets documented in business plans and SOPs (2.1)  
• examples of records, manuals, SOPs prepared by candidate (2.1)  
• records of corrective actions (turning on aerators in daily records) (2.2, 2.3)  
• interview questions about monitoring, variances, corrective actions. |
| 3 Make recommendations for improvement to operations | • quality improvement process, active involvement and training of staff (3.1, 3.2)  
• update manuals to reflect improvements in technology and environmental protection (3.1)  
• feedback on product quality from client, wholesalers, retailers (3.1). |
| **Possible sources of evidence (link with RUAAG6206BMA Implement a TQM system):** | • workplace documents (monitoring records, corrective actions, staff training records) (3.1 – 3.3)  
• third party reports (customer feedback, consultants)  
• interview questions on quality improvements. |
| 4 Implement a purchasing plan | • inventory maintenance (food, chemicals, consumables), purchase orders, identify best sources of regular supply (4.1–4.3)  
• SOPs for purchasing (minimum quantity, estimate of usage, minimum inventory levels, lead time, quality criteria, prices (4.1–4.3)  
• reassess species, technology, site and other inputs, market, costs (4.2)  
• understanding of assumptions underpinning plans and models (3.2). |
| **Possible sources of evidence:** | • workplace documents (correspondence showing responses to stakeholder concerns, feedback from consultants or government) (4.2)  
• third party reports (adherence to environmental code of practice, eg eco–labelling) (4.1– 4.2). |
### Table 3: Identifying sources of evidence for the unit RUAAG6206BMA

<table>
<thead>
<tr>
<th>RUAAG6206BMA</th>
<th>Manage human interaction</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ELEMENT</strong></td>
<td><strong>AQUACULTURE CONTEXT</strong></td>
</tr>
</tbody>
</table>
| 1 Manage staff interaction | • provide leadership for teams, shifts, production areas (1.1)  
• personal example of ethical behaviour in two areas such as animal ethics and welfare and human interactions (treating staff/customers fairly, honesty in business dealings, transparency) (1.2)  
• communication with staff (via shift briefings, notices, daily job sheets) and customers (face to face and via telephone, correspondence) (1.3)  
• conflicts involving male/female tensions, incompatibility of workers, responsibility for tasks, breakages and wastage, age vs expertise and knowledge (1.5)  
• teams mainly built around shifts and areas of production.  |
| Possible sources of evidence:  
• third party reports (from owner, manager, team members, customers) regarding leadership style and team interactions (1.1 – 1.6)  
• workplace documents (reports of accidents/incidents, days lost, production figures, dismissals, grievances (1.1 – 1.6)  
• questioning about teams, leadership, interpersonal skills (1.1 – 1.6). |
| 2 Manage family relationships (within business context) | • mostly small family owned aquaculture farms  
• clear operational roles in SOPs and operational plans (2.2, 2.3)  
• succession planning, retirement and estate planning (2.4)  
• keep records as a basis for monitoring and reporting (water quality; stock inventory; daily/weekly operations; pay schedules, work rosters; production records and environmental monitoring reports for regulators, maintenance, monthly financial statements).  |
| Possible sources of evidence:  
• questioning (some candidates may not choose to discuss their family business relationships on the grounds of privacy) (2.1–2.5)  
• workplace documents (management structure in business or operational plan) (2.2, 2.3). |
| 3 Manage professional and business relationships | • professional relationships with business partners, investors and business relationships with customers, suppliers, banks or accountants (3.1)  
• contracts of supply and provision of services (3.2).  |
| Possible sources of evidence:  
• third party reports (customer and supplier feedback, consultants) regarding ethical dealings, level of organisation (3.1–3.5). |
| 4 Manage community/industry involvement | • industry groups and associations, Landcare and environmental groups, Catchment Committee (4.1)  
• government working groups (eg Ministerial Aquaculture Advisory Committee) (4.1)  
• knowledge of benefits to you, business, industry and sector (4.4).  |
| Possible sources of evidence:  
• workplace documents (press clippings, newsletters, magazine articles) indicating involvement (4.1)  
• resume (membership of associations, details of roles and responsibilities) (4.2, 4.3)  
• third party reports (outlining involvement in associations and groups) (4.1– 4.3)  
• questioning (4.1–4.4). |
**Table 4: Identifying sources of evidence for the unit RUAAG6205BMA**

<table>
<thead>
<tr>
<th>RUAAG6205BMA</th>
<th>Install a Total Quality Management system</th>
</tr>
</thead>
<tbody>
<tr>
<td>ELEMENT 1.4</td>
<td>AQUACULTURE CONTEXT</td>
</tr>
</tbody>
</table>
| 1 Define the required quality standards | • product quality standards: food safety ANZFA, market requirements including client specifications (fresh, frozen, colour, numbers), licensing requirements (scope of operation, species, size) export and AQIS requirements, niche market (special client requirements) (1.1)  
• production quality standards in operational plan or quality manual (food conversion ratios, growth rates, survival rates, water quality and effluent quality) (1.2)  
• HR quality standards (skills matrix for staff, training and assessment plans, roles and responsibilities in operational plans) (1.3)  
• physical resources quality standards (farm structures, culture structures, machinery and equipment, farm and sea lease area, environment of farm), monitoring and maintenance procedures (1.4). |
| 2 Determine performance benchmarks | • Possible sources of evidence:  
• workplace documents and SOPs prepared by candidates that set out quantitative standards and industry benchmarks (1.1 – 1.4)  
• questioning (1.1 – 1.4). |
| 3 Set up performance indicators and monitoring systems | • monitor product quality via customer feedback and own quality assurance (clean shells, clean gills, purged, minimum size) (3.1–3.3)  
• monitor production quality via sampling, daily record sheets, laboratory analysis and environmental monitoring (3.1–3.3)  
• monitor staff via training records, incident/accident reports (3.1–3.3)  
• monitor physical resources via water quality data, maintenance records, downtime, replacement time for equipment (3.1–3.3)  
• trigger points for action, set limits for water quality (eg 4ppm dissolved oxygen) and effluent quality (eg 100mg/L suspended solids) (3.1–3.3)  
• monitor customer feedback and laboratory reports (3.1–3.3)  
• third-party auditing (HACCP, ISO, environmental monitoring). |
| 4 Train operators to meet quality measures | • Possible sources of evidence (link with RUHHRT513A Manage business operations):  
• workplace documents SOPs, monitoring records, comparison data between farms and/or with industry benchmarks, corrective actions, staff training records) (3.1 – 3.3)  
• third party reports (customer feedback, consultants)  
• interview questions on quality systems and improvements.  
• training and induction of new staff in SOPs (4.1)  
• staff trained to recognise and report problems early and/or take corrective actions (4.1)  
• skills matrix for staff, training and assessment plans and records (4.1–4.2). |
| 5 Implement the TQM system | • Possible sources of evidence:  
• workplace documents (correspondence showing responses to stakeholder concerns, feedback from consultants or government) (4.2)  
• third party reports (adherence to environmental code of practice, eg eco-labelling) (4.1–4.2).  
• procedures and records documented in SOPs (5.1–5.3). |
| Possible sources of evidence: | • work project on quality improvements (5.2, 5.3)  
• workplace documents (SOPs, quality records) (5.1–5.3)  
• third party report from client on product quality (5.1–5.3)  
• questioning about quality improvements (5.2, 5.3). |
Assessing competencies in higher qualifications

**Identifying the required evidence**

The evidence requirements for the four units are summarised using Template 1 in Table 5.

Table 5: Summary of evidence sources

<table>
<thead>
<tr>
<th>Sources of evidence identified from the industry competency standard</th>
<th>Template 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit(s)</td>
<td>RUHHRT602A, RUHHRT513A, RUAAG6206BMA, RUAAG6205BMA</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Evidence Sources</th>
<th>A1 Practical Demonstration</th>
<th>A2 Third Party Reports</th>
<th>A3 Questioning/Interview</th>
<th>B1 Personal Statement/Resume</th>
<th>B2 Workplace Documents</th>
<th>B3 Training Records</th>
<th>B4 Case Study</th>
<th>B5 Work project</th>
<th>B6 Journal/Diary</th>
<th>B7 Testimonials/Awards</th>
</tr>
</thead>
<tbody>
<tr>
<td>RUHHRT602A</td>
<td>Develop a business plan</td>
<td>1</td>
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<tr>
<td>RUHHRT513A</td>
<td>Manage business operations</td>
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<tr>
<td>RUAAG6206BMA</td>
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</tr>
<tr>
<td>RUAAG6205BMA</td>
<td>Install a TQM system</td>
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</tr>
</tbody>
</table>
**Collecting quality evidence**

You will need to explain to candidates that the evidence that they collect must be:

- **valid (or relevant)** – their evidence must focus on the broad range of knowledge and skills specified in the Seafood Industry Competency Standards
- **sufficient** – they must collect enough evidence to satisfy you that they are competent across all aspects of the unit(s) of competency
- **current** – you must be satisfied that the experience is recent and that knowledge is up-to-date
- **authentic** – you must be satisfied that the evidence relates to the candidates and not to other people. To ensure that their evidence is authentic, you should arrange for their managers or reliable third parties to verify any evidence that they submit. You may also ask them questions during interviews.

**Types of evidence**

You should explain to candidates that there are two kinds of evidence:

- evidence that you collect
- evidence that candidates collect.

Evidence collected by you could include reports about the candidates’ work performance from their managers, staff, team leaders, customers, suppliers, business associates and so on. You could also arrange for someone to observe candidates performing in the workplace or ask candidates questions about their work during interviews.

The evidence collected by candidates could include:

- examples of business, marketing and operational plans that they have produced
- press clippings and articles about their involvement in industry networks
- their resumes
- any training certificates
- awards or testimonials from business associates.

They could also prepare case studies or complete work-based projects that show how they have improved aspects of company business performance.
You should identify the types of evidence that are readily collected by candidates and the evidence that you will collect when you develop their evidence plans with them.

**Negotiating an evidence plan**

When negotiating an evidence plan, try to identify tasks/activities/exercises and workplace documents that will enable evidence to be collected for several units/elements at the one time. Take care not to confuse quantity with quality. Some examples of how evidence can be used more than once are listed below.

- The development of a business plan is an essential requirement for one of the units (RUHHR602A), but will also provide evidence for all other units as well. For this reason, this task has been identified as a skill development activity in the evidence plan.
- Operating procedures developed for the management of the business operations (RUHHR7513A) will become an integral part of the business plan, for the management of staff and business relationships (RUAAG6206BMA) and the implementation of quality standards (RUAAG6205BMA).
- The quality standards required for (RUAAG6205BMA) will provide relevant evidence for business planning and operations.

The example of an evidence plan provided in Table 6 is a good place to start. Use the blank version (Form 1 in the Assessor Kit) to record candidate plans after carefully establishing their existing knowledge and skills, relevant experience and access to people who know the details of their work. Not surprisingly, evidence plans could be quite different from the following.
### Table 6: Evidence plan

<table>
<thead>
<tr>
<th>Evidence plan</th>
<th>Template 2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name of candidate</strong></td>
<td>George Andulakis</td>
</tr>
<tr>
<td><strong>Unit(s)</strong></td>
<td>RUHHR1602A, RUHHR1513A, RUAAG6206BMA, RUAAG6205BMA</td>
</tr>
<tr>
<td><strong>Registered Training Organisation</strong></td>
<td>NATI</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Sources of evidence</th>
<th>Agreed evidence</th>
<th>Received</th>
</tr>
</thead>
<tbody>
<tr>
<td>A1 Practical Demonstration</td>
<td>N/A</td>
<td>✓</td>
</tr>
</tbody>
</table>
| A2 Third Party Reports | Independent assessment of business plan (accountant)  
Customer feedback on ability to manage own business (food supplier)  
Feedback on leadership, staff management (business partner)  
Feedback on leadership, staff management (Don Martin – supervisor)  
Feedback on product quality (Petro’s restaurant, fish market). | | |
| A3 Questioning/Interview | Underpinning assumptions and knowledge related to work projects. | | |
| B1 Personal Statement/Resume | Resume (outline of work history, company profile, association membership/responsibilities). | | |
| B2 Workplace Documents (verified) | Licence application, loan application, marketing brochure,  
SOPs for stock husbandry, food safety, OHS, environmental protection, personnel management  
Maintenance schedules, asset lists, depreciation schedules, inventory sheets, order book, employee rosters, pay records, budgets, staff training records  
Customer lists, product specifications, delivery records  
Records of monitoring stock, water quality, daily and weekly operations. | | |
| B3 Training Records | Attendance at Aquaculture 2001 Conference and report on the session ‘Improving your Business’. | | |
| B4 Case Studies | N/A | ✓ |
| B5 Projects | Work Project 1: Preparation of a business plan  
Work Project 2: Development of an operational plan  
Work Project 3: Development of personnel procedures  
Work Project 4: Summaries of quality improvements. | | |
| B6 Journal/Diary | N/A | ✓ |
| B7 Testimonials/Awards | Candidate will collect feedback on business management from associates. | | |

**Skill development activities**

- Eight one–day workshops on business planning/management run by NATI in March – May (times to be advised)
- Field day at Paulis Oyster Farm (May 12)

**Arrangements**

- Candidate to nominate/confirm third parties by March 9 for assessor to contact re reports
- Assessor will ensure evidence remains confidential.

**Agreement**

- Evidence to be submitted by: June 3
- Interview date: June 14
- I agree to the evidence plan:
  - Candidate: George Andulakis (name) (signature)
  - Supervisor: Don Martin (name) (signature)
  - Assessor: Mal Green (name) (signature)
Forms for collecting evidence

The Assessor Kit contains a range of forms that you should use to collect evidence and record assessment decisions:

- Form 1 Evidence plan
- Form 2 Work Project One assessment (Preparation of a business plan)
- Form 3 Work Project Two assessment (Development of an operational plan)
- Form 4 Work Project Three assessment (Development of personnel procedures)
- Form 5 Work Project Four assessment (Quality improvements)
- Form 6 Third Party Report (business planning)
- Form 7 Third Party Report (customer service)
- Form 8 Third Party Report (leadership, personnel management)
- Form 9 Third Party Report (product quality)
- Form 10 Record of questioning of underpinning knowledge
- Form 11 Record of assessment outcome
### Evidence plan

<table>
<thead>
<tr>
<th>Sources of evidence</th>
<th>Agreed evidence</th>
<th>Received</th>
</tr>
</thead>
<tbody>
<tr>
<td>A1 Practical Demonstration</td>
<td></td>
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<tr>
<td>A2 Third Party Reports</td>
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<tr>
<td>A3 Questioning/Interview</td>
<td></td>
<td></td>
</tr>
<tr>
<td>B1 Personal Statement/Resume</td>
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<tr>
<td>B2 Workplace Documents (verified)</td>
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<tr>
<td>B3 Training Records</td>
<td></td>
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<tr>
<td>B4 Case Studies</td>
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<td>B5 Projects</td>
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<td>B6 Journal/Diary</td>
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<tr>
<td>B7 Testimonials/Awards</td>
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</tbody>
</table>

**Skill development activities**

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**Arrangements**

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### Agreement

- Evidence to be submitted by: 
- Interview date: 
- I agree to the evidence plan:
  - Candidate: ___________________________ (name) ___________________________ (signature)
  - Supervisor: ___________________________ (name) ___________________________ (signature)
  - Assessor: ___________________________ (name) ___________________________ (signature)
Record of assessment of Work Project One – Preparation of a business plan

<table>
<thead>
<tr>
<th>Name of candidate</th>
<th></th>
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<tbody>
<tr>
<td>Unit(s)</td>
<td>RUHHRT602A: Develop a business plan</td>
</tr>
<tr>
<td>Registered Training Organisation or workplace</td>
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<tr>
<td>Name of assessor</td>
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</tr>
</tbody>
</table>

Use the checklist below as a basis for judging whether the candidate's project and supporting evidence meets the required competency standard.

<table>
<thead>
<tr>
<th>Work Project One</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Does the business plan involve established species or products? If not, is the species/product selection supported by appropriate data?</td>
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<td>• Are the site and proposed technology appropriate?</td>
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<td>• Is the market analysis supported by appropriate data?</td>
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<tr>
<td>• Have the industry quality benchmarks for the species, product, site, technology and market been considered?</td>
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<td>• Does the business plan meet the regulatory requirements?</td>
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<tr>
<td>• Are the product assumptions (eg species production targets, costs, sales) well supported by reliable evidence?</td>
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<td>• Are the financial projections (cash flows, timelines) and SWOT analysis realistic?</td>
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<td>• Has the business plan been independently evaluated, piloted and improvements incorporated?</td>
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<td>• Are the major risks addressed and appropriate minimisation strategies identified?</td>
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<tr>
<td>• Does the business plan indicate that the venture will be economically viable, socially acceptable and environmentally sustainable?</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Supporting workplace documents and records prepared by the candidate</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td>Did the candidate provide the following.</td>
<td></td>
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<td></td>
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<tr>
<td>• Correspondence or evidence of effective consultation with stakeholders?</td>
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<tr>
<td>• Applications for a licence, loan or insurance?</td>
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<tr>
<td>• Examples of promotional or marketing information produced for customers?</td>
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<tr>
<td>• Examples of own business performance?</td>
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<td>• Asset lists, depreciation schedules?</td>
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<tr>
<td>• Examples of standard operating procedures (SOPs), HACCP plans?</td>
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<tr>
<td>• Examples of promotional or marketing information provided to investors?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>• Independent business assessment by consultants?</td>
<td></td>
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</tbody>
</table>

Did the work project meet the required standard?   Yes ☐  No ☐

Signed by the assessor: ___________________________  Date: ______________

Feedback to candidate:

The following issues require clarification:

Additional evidence is required in the following areas:
### Record of assessment of Work Project Two – Development of an operational plan

**Name of candidate**

**Unit(s)**

RUHHRT513A: Manage business operations

**Registered Training Organisation or workplace**

**Name of assessor**

Use the checklist below as a basis for judging whether the candidate's project and supporting evidence meets the required competency standard.

### Work Project Two

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the operational plan identify roles, responsibilities, actions and timelines for key activities (business operations, marketing, personnel management, financial management)?</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Have quality performance indicators been set? Are they consistent with industry benchmarks?</td>
<td></td>
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<tr>
<td>Does the operational plan set out procedures for monitoring, assessing and reporting performance against key performance indicators?</td>
<td></td>
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<tr>
<td>Does the operational plan set out procedures for modifying SOPs to incorporate quality improvements and communicating changes to staff?</td>
<td></td>
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<tr>
<td>Do SOPs clearly set out tasks, roles and responsibilities for the staff involved, resources, quantities, procedures to follow, performance criteria and timelines? Are the procedures for modifying SOPs clear?</td>
<td></td>
<td></td>
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<tr>
<td>Do the SOPs for stock husbandry, environmental protection, food safety, processing and marketing adequately specify the required quality standards? Have company/operation benchmarks been set?</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

### Supporting workplace documents and records prepared by the candidate

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Did the candidate provide: SOPs for: stock husbandry, equipment and machinery, occupational health and safety, food safety, personnel management, processing, marketing, financial management, purchasing and administration?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>records to show regular monitoring of: water quality, stock inventory, daily/weekly operations, employee rosters and pay schedules, licensing requirements, environmental indicators, maintenance schedules, budgets/monthly bank statements?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>inventory sheets, purchase orders, stocktaking records that indicate efficient purchasing of supplies and equipment?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>records for the sale of surplus assets?</td>
<td></td>
<td></td>
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<tr>
<td>customer lists with product specifications and quantities delivered?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>records of quality improvements or effective corrective actions initiated by the candidate?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>examples of updated manuals?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Did the work project meet the required standard? **Yes** | **No**

Signed by the assessor: ................................. Date: .................................

**Feedback to candidate:**

The following issues require clarification:

Additional evidence is required in the following areas:
**Record of assessment of Work Project Three – Development of personnel procedures**

<table>
<thead>
<tr>
<th>Name of candidate</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Unit(s)</strong></td>
<td>RUAAG6206BM: Manage human interaction</td>
</tr>
<tr>
<td>Registered Training Organisation or workplace</td>
<td></td>
</tr>
<tr>
<td>Name of assessor</td>
<td></td>
</tr>
</tbody>
</table>

Use the checklist below as a basis for judging whether the candidate's project and supporting evidence meets the required competency standard.

<table>
<thead>
<tr>
<th>Work Project Three</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the operational plan prepared by the candidate include policy and procedures that address:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• management structure, job descriptions, roles and responsibilities, and delegations?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• lines of communication?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• recruitment, induction, promotion of staff and termination of employment?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• employment conditions and entitlements?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• code of conduct?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• equal opportunity, anti-harassment, cultural diversity?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• occupational health and safety, safety audits?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• training and skill development?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• dispute resolution and grievances?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• provision of information and confidentiality?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>was the candidate's role in writing, or improving, the examples of procedures provided explained?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Supporting workplace documents and records prepared by the candidate**

Did the candidate provide the following:

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>• records of training, incidents/accidents, days lost, production data to illustrate their ability to manage their employees?</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>• newspaper clippings, articles or a resume to illustrate active involvement in industry organisations or the local community?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Did the work project meet the required standard? | Yes | No |

Signed by the assessor: ___________________________ Date: __________

**Feedback to candidate:**

The following issues require clarification:

Additional evidence is required in the following areas:
<table>
<thead>
<tr>
<th>Record of assessment of Work Project Four – Quality improvements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name of candidate</strong></td>
</tr>
<tr>
<td><strong>Unit(s)</strong></td>
</tr>
<tr>
<td>RUAAG6205BMA: Install a Total Quality Management system</td>
</tr>
<tr>
<td><strong>Registered Training Organisation or workplace</strong></td>
</tr>
<tr>
<td>Name of assessor</td>
</tr>
</tbody>
</table>

Use the checklist below as a basis for judging whether the candidate's work project and supporting evidence meets the required competency standard.

The work project should consist of one or two-page summaries of quality improvements that the candidate has initiated in five of the following areas of business management:

- product quality, food safety
- production or process improvement
- personnel management
- use of physical resources
- environmental protection
- other, specify ____________________________

<table>
<thead>
<tr>
<th>Work Project Three</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the operational plan prepared by the candidate include policy and procedures that show that the candidate has:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• recognised opportunities for improvements?</td>
<td>☐ ☐ ☐ ☐</td>
<td></td>
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<tr>
<td>• analysed the problem or causes of sub-optimal performance?</td>
<td>☐ ☐ ☐</td>
<td></td>
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<tr>
<td>• considered and trialed available options?</td>
<td>☐ ☐ ☐</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• implemented corrective actions and monitored their effectiveness?</td>
<td>☐ ☐ ☐</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• documented changes to SOPs and communicated these to staff?</td>
<td>☐ ☐ ☐</td>
<td></td>
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<tr>
<td>• introduced measures to prevent the recurrence of the problem?</td>
<td>☐ ☐ ☐</td>
<td></td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Supporting workplace documents and records prepared by the candidate</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Did the candidate provide:</td>
<td></td>
<td></td>
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<tr>
<td>• records that indicate a regular history of collection of quality monitoring data?</td>
<td>☐ ☐ ☐</td>
<td></td>
<td></td>
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<tr>
<td>• defined quality standards and trigger points for action? (eg water quality – dissolved oxygen, turbidity of effluent, suspended solids)</td>
<td>☐ ☐ ☐</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• daily/weekly quality reports (eg observation sheets, stock inventory, water quality) and corrective actions taken?</td>
<td>☐ ☐ ☐</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• laboratory analysis records?</td>
<td>☐ ☐ ☐</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• records of inter-farm or industry comparison of performance?</td>
<td>☐ ☐ ☐</td>
<td></td>
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</tr>
</tbody>
</table>

| Did the work project meet the required standard? | Yes | ☐ | No | ☐ |

Signed by the assessor: ____________________________ Date: ____________________________

Feedback to candidate:

The following issues require clarification:

Additional evidence is required in the following areas:
<table>
<thead>
<tr>
<th>Name of candidate</th>
<th>Unit(s)</th>
<th>RUHHRT602A: Develop a business plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered Training Organisation or workplace</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

This candidate is being assessed against the Seafood Industry Competency Standards. You have been nominated as a person who can comment on the candidate's business planning ability.

Please do not complete the form if you are either a close friend or relative or may have a conflict of interest. Please indicate your relationship to the candidate and provide brief contact details.

- business partner  
  Name: ..................................................

- private consultant  
  Telephone: ..................................................

- financial adviser/accountant  
  I have known the candidate for ( ) years.

Please complete this report and add any comments that you wish at the end. We value your contribution and ask that you answer the questions honestly.

<table>
<thead>
<tr>
<th>Can you confirm the following.</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the candidate's planned business venture involve established species or product? If not, is the species/product selection supported by appropriate data?</td>
<td></td>
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<tr>
<td>Are the site and proposed technology appropriate?</td>
<td></td>
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<tr>
<td>Is the market analysis supported by appropriate data?</td>
<td></td>
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<tr>
<td>Does the candidate's planned business venture meet the regulatory requirements?</td>
<td></td>
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<tr>
<td>Are the product assumptions (eg species production targets, costs, sales) well supported by reliable evidence?</td>
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<tr>
<td>Are the financial projections (cash flows, timelines) and SWOT analysis realistic?</td>
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<tr>
<td>Are the major risks addressed and appropriate minimisation strategies identified?</td>
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<tr>
<td>Does the candidate's business plan indicate that the venture will be economically viable, socially acceptable and environmentally sustainable?</td>
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</tbody>
</table>

Signed: ..................................................................................  Date:  ..................................................................

Send to: ..................................................................................  Deadline:  ..................................................................

If you have any queries please contact Name/Telephone  ..................................................................

Please provide some comments to support your responses:

................................................................................................................................................
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<table>
<thead>
<tr>
<th>Name of candidate</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit(s)</td>
<td>RUHHRT602A: Manage business operations</td>
</tr>
<tr>
<td>Registered Training Organisation or workplace</td>
<td></td>
</tr>
</tbody>
</table>

This candidate is being assessed against the Seafood Industry Competency Standards. You have been nominated as a person who can comment on the candidate's business planning ability.

Please do not complete the form if you are either a close friend or relative or may have a conflict of interest. Please indicate your relationship to the candidate and provide brief contact details.

- Business partner
- Private consultant
- Financial adviser/accountant
- Other, specify

I have known the candidate for ( ) years.

Please complete this report and add any comments that you wish at the end. We value your contribution and ask that you answer the questions honestly.

**Can you confirm that the candidate:**

- Demonstrates good product knowledge and has a clear understanding of customer requirements?
- Plans ahead and allows sufficient lead time for the delivery of supplies?
- Provides accurate and clear documentation?
- Estimates quantities accurately?
- Monitors service and introduces ways to improve performance?
- Responds effectively to unexpected demands and failures to meet customer service standards?

**Do you supply food, stock, chemicals, fuel or other farm consumables to other aquaculture operations?**

- If so, is the candidate's average use of supplies outside industry averages?

**Signed:** ...................................................  **Date:** ........................................

**Send to:** ...................................................  **Deadline:** ........................................

If you have any queries please contact Name/Telephone ...................................................

**Please provide some comments to support your responses:**

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________
### Third party evidence report (leadership, personnel management)

**Name of candidate**

**Unit(s)**

**Registered Training Organisation or workplace**

This candidate is being assessed against the Seafood Industry Competency Standards. You have been nominated as a person who can comment on the candidate's business planning ability.

Please do not complete the form if you are either a close friend or relative or may have a conflict of interest. Please indicate your relationship to the candidate and provide brief contact details.

- [ ] business partner
- [ ] private consultant
- [ ] financial adviser/accountant
- [ ] industry/community association member
- [ ] supplier
- [ ] client
- [ ] other, specify

I have known the candidate for ( ) years.

Please complete this report and add any comments that you wish at the end. We value your contribution and ask that you answer the questions honestly.

#### Can you confirm that the candidate:

- demonstrates personal drive and a commitment to ethics and professionalism?
- communicates ideas and information clearly?
- consults widely, listens actively and is open to a wide range of views?
- negotiates effectively and mediates disputes to the benefit of all parties?
- demonstrates leadership and ability to build and support teams?
- maintains energy and commitment?
- balances personal, family, business, industry and community demands?
- maintains a wide range of useful contacts and networks?
- establishes open and collaborative relationships based on trust and integrity?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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</table>

Signed: ________________________________ Date: ________________________________

Send to: ________________________________ Deadline: ________________________________

If you have any queries please contact Name/Telephone ________________________________

Please provide some comments to support your responses:

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________
### Third party evidence report from a client or cooperative (product quality)

<table>
<thead>
<tr>
<th>Name of candidate</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Unit(s)</strong></td>
<td><strong>RUAAG6205BMA: Install a Total Quality Management system</strong></td>
</tr>
</tbody>
</table>

This candidate is being assessed against the Seafood Industry Competency Standards. You have nominated as a person who can comment on the candidate's business planning ability.

Please do not complete the form if you are either a close friend or relative or may have a conflict of interest. Please indicate your relationship to the candidate and provide brief contact details.

- [ ] client
- [ ] cooperative manager
- [ ] other, specify

Please complete this report and add any comments that you wish at the end. We value your contribution and ask that you answer the questions honestly.

#### I can confirm that the candidate:

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>knows my requirements for products and service?</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>focuses their procedures to meet my requirements?</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>packages products so that they reach me in peak condition?</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>meets regularly with me to check in detail whether my requirements are being met?</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>keeps records that I can check?</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>supplies me with regular information about products and services?</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>finds answers for my questions?</td>
<td>[ ]</td>
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</tbody>
</table>

(Adapted from SeaQual – Seafood Quality Chooser)

Signed: _______________________________ Date: _______________________________

Send to: _______________________________ Deadline: _______________________________

If you have any queries please contact Name/Telephone _______________________________

Please provide some comments to support your responses:
Record of questioning of underpinning knowledge

<table>
<thead>
<tr>
<th>Questions to assess underpinning knowledge</th>
<th>Satisfactory response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q 1 Why did you choose the particular species, group of species or product? (market, price, food supply, stock availability, technology, expertise)</td>
<td>□ □ □</td>
</tr>
<tr>
<td>Q 2 Why did you choose that particular size of operation? (start-up/pilot scale, lead in, break even point, critical mass to hold market position)</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 3 What site selection criteria did you use? (water quality, proximity to infrastructure, stakeholder concerns, environmental legislation)</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 4 What assumptions did you make to calculate your cash flow, profit and loss? (growth rates, food conversion rates, market price, survival rates, production costs)</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 5 How did you value your land and assets? (depreciation, previous land use, neighbouring land uses, seasonal weather variation, natural disaster risk)</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 6 How did you identify the critical risks to your business? (how often it occurs - 1 in 100 years, e.g., large catastrophic disease)</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 7 Where will your business be in three years? What assumptions have you made? How will you assess your progress and modify your plans if required? (analysis of trends in production, technology and the market)</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 8 What criteria do you use for recruiting and promoting staff?</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 9 Give an example of a significant quality improvement (e.g., stock husbandry) that you have initiated. Explain your choice and the steps involved.</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 10 How do you estimate your annual food usage?</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 11 If I walked into your workplace, how would you convince me that it was happy, safe and productive?</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 12 Give an example of how you have resolved a major conflict (e.g., harassment) effectively. Outline the mediation or negotiation approach you used.</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 13 Explain how you would set up a business relationship with a new client or supplier. How do you specify agreements and contracts?</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 14 Explain how your family business was set up and how its ongoing operation is assured. How do you set goals and determine roles and responsibilities?</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 15 How do you prioritise the competing demands of private, family, business, industry and community commitments?</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 16 Do you have an active role in industry organisations and/or the local community? If not, is this a conscious decision based on lack of business benefit?</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 17 Your Food Safety Plan identifies the greatest risks to product quality. What criteria do you use to assess those risks?</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 18 How do you ensure that your staff use your quality systems on a daily basis?</td>
<td>□ □</td>
</tr>
<tr>
<td>Q 19 Take one of the quality improvement initiatives that you mentioned earlier and describe how your team recognised and analysed the problem, determined the causes, and decided on appropriate corrective actions.</td>
<td>□ □</td>
</tr>
</tbody>
</table>
### Record of questioning of underpinning knowledge (continued) Form 10

<table>
<thead>
<tr>
<th>The candidate’s underpinning knowledge and understanding was: Satisfactory ☐ Not satisfactory ☐</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signed by the assessor:</td>
</tr>
<tr>
<td>Feedback to candidate:</td>
</tr>
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</tbody>
</table>
# Record of assessment outcome

<table>
<thead>
<tr>
<th>Name of candidate</th>
<th></th>
</tr>
</thead>
</table>
| **Unit(s)**       | RUHHRT602A Develop a business plan  
|                   | RUHHRT513A Manage business operations  
|                   | RUAAG6206BMA Manage human interaction  
|                   | RUAAG6205BMA Install a Total Quality Management system  |
| **Qualification** | Diploma of the Seafood Industry (Aquaculture)  |
| **Registered Training Organisation** |  |
| **Name of assessor** |  |
| **Summary of evidence sources:** |  |
| ☐ | ☐  |
| ☐ | ☐  |
| ☐ | ☐  |
| ☐ | ☐  |
| ☐ | ☐  |
| Interview |  |
| **The candidate was assessed as:** | COMPETENT | NOT YET COMPETENT |
| RUHHRT602A: Develop a business plan | ☐ | ☐  |
| RUHHRT513A: Manage business operations | ☐ | ☐  |
| RUAAG6206BMA: Manage human interaction | ☐ | ☐  |
| RUAAG6205BMA: Install a Total Quality Management system | ☐ | ☐  |
| **The candidate requires the following skill development before re-assessment:** |  |
|  |  |
|  |  |
|  |  |
| **Feedback to candidate on overall performance during assessment:** |  |
|  |  |
|  |  |
|  |  |
| **The candidate has been provided with feedback and informed of the assessment result and the reasons for the decision.** | Name of Assessor:  
Signature of Assessor:  
Date:  |
|  |  |
| I have been provided with feedback on the evidence I have provided. I have been informed of the assessment result and the reasons for the decision. | Name of Candidate:  
Signature of Candidate:  
Date: |
Candidate Kit

Business Management Units

RUHHRRT602A  Develop a business plan
RUHHRRT513A  Manage business operations
RUAAG6206BMA  Manage human interaction
RUAAG6205BMA  Install a Total Quality Management system

Diploma of the Seafood Industry
(Aquaculture)

Insert Logo

Insert Name of RTO
Contents

This Candidate Kit is designed to help you collect evidence of your competence as a business or operations manager at an aquaculture farm or site.

The Candidate Kit will help you decide if you already have good business management skills and what training you need, if any.

If you do need new knowledge and skills, the Seafood Industry Training Package will help you to improve your business or get started in a new career in aquaculture management.

The Candidate Kit sets out the steps that you need to follow. There is also a case study to illustrate how other people have collected their evidence. The Candidate Kit also provides forms that you can use to record your evidence.

The Candidate Kit comprises eight sections.

Is the Candidate Kit for me?
Including business management units in your Diploma
How the assessment process works
Identifying the required evidence
Collecting quality evidence
Types of evidence
Negotiating an evidence plan
Forms for collecting evidence
Is the Candidate Kit for me?

Are you responsible for managing some, or all, of the business operations for the aquaculture company that you work with? Would you like to work as an aquaculture business manager?

Are you involved with:

- business planning?
- managing day to day operations?
- managing personnel?
- marketing products?
- quality assurance and product safety?

If you perform these kinds of tasks and roles, then you may be able to demonstrate that you are already competent in the some of the business management units listed in the aquaculture qualification stream of the Seafood Industry Training Package.

Including business management units in your Diploma

The Diploma of the Seafood Industry (Aquaculture) is relevant to people working as business or operations managers of aquaculture farms or sites. If you want to gain this qualification you will need to demonstrate that you are competent in 23 of the possible units of competency listed for the Diploma in the Seafood Industry Training Package.

These units of competency are grouped into seafood industry core units, aquaculture core units and electives. They cover aspects of:

- husbandry and production
- operations and assets
- harvesting, post harvesting and marketing
- occupational health and safety, product safety and environmentally sustainable development
- business management.

The Candidate Kit will help you collect evidence and determine your skill development needs for a group of four units of competency that cover the essential skills for managing an aquaculture business.
These units are:

- RUHHRT602A  Develop a business plan
- RUHHRT513A  Manage business operations
- RUAAG6206BMA  Manage human interaction
- RUAAG6205BMA  Install a Total Quality Management system

To obtain recognition for this group of units, you will need to collect evidence of your current competence and present this to your assessor. To make this process as straightforward as possible, this Candidate Kit has been prepared to advise you about what evidence to collect and how to collect it.

Your trainer or assessor will help you identify any gaps in your knowledge and skills. You should also talk to your trainer about the best way to develop new skills and the range of support available. This may include:

- learning guides (information and activities to help you learn in your own time)
- workshops and seminars
- industry visits.

**How the assessment process works**

Read the following case study. The approach taken by George may give you some ideas about how to collect your own evidence and develop new skills to meet the performance requirements set out in the Seafood Industry Competency Standards.
Case Study: George’s Story

George Andulakis has been a manager on a prawn farm for five years. The farm produces about 50 tonnes of product every year and employs six full-time staff and six casuals. The farm is a family owned business that has been operating successfully for ten years.

George has a lot on his plate. He wants to:
• increase production
• improve product quality to meet export standards
• change the farm around to suit the new effluent and water treatment requirements.

George heard about the new Seafood Industry Training Package at a recent Prawn Farmers’ Association Conference and thought it might help him to improve his business. He spoke to NATI, a local training provider, about the programs they offer. He realised that the group of units dealing with business management skills in the Diploma of the Seafood Industry (Aquaculture) would be a good place to start.

After looking closely at the units of competency with an assessor, he quickly realised that while he knew a lot about doing business, nothing was written down and his staff often did things the way they thought best.

Because he is a well known and respected businessman in the prawn industry, George knew that he would be able to collect a range of evidence about his performance from his customers, suppliers and financial adviser. However, he also realised that he needed to learn how to develop an effective business plan, operational plan and a range of standard operating procedures (SOPs) to cover farm activities. He also needed an improved quality system before he could achieve any of his objectives.

George negotiated an evidence plan with his assessor. He agreed to attend some short programs that NATI offer on business development. With support from NATI, he prepared a series of confidential case studies about his company’s business strategies with a fully documented business plan, operational plan, marketing plan and SOP Manual for his staff.

As a result, most of George's training was directed to developing the documentation that he needed to improve his farm's productivity and profitability. By working with an experienced trainer and a group of other aquaculture farmers who faced similar challenges, George was able to draw on a wealth of local experience.

After six months, George presented his portfolio of evidence for assessment and was successful. He is now well down the path of achieving his goals. Productivity and quality are up, an export facility is on the drawing board and water treatment systems have been expanded to fulfil the new environmental requirements. He also expects the financial rewards to begin to flow.

Your part in the assessment process

The following list sets out the things you will need to do to be assessed. Tick them off as you complete each one.

☐ Read through the Candidate Kit and note down any questions that you may want to raise with your assessor.
☐ Arrange for an interview with your assessor to negotiate your evidence plan. The two of you will need to agree on what evidence you need to collect and by when.
Assessing competencies in higher qualifications

☐ Read the case study about George Andulakis in the Kit. This may give you some ideas about how other people have gone about collecting and presenting their evidence and developing new skills.

☐ Read through the sample evidence plan included in the Candidate Kit and tick (✓) the items of evidence that you could easily collect already. Note down brief details for each item.

☐ Prepare an up-to-date resume that sets out your recent business management experience. Mention examples that are relevant to the performance criteria:
  - significant products that you have developed (eg business plans, reports, budgets)
  - significant business improvement projects that you have undertaken or managed
  - professional documents (eg qualifications, membership of industry organisations)
  - relevant life experiences not associated with your paid work.

☐ If you are currently working in a business management role, prepare a job description that gives details of:
  - your duties and the tasks that you regularly perform
  - where you fit into the company
  - your responsibilities, limits of accountability, who you report to.

☐ Talk to a colleague, or your manager, and ‘brainstorm’ ideas together. Hopefully, they will ask you questions like:
  - Remember when you did…….? 
  - Didn’t you assist with …….?

Questions like this will help you trigger other possible sources of evidence. Add to, or clarify, your growing list of possible evidence.

☐ Fill in the self-assessment form (Form 13 in your Kit) to get an overall picture of whether you already have much of the knowledge and skills described in the four units of competency.

☐ Attend the interview with your assessor and discuss the evidence that you have identified so far. Assessors will also go through the four units of competency in detail so that you understand the level of performance that is expected. Work with assessors to identify what additional evidence is required and whether there are gaps in your current knowledge and skills that could be filled by further training.

☐ After you have agreed on what evidence is needed, fill in the blank evidence plan and sign it. Your assessor will also sign the plan to confirm that it is a formal agreement about what skill development and/or evidence is required.
Assessing competencies in higher qualifications

- Participate in group training, workshops, seminars, field days or undertake agreed activities as appropriate. Collect the required evidence. Contact your trainer or assessor if you have any difficulties.

- Prepare any required case studies or work projects set out in your evidence plan. Use assessor checklists contained in the Kit to make sure that you include all the required information. Be sure to explain how you prepared and analysed the information and the reasons for your decisions. Include any documents such as plans and operating procedures that you prepare.

- Use the forms in the Kit to collect evidence about your business performance from customers and team leaders. Also included are the forms that assessors will use to judge your case studies and to obtain third party evidence. That way, you will know what level of performance is expected.

- Nominate appropriate third parties who are familiar with your work (owner, business associate, client, customer, supplier) and arrange for your assessor to contact these people to collect independent evidence to verify the evidence that you collect.

- Check the evidence plan to make sure that you have collected all the evidence you agreed to provide and that it meets the quality criteria.

- Send your portfolio of evidence to your assessor for review and arrange a time for a final interview and assessment. Your assessor will keep the comments on your portfolio confidential.

- Attend the interview. You may bring a support person to the interview with you to provide additional evidence, authenticate your application and/or to support you. You will be given feedback and the assessment decision at the end of the interview. Your portfolio will also be returned to you.

- Complete the forms to indicate that you agree with the assessment decision and have received feedback. Give them back to your trainer/assessor. You will receive formal notice of your result soon after.

**What evidence is required?**

The four units of competency contain detailed information. Assessors have analysed them to clearly define the level of performance required and to determine the tasks, procedures, equipment and other work contexts that suit the aquaculture sector of the seafood industry. The units also specify the essential knowledge and skills that candidates require for competence together with the types of evidence that candidates could collect.
Collecting quality evidence

Your assessor will explain to you that the evidence that you collect must be:

- **valid (or relevant)** – your evidence must focus on the broad range of knowledge and skills specified in the Seafood Industry Competency Standards
- **sufficient** – you must collect enough evidence to satisfy assessors that you are competent across all aspects of the unit(s) of competency
- **current** – assessors must be satisfied that your experience is recent and your knowledge is up-to-date
- **authentic** – assessors must be satisfied that the evidence that you submit relates to you and not some other person. To ensure that your evidence is authentic, your manager or reliable third parties should verify any evidence that you submit. Questions may also be asked during an interview.

Types of evidence

There are two kinds of evidence:

- evidence that you collect
- evidence that your assessor will collect.

The evidence collected by you could include examples of:

- business, marketing and operational plans that you have produced
- press clippings and articles about your involvement in industry networks
- your resume
- any training certificates
- awards or testimonials from business associates.

You could also prepare confidential case studies or complete work projects to show how you have improved aspects of company business performance.

Evidence collected by assessors could include reports about your work performance from your manager, team leaders, customers, suppliers or business associates. Assessors may arrange for someone to observe you performing in the workplace or ask you questions about your work during an interview.
You will be able to negotiate the types of evidence that suit you when you develop your evidence plan with your assessor.

**Negotiating an evidence plan**

When deciding on what sources of evidence will meet the requirements and are suitable for you, try to identify tasks/activities/exercises and workplace documents that will enable you to collect the required evidence for several units/elements at the one time. Take care not to confuse quantity with quality.

The example of an evidence plan in Table 1 is a good place to start. Use the blank version (Form 1 in the Kit) to record your individual plan. Your plan could be quite different if your work experience is different from the candidate (George Andulakis in the case study).
### Table 1: Evidence plan

<table>
<thead>
<tr>
<th>Evidence plan</th>
<th>Template 2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name of candidate</strong></td>
<td>George Andulakis</td>
</tr>
</tbody>
</table>
| **Unit(s)** | RUHHR760A Develop a business plan  
RUHHR7513A Manage business operations  
RIIAG620BMA Manage human interaction  
RIIAG6205MA Install a Total Quality Management system |
| **Registered Training Organisation** | NATI |
| **Sources of evidence** | **Agreed evidence** | **Received** |
| A1 Practical Demonstration | N/A |  |
| A2 Third Party Reports | Independent assessment of business plan (accountant)  
Customer feedback on ability to manage own business (food supplier)  
Feedback on leadership, staff management (business partner)  
Feedback on leadership, staff management (Don Martin – supervisor)  
Feedback on product quality (Petro’s restaurant, fish market). |  |
| A3 Questioning/Interview | Underpinning assumptions and knowledge related to work projects. |  |
| B1 Personal Statement/Resume | Resume (outline of work history, company profile, association membership/responsibilities). |  |
| B2 Workplace Documents (verified) | Licence application, loan application, marketing brochure  
SOPs for stock husbandry, food safety, OHS, environmental protection, personnel management  
Maintenance schedules, asset lists, depreciation schedules, inventory sheets, order book, employee rosters, pay records, budgets, staff training  
Customer lists, product specifications, delivery records  
Records of monitoring stock, water quality, daily and weekly operations. |  |
| B3 Training Records | Attendance at Aquaculture 2001 Conference and report of the session ‘Improving your Business’. |  |
| B4 Case Studies | N/A |  |
| B5 Projects | Work Project 1: Preparation of a business plan  
Work Project 2: Development of an operational plan  
Work Project 3: Development of personnel procedures  
Work Project 4: Summaries of quality improvements. |  |
| B6 Journal/Diary | N/A |  |
| B7 Testimonials/Awards | Candidate will collect feedback on business management from associates |  |

**Skill development activities**
- Eight one-day workshops on business planning/management run by NATI in March – May (times to be advised)
- Field day at Paulis Oyster Farm (May 12).

**Arrangements**
- Candidate to nominate/confirm third parties by March 9 for assessor to contact re reports
- Assessor will ensure evidence remains confidential.

**Agreement**
- Evidence to be submitted by: June 3
- Interview date: June 14
- I agree to the evidence plan:
  - Candidate: George Andulakis
  - Supervisor: Don Martin
  - Assessor: Mal Green

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Forms for collecting evidence

You should use the following forms to collect your evidence:

- **Form 1** Evidence plan
- **Form 12** Third party report (team member or colleague)
- **Form 13** Self-assessment form.

If you need to complete some work projects, assessors will use the following forms to assess your work. Ask for copies so you will have a clear idea of the level of performance that is required.

- **Form 2** Work Project One assessment (Preparation of a business plan)
- **Form 3** Work Project Two assessment (Development of an operational plan)
- **Form 4** Work Project Three assessment (Development of personnel procedures)
- **Form 5** Work Project Four assessment (Quality improvements).
### Evidence plan

<table>
<thead>
<tr>
<th>Source of evidence</th>
<th>Agreed evidence</th>
<th>Received</th>
</tr>
</thead>
<tbody>
<tr>
<td>A1 Practical Demonstration</td>
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<td>☐</td>
</tr>
<tr>
<td>A2 Third Party Reports</td>
<td></td>
<td>☐</td>
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<tr>
<td>A3 Questioning/Interview</td>
<td></td>
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<tr>
<td>B1 Personal Statement/Resume</td>
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<tr>
<td>B2 Workplace Documents (verified)</td>
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<td>B3 Training Records</td>
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<td>B4 Case Studies</td>
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<td>B7 Testimonials/Awards</td>
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#### Skill development activities
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#### Arrangements
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#### Agreement
- Evidence to be submitted by: June 3
- Interview date: June 14
- I agree to the evidence plan:
  - Candidate: ____________________________ (name) ____________________________ (signature)
  - Supervisor: ____________________________ (name) ____________________________ (signature)
  - Assessor: ____________________________ (name) ____________________________ (signature)
# Third party evidence report

<table>
<thead>
<tr>
<th>Name of candidate</th>
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</thead>
<tbody>
<tr>
<td>Unit(s)</td>
<td></td>
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<tr>
<td>Registered Training Organisation or workplace</td>
<td></td>
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<tr>
<td>Name of supervisor</td>
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</tbody>
</table>

This candidate is being assessed against the Seafood Industry Competency Standards. You have been nominated as a team member or colleague who can comment on the candidate's ability to lead and manage staff and to contribute to industry organisations and/or their local community.

Please do not complete the form if you are either a close friend or relative or may have a conflict of interest.

- [ ] team member
- [ ] colleague
- [ ] other, specify

Name: ____________________________  
Telephone: ____________________________  
I have known the candidate for ( ) years.

Please complete this report and add any comments that you wish at the end. We value your contribution and ask that you answer the questions honestly.

### Can you confirm that the candidate:

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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Signed: ____________________________  
Date: ____________________________

Send to: ____________________________  
Deadline: ____________________________

If you have any queries please contact Name/Telephone ____________________________

Please provide some comments to support your responses:

- ____________________________
- ____________________________
- ____________________________
- ____________________________
- ____________________________
- ____________________________
- ____________________________
- ____________________________
Assessing competencies in higher qualifications

| Name of candidate | RUHHRT602A Develop a business plan | RUHHRT513A Manage business operations | RUAAAG6206BMA Manage human interaction | RUAAAG6205BMA Install a Total Quality Management system |

Use the form to decide what knowledge and skills you already have as an effective business manager. This will help you to identify what evidence you can collect and what additional skill development you may require before being assessed against the four units of competency listed above.

Try and answer the questions honestly so you can accurately assess your current level of competency.

<table>
<thead>
<tr>
<th>Do I consistently:</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td>• review the strategic directions of my business?</td>
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<td>• specify business objectives and targets?</td>
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<td>• assess financial implications of marketing, purchasing and personnel plans?</td>
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<td>• evaluate alternative plans?</td>
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<td>• identify assets to be purchased and sold during the planning period?</td>
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<td>• develop risk management strategies?</td>
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<td>• implement business and operational plans?</td>
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<td>• monitor changing business conditions?</td>
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<td>• make recommendations to improve operations?</td>
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<td>• manage staff interactions effectively?</td>
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<td>• manage family, professional and business relationships effectively?</td>
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<td>• define quality standards and determine performance benchmarks?</td>
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<td>• set up performance indicators and monitoring systems to ensure quality?</td>
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<td>• train staff to meet quality requirements?</td>
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<tr>
<td>• implement a total quality management system?</td>
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Signed: .................................................................................
Date: ..........................................................

Please provide some comments to support your responses:

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APPENDIX A: TEMPLATES

- **Template 1**: Summary of evidence sources for the unit of competency
- **Template 2**: Evidence plan
- **Template 3**: Record of assessment by observation/demonstration
- **Template 4**: Record of questioning of underpinning knowledge
- **Template 5**: Third party evidence report
- **Template 6**: Evaluation of portfolio contents
- **Template 7**: Record of assessment of simulated workplace project
- **Template 8**: Record of assessment outcome.
## Summary of evidence sources for the unit of competency

**Template 1**

<table>
<thead>
<tr>
<th>Unit(s)</th>
<th>Registered Training Organisation</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Elements and performance criteria</th>
<th>Element 1</th>
<th>Element 2</th>
<th>Element 3</th>
<th>Element 4</th>
<th>Element 5</th>
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<td>5.4</td>
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</table>

<table>
<thead>
<tr>
<th>Evidence Sources</th>
<th>A1 Practical Demonstration</th>
<th>A2 Third Party Reports</th>
<th>A3 Questioning/Interview</th>
<th>B1 Personal Statement/Resume</th>
<th>B2 Workplace Documents</th>
<th>B3 Training Records</th>
<th>B4 Case Studies</th>
<th>B5 Projects</th>
<th>B6 Journal/Diary</th>
<th>B7 Testimonials/Awards</th>
</tr>
</thead>
</table>

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## Evidence plan

<table>
<thead>
<tr>
<th>Sources of evidence</th>
<th>Agreed evidence</th>
<th>Received</th>
</tr>
</thead>
<tbody>
<tr>
<td>A1 Practical Demonstration</td>
<td></td>
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<td>B1 Personal Statement/Resume</td>
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<td>B2 Workplace Documents (verified)</td>
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<tr>
<td>B3 Training Records</td>
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<td>B7 Testimonials/Awards</td>
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### Skill development activities

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### Arrangements

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### Agreement

- Evidence to be submitted by: 
- Interview date: 
- I agree to the evidence plan:
  - Candidate: ________________________ (name): ________________________ (signature)
  - Supervisor: ________________________ (name): ________________________ (signature)
  - Assessor: ________________________ (name): ________________________ (signature)
# Record of assessment by observation/demonstration

<table>
<thead>
<tr>
<th>Name of candidate</th>
<th></th>
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<tbody>
<tr>
<td>Unit(s)</td>
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<tr>
<td>Registered Training Organisation or workplace</td>
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<tr>
<td>Name of assessor/observer</td>
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</tbody>
</table>

## Observation of:

1. **a)**
2. **b)**

### During ________

- [ ] Yes
- [ ] No
- [ ] N/A

### During ________

- [ ] Yes
- [ ] No
- [ ] N/A

The candidate’s overall performance met the standard:  

- [ ] Yes
- [ ] No

Signed by the assessor/observer: ___________________________  Date: ___________________________

Feedback to candidate:

________________________________________________________________________________

________________________________________________________________________________

________________________________________________________________________________
## Record of questioning of underpinning knowledge

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<thead>
<tr>
<th>Name of candidate</th>
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<tbody>
<tr>
<td>Unit(s)</td>
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<tr>
<td>Registered Training Organisation or workplace</td>
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<td>Name of assessor</td>
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<table>
<thead>
<tr>
<th>Questions</th>
<th>Satisfactory response</th>
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<tbody>
<tr>
<td>Q1.</td>
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<td>Q2.</td>
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<td>Q3.</td>
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<td>Q4.</td>
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<td>Q5.</td>
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<td>Q6.</td>
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<td>Q9.</td>
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<td>Q10.</td>
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The candidate's underpinning knowledge and understanding was:

Satisfactory □ Not satisfactory □

Signed by the assessor: __________________________ Date: __________________________

Feedback to candidate:

_________________________________________________________________________
_________________________________________________________________________
_________________________________________________________________________
_________________________________________________________________________
### Third party evidence report

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<tr>
<td>Registered Training Organisation or workplace</td>
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<tr>
<td>Name of supervisor</td>
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</table>

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

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

#### Does candidate consistently meet your company’s performance standards for:

<table>
<thead>
<tr>
<th>Yes</th>
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Signed by the supervisor: ___________________________ Date: ___________________________

Please provide some comments to support your responses:

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## Evaluation of portfolio contents

<table>
<thead>
<tr>
<th>Requirements of the unit of competency:</th>
<th>Yes</th>
<th>No</th>
<th>Unsure</th>
</tr>
</thead>
<tbody>
<tr>
<td>The contents of the portfolio provided satisfactory evidence of the candidate’s ability to:</td>
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</tbody>
</table>

Following analysis of the evidence, the following issues require clarification during interview:

- •
- •
- •
- •

Additional evidence is required in the following area:

- •
- •
- •

Signed by the assessor: __________________________________ Date: ___________________
Record of assessment of simulated workplace project

<table>
<thead>
<tr>
<th>Name of candidate</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit(s)</td>
<td></td>
</tr>
<tr>
<td>Registered Training Organisation or workplace</td>
<td></td>
</tr>
<tr>
<td>Name of assessor</td>
<td></td>
</tr>
</tbody>
</table>

Use the checklist below as a basis for judging whether the candidate's project and supporting evidence meets the required competency standard.

<table>
<thead>
<tr>
<th>Stage 1:</th>
<th>Yes No N/A</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Stage 2:</th>
<th>Yes No N/A</th>
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<tbody>
<tr>
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<td>•</td>
<td></td>
</tr>
</tbody>
</table>
Assessing competencies in higher qualifications

<table>
<thead>
<tr>
<th>Record of assessment of simulated workplace project (continued)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Did the project meet the required standard?</td>
</tr>
<tr>
<td>Yes ☐</td>
</tr>
<tr>
<td>No ☐</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Signed by the assessor:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date:</td>
</tr>
</tbody>
</table>

Feedback to candidate:

The following issues require clarification:

Additional evidence is required in the following areas:

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## Record of assessment outcome

<table>
<thead>
<tr>
<th>Name of candidate</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit(s)</td>
<td></td>
</tr>
<tr>
<td>Registered Training Organisation or workplace</td>
<td></td>
</tr>
<tr>
<td>Qualification</td>
<td></td>
</tr>
</tbody>
</table>

**Summary of evidence sources:**

- ††††
- ††††
- ††††
- ††††
- ††††
- ††††
- ††††
- ††††

The candidate was assessed as:

- Competent [ ]
- Not Yet Competent [ ]

The candidate requires the following skill development before re-assessment:

- ††††

Feedback to candidate on overall performance during assessment:

- ††††

The candidate has been provided with feedback and informed of the assessment result and the reasons for the decision.

I have been provided with feedback on the evidence I have provided. I have been informed of the assessment result and the reasons for the decision.

| Name of Assessor: | —————————————————— |
| Signature of Assessor: | —————————————————— |
| Date: | —————————————————— |

| Name of Candidate: | —————————————————— |
| Signature of Candidate: | —————————————————— |
| Date: | —————————————————— |
APPENDIX B: AQF QUALIFICATION DESCRIPTORS
Distinguishing features of learning outcomes in AQF qualifications

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>Do the competencies enable an individual with this qualification to:</td>
<td>Do the competencies enable an individual with this qualification to:</td>
<td>Do the competencies enable an individual with this qualification to:</td>
<td>Do the competencies enable an individual with this qualification to:</td>
<td>Do the competencies or learning outcomes enable an individual with this qualification to:</td>
<td>Do the competencies or learning outcomes enable an individual with this qualification to:</td>
</tr>
<tr>
<td>demonstrate knowledge by recall in a narrow range of areas</td>
<td>demonstrate basic operational knowledge in a moderate range of areas</td>
<td>demonstrate some relevant theoretical knowledge</td>
<td>demonstrate understanding of a broad knowledge base incorporating some theoretical concepts</td>
<td>demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas</td>
<td>demonstrate understanding of specialised knowledge with depth in some areas</td>
</tr>
<tr>
<td>demonstrate basic practical skills such as the use of relevant tools</td>
<td>apply a defined range of skills</td>
<td>apply a range of well developed skills</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>apply known solutions to a limited range of predictable problems</td>
<td>apply known solutions to a variety of predictable problems</td>
<td>apply solutions to a defined range of unpredictable problems</td>
<td>analyse and plan approaches to technical problems or management requirements</td>
<td>analyse, diagnose, design and execute judgements across a broad range of technical problems or management functions</td>
</tr>
<tr>
<td>perform a sequence of routine tasks given clear direction</td>
<td>perform a range of tasks where choice between a limited range of options is required</td>
<td>perform processes that require a range of well developed skills where some discretion and judgement is required</td>
<td>identify and apply skill and knowledge areas to a wide variety of contexts with depth in some areas</td>
<td>transfer and apply theoretical concepts and/or technical or creative skills to a range of situations</td>
<td>demonstrate a command of wide-ranging, highly specialised technical, creative or conceptual skills</td>
</tr>
<tr>
<td>receive and pass on messages/information</td>
<td>assess and record information from varied sources</td>
<td>interpret available information, using discretion and judgement</td>
<td>identify, analyse and evaluate information from a variety of sources</td>
<td>evaluate information using it to forecast for planning or research purposes</td>
<td>generate ideas through the analysis of information and concepts at an abstract level</td>
</tr>
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<tr>
<td>Do the competencies enable an individual with this qualification to:</td>
<td>Do the competencies enable an individual with this qualification to:</td>
<td>Do the competencies enable an individual with this qualification to:</td>
<td>Do the competencies or learning outcomes enable an individual with this qualification to:</td>
<td>Do the competencies or learning outcomes enable an individual with this qualification to:</td>
<td>Do the competencies or learning outcomes enable an individual with this qualification to:</td>
</tr>
<tr>
<td>take limited responsibility for own outputs in work and learning</td>
<td>take responsibility for own outputs in work and learning</td>
<td>take responsibility for own outputs in relation to specified quality standards</td>
<td>take responsibility for own outputs in relation to broad quantity and quality parameters</td>
<td>demonstrate accountability for personal outputs within broad parameters</td>
<td></td>
</tr>
<tr>
<td>take limited responsibility for the output of others</td>
<td>take limited responsibility for the quantity and quality of the output of others</td>
<td>take limited responsibility for the achievement of group outcomes</td>
<td>demonstrate accountability for group outcomes within broad parameters</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

GLOSSARY

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

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

From AQTF Standards for RTOs

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

From AQTF Standards for RTOs

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

From Training Package for Assessment and Workplace Training

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

From AQTF Standards for RTOs

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

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

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

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

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

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

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

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

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

From AQTF Standards for RTOs

From Training Package for Assessment and Workplace Training
Assessment tool
An assessment tool contains both the instrument and the instructions for gathering and interpreting evidence:

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

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

Also see Evidence gathering tool.

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

From AQTF Standards for RTOs

Auspicing
See Collaborative assessment arrangements and Partnerships.

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

From AQTF Standards for RTOs

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

From AQTF Standards for RTOs

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

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

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

From Training Package for Assessment and Workplace Training
Assessing competencies in higher qualifications

**Competency standard**

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

*From Training Package for Assessment and Workplace Training*

**Client**

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

*From AQTF Standards for RTOs*

**Clustering**

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

*Adapted from Training Package for Assessment and Workplace Training*

**Collaborative assessment arrangements**

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

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

**Customisation**

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

**Delivery and assessment strategies**

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

*From AQTF Standards for RTOs*

**Dimensions of competency**

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

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

*From Training Package Developers’ Handbook*
Element
An element is the basic building block of the unit of competency. Elements describe the tasks that make up the broader function or job, described by the unit.

From Training Package for Assessment and Workplace Training

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

From AQTF Standards for RTOs

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

From AQTF Standards for RTOs

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

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

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

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

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

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

Also see Assessment tool.

**Evidence guide**

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

*From Training Package for Assessment and Workplace Training*

**Evidence plan**

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

**Flexible learning and assessment**

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

*From AQTF Standards for RTOs*

**Holistic/integrated assessment**

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

*Adapted from Training Package for Assessment and Workplace Training*

**Industry Training Advisory Bodies (ITABs)**

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

*From Training Package for Assessment and Workplace Training*

**Internal audit**

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

*From AQTF Standards for RTOs*
**Key competency**

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

*From Training Package for Assessment and Workplace Training*

**Moderation**

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

**Nationally recognised training**

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

*From AQTF Standards for RTOs*

**National Training Framework**

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

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

*From AQTF Standards for RTOs*

**National Training Information Service (NTIS)**

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

*From AQTF Standards for RTOs*

**New Apprenticeships**

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

*From AQTF Standards for RTOs*
Partnerships

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

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

Performance criteria

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

From Training Package for Assessment and Workplace Training

Qualification

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

From AQTF Standards for RTOs

Quality

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

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

Range statement

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

From Training Package for Assessment and Workplace Training

Reasonable adjustment

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

Adapted from Training Package for Assessment and Workplace Training

Reassessment

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

From Training Package for Assessment and Workplace Training

Recognition process

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

From AQTF Standards for RTOs

**Recognition of Current Competency**

See Recognition process.

**Recognition of Prior Learning**

See Recognition process.

**Records of assessment**

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

From Training Package for Assessment and Workplace Training

**Registered Training Organisation (RTO)**

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

From AQTF Standards for RTOs

**Reporting assessment outcomes**

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

From Training Package for Assessment and Workplace Training

**Risk management**

Risk management means the systematic application of management policies, procedures and practices to the tasks of identifying, analysing, evaluating, treating and monitoring risk.

From AQTF Standards for RTOs

**Self-assessment**

Self-assessment is a process that allows candidates being assessed to collect and provide evidence on their own performances against the competency standards. Self-assessment is often used as a pre-assessment tool to help the candidate and assessor to determine what evidence is available and where the gaps maybe.
Assessing competencies in higher qualifications

Simulation
Simulation is a form of evidence gathering that involves the candidate in completing or dealing with a task, activity or problem in an off-the-job situation that replicates the workplace context. Simulations vary from recreating realistic workplace situations such as in the use of flight simulators, through the creation of role plays based on workplace scenarios to the reconstruction of a business situation on a spreadsheet. In developing simulations, the emphasis is not so much on reproducing the external circumstance but on creating situations in which candidates are able to demonstrate:

a. technical skills
b. underpinning knowledge
c. generic skills such as decision making and problem solving
d. workplace practices such as effective communication.

Skills Recognition
See Recognition process.

Statement of Attainment
Statement of Attainment means a record of recognised learning which, although falling short of an Australian Qualifications Framework (AQF), may contribute towards a qualification outcome, either as attainment of competencies within a Training Package, partial completion of a course leading to a qualification or completion of a nationally accredited short course which may accumulate towards a qualification through Recognition processes.

From AQTF Standards for RTOs

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

From AQTF Standards for RTOs

Unit of competency
Unit of competency means the specification of knowledge and skill and the application of that knowledge and skill to the standard of performance expected in the workplace.

From AQTF Standards for RTOs

Validation
Validation involves reviewing, comparing and evaluating assessment processes, tools and evidence contributing to judgements made by a range of assessors against the same standards. Validation strategies may be internal processes with stakeholder involvement or external validations with other providers and/or stakeholders.