

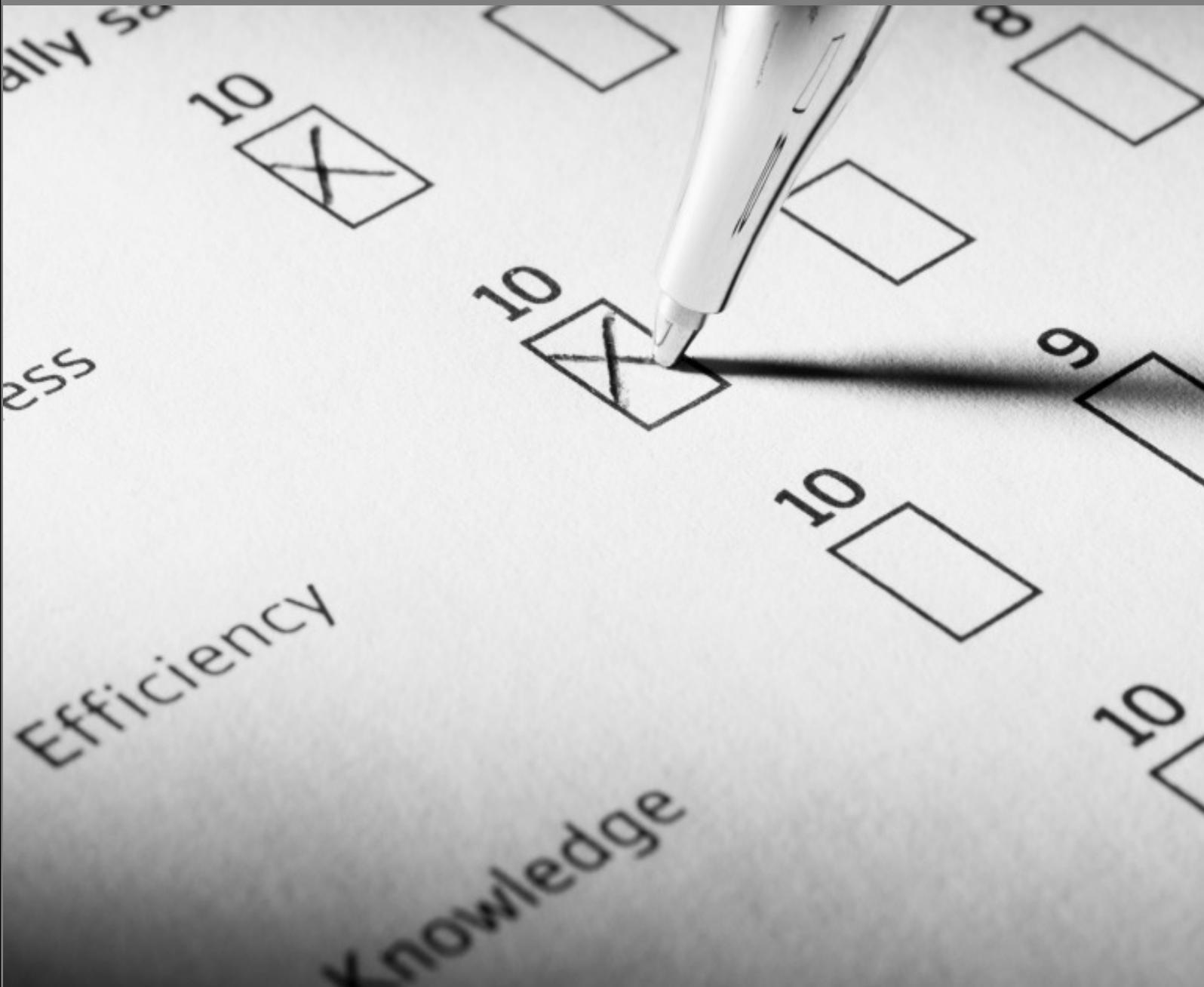


Evaluate the effectiveness of an assessment system

D1.HRD.CL9.07

D1.HHR.CL8.08

Assessor Manual



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Assessor Manual



**William
Angliss
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for foods, tourism
& hospitality

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The Association of Southeast Asian Nations (ASEAN) was established on 8 August 1967. The Member States of the Association are Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand and Viet Nam.

The ASEAN Secretariat is based in Jakarta, Indonesia.

General Information on ASEAN appears online at the ASEAN Website: www.asean.org.

All text is produced by William Angliss Institute of TAFE for the ASEAN Project on "Toolbox Development for Front Office, Food and Beverage Services and Food Production Divisions".

This publication is supported by the Australian Government's aid program through the ASEAN-Australia Development Cooperation Program Phase II (AADCP II).

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File name: AM_Evaluate_effectiveness_of_assessment_system_refined.docx

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Competency Based Assessment (CBA) – An introduction for assessors

Assessment is the process of identifying a participant's current knowledge, skills and attitudes sets against all elements of competency within a unit of competency.

Suggested Assessment Methods

For each unit of competency a number of assessment tools have been identified including:

- Work Projects
- Oral Questions
- Written Questions
- Third Party Statements
- Observation Checklists.

Instructions and Evidence Recording Sheets have been identified in this Assessment Manual for use by Assessors.

Alternative Assessment Methods

Whilst the above mentioned assessment methods are suggested assessment methods, the assessor may use an alternate method of assessment taking into account:

- a) The nature of the unit
- b) The strengths of participants
- c) The number of participants in the class
- d) Time required to complete assessments
- e) Time dedicated to assessment
- f) Equipment and resources required.

Alternate assessment methods include:

- Practical demonstrations
- Practical demonstrations in simulated work conditions
- Problem solving
- Portfolios of evidence
- Critical incident reports
- Journals
- Oral presentations
- Interviews
- Videos
- Visuals/slides/audio tapes
- Case studies

- Log books
- Projects and Role plays
- Group projects
- Recognition of Prior Learning.

Whilst there is no specific instruction or evidence collection documents for all the alternative assessment methods, assessors can record competency in the 'Other' section within the 'Competency Recording Sheet'.

Selection of Assessment Methods

Each assessor will determine the combination of Assessment Methods to be used to determine Competency for each Competency Unit on a student by student basis.

'Sufficient' evidence to support the 'Pass Competent'/'Not Yet Competent' decision must be captured.

In practice this means a minimum of 2 - 3 Assessment Methods for each candidate for each Competency Element is suggested.

At least one method should provide evidence of practical demonstration of competence.

The following assessment methods deemed to provide evidence of practical demonstration of competence include:

- Practical Work Projects
- Third Party Statement
- Observation Checklist.

Assessing Competency

Competency based assessment does not award grades, but simply identifies if the participant has the knowledge, skills and attitudes to undertake the required task to the specified standard.

Therefore, when assessing competency, an assessor has two possible results that can be awarded:

- 'Pass Competent' (PC)
- 'Not Yet Competent' (NYC).

Pass Competent (PC)

If the participant is able to successfully answer or demonstrate what is required, to the expected standards of the performance criteria, they will be deemed as 'Pass Competent' (PC).

The assessor will award a 'Pass Competent' (PC) if they feel the participant has the necessary knowledge, skills and attitudes in all assessment tasks for a unit.

Not Yet Competent' (NYC)

If the participant is unable to answer or demonstrate competency to the desired standard, they will be deemed to be 'Not Yet Competent' (NYC).

This does not mean the participant will need to complete all the assessment tasks again. The focus will be on the specific assessment tasks that were not performed to the expected standards.

The participant may be required to:

- a) Undertake further training or instruction
- b) Undertake the assessment task again until they are deemed to be 'Pass Competent'.

Regional Qualifications Framework and Skills Recognition System

The 'Regional Qualifications Framework and Skills Recognition System', also known as the 'RQFSRS' is the overriding educational framework for the ASEAN region.

The purpose of this framework is to provide:

- A standardised teaching and assessment framework
- Mutual recognition of participant achievement across the ASEAN region. This includes achievement in individual Units of Competency or qualifications as a whole.

The role of the 'RQFSRS' is to provide, ensure and maintain 'quality assurance' across all countries and educational providers across the ASEAN region.

Recognition of Prior Learning (RPL)

Recognition of Prior Learning is the process that gives current industry professionals who do not have a formal qualification, the opportunity to benchmark their extensive skills and experience against the standards set out in each unit of competency/subject.

This process is a learning and assessment pathway which encompasses:

- Recognition of Current Competencies (RCC)
- Skills auditing
- Gap analysis and training
- Credit transfer.

Code of Practice for Assessors

This Code of Practice provides:

- Assessors with direction on the standard of practice expected of them
- Candidates with assurance of the standards of practice expected of assessors
- Employers with assurance of the standards maintained in the conduct of assessment.

The Code detailed below is based on the International Code of Ethics and Practice (The National Council for Measurement in Education [NCME]):

- The differing needs and requirements of the person being assessed, the local enterprise and/or industry are identified and handled with sensitivity
- Potential forms of conflict of interest in the assessment process and/or outcomes are identified and appropriate referrals are made, if necessary
- All forms of harassment are avoided throughout the planning, conducting, reviewing and reporting of the assessment outcomes
- The rights of the candidate are protected during and after the assessment
- Personal and interpersonal factors that are not relevant to the assessment of competency must not influence the assessment outcomes
- The candidate is made aware of rights and process of appeal

- Evidence that is gathered during the assessment is verified for validity, reliability, authenticity, sufficiency and currency
- Assessment decisions are based on available evidence that can be produced and verified by another assessor
- Assessments are conducted within the boundaries of the assessment system policies and procedures
- Formal agreement is obtained from both the candidate and the assessor that the assessment was carried out in accordance with agreed procedures
- The candidate is informed of all assessment reporting processes prior to the assessment
- The candidate is informed of all known potential consequences of decisions arising from an assessment, prior to the assessment
- Confidentiality is maintained regarding assessment results
- The assessment results are used consistently with the purposes explained to the candidate
- Opportunities are created for technical assistance in planning, conducting and reviewing assessment procedures and outcomes.

Instructions and Checklist for Assessors

Instructions

General instructions for the assessment:

- Assessment should be conducted at a scheduled time that has been notified to the candidate
- Facilitators must ensure participants are made aware of the need to complete assessments and attend assessment sessions
- If a participant is unable to attend a scheduled session, they must make arrangements with the Assessor to undertake the assessment at an alternative time
- At the end of the assessment the Assessor must give feedback and advise the participant on their PC/NYC status
- Complete the relevant documentation and submit to the appropriate department.

Preparation

- Gain familiarity with the Unit of Competency, Elements of Competency and the Performance Criteria expected
- Study details assessment documentation and requirements
- Brief candidate regarding all assessment criteria and requirements.

Briefing Checklist

- Begin the assessment by implementing the following checklist and then invite the candidate to proceed with assessment.

Checklist for Assessors

	Tick (✓)	Remarks
Prior to the assessment I have:		
Ensured the candidate is informed about the venue and schedule of assessment.		
Received current copies of the performance criteria to be assessed, assessment plan, evidence gathering plan, assessment checklist, appeal form and the company's standard operating procedures (SOP).		
Reviewed the performance criteria and evidence plan to ensure I clearly understood the instructions and the requirements of the assessment process.		
Identified and accommodated any special needs of the candidate.		
Checked the set-up and resources for the assessment.		
During the assessment I have:		
Introduced myself and confirmed identities of candidates.		
Put candidates at ease by being friendly and helpful.		
Explained to candidates the purpose, context and benefits of the assessment.		
Ensured candidates understood the assessment process and all attendant procedures.		
Provided candidates with an overview of performance criteria to be assessed.		
Explained the results reporting procedure.		
Encouraged candidates to seek clarifications if in doubt.		
Asked candidates for feedback on the assessment.		
Explained legal, safety and ethical issues, if applicable.		
After the assessment I have:		
Ensured candidate is given constructive feedback.		
Completed and signed the assessment record.		
Thanked candidate for participating in the assessment.		

Instructions for Recording Competency

Specifications for Recording Competency

The following specifications apply to the preparation of Evidence Gathering Plans:

- A Competency Recording Sheet must be prepared for each candidate to ensure and demonstrate all Performance Criteria and Competency Elements are appropriately assessed. This Sheet indicates how the Assessor will gather evidence during their assessment of each candidate
- This Competency Recording Sheet is located at the end of the Assessment Plan
- It is the overriding document to record competency
- The Assessor may vary the Competency Recording Sheet to accommodate practical and individual candidate and/or workplace needs
- Assessor must place a tick (✓) in the 'Assessment Method' columns to identify the methods of assessment to be used for each candidate
- Multiple Competency Elements/Performance Criteria may be assessed at the one time, where appropriate
- The assessor and participant should sign and date the Competency Recording Sheet, when all forms of evidence and assessment have been completed
- The assessor may provide and feedback or clarify questions which the participant may have in regards to the assessment grade or findings
- All documents used to capture evidence must be retained, and attached to the Competency Recording Sheet for each candidate for each Competency Unit.

Instructions for Different Assessment Methods

Specifications for Work Project Assessment

These guidelines concern the use of work projects.

The work projects identified in the Training Manuals involve a range of tasks, to be performed at the discretion of the Assessor.

Work project tasks can be completed through any form of assessment as identified in the Trainer and Trainee Manuals and stated at the start of this section.

Assessors should follow these guidelines:

- Review the Work Projects at the end of each 'Element of Competency' in the Trainee Manual to ensure you understand the content and what is expected
- Prepare sufficient resources for the completion of work activities including:
 - Time – whether in scheduled delivery hours or suggested time participants to spend outside of class hours
 - Resources – this may involve technical equipment, computer, internet access, stationery and other supplementary materials and documents
- Prepare assessment location (if done in class) making it conducive to assessment
- Explain Work Projects assessment to candidate, at the start of each Element of Competency. This ensures that participants are aware of what is expected and can collate information as delivery takes place

- Assessors can use the following phrase as a guide (where an 'X' is identified, please input appropriate information):

“At the end of each Element of Competency there are Work Projects which must be completed. These projects require different tasks that must be completed.

These work projects are part of the formal assessment for the unit of competency titled X:

 - You are required to complete these activities:
 - a) *Using the 'X' method of assessment*
 - b) *At 'X' location*
 - c) *You will have 'X time period' for this assessment*
 - You are required to compile information in a format that you feel is appropriate to the assessment
 - Do you have any questions about this assessment?”
- Commence Work Project assessment:
 - The assessor may give time for participants to review the questions at this time to ensure they understand the nature of the questions. The assessor may need to clarify questions
 - Participants complete work projects in the most appropriate format
 - Participants must submit Work Project evidence to the assessor before the scheduled due date
- Assessor must assess the participant's evidence against the competency standards specified in each Element of Competency and their own understanding. The assessor can determine if the participant has provided evidence to a 'competent' standard
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

Specifications for Oral Question Assessment

These guidelines concern the use of oral questioning.

Assessors should follow these guidelines.

- Prepare Assessment Record for Oral Questioning. One record for each candidate:
 - Enter Student name
 - Enter Assessor name
 - Enter Location
- Familiarise self with Questions to be asked
- Prepare assessment location (table and chairs) making it conducive to assessment

- Explain Oral Questioning assessment to candidate, using the following phrase as a guide (where a 'X' is identified, please input appropriate information):
“These oral questions are part of the formal assessment for the unit of competency titled X.
There are X questions and you are required to answer all of them to the best of your ability and I will record whether or not you have answered correctly.
We have 60 minutes for this assessment.
 - I will give you feedback at the end of the assessment.
 - Do you have any questions about this assessment?”
- Commence Oral Questioning assessment:
 - Complete Assessment Record for the Oral Questioning by:
 - a) Ticking PC or NYC, as appropriate
 - b) Entering 'Remarks' as required
 - c) Completing Oral Questioning within 60 minutes
- Complete Oral Questioning and provide feedback to candidate
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

Specifications for Written Question Assessment

These guidelines concern the use of written questioning.

Assessors should follow these guidelines:

- Familiarise self with Questions and Answers provided
- Print and distribute copies of 'Written Questions' for participants. Ideally this should take place with adequate time for participants to answer all questions before the expected due date
- Explain Written Questioning assessment to candidate, using the following phrase as a guide (where a 'X' is identified, please input appropriate information):
“These written questions are part of the formal assessment for the unit of competency titled X.
There are X questions and you are required to answer all of them to the best of your ability.
You may refer to your subject materials, however where possible try to utilise your existing knowledge when answering questions.
Where you are unsure of questions, please ask the Assessor for further instruction. This may be answering the question orally or asking the assessor to redefine the question.
We have X time for this assessment:
 - The due date for completion of this assessment is X
 - On this date you must forward the completed questions to the assessor by X time on the date of X
 - Do you have any questions about this assessment?”

- The assessor may give time for participants to review the questions at this time to ensure they understand the nature of the questions. The assessor may need to clarify questions
- Participants may record written answers (where possible)
- Participants must submit the written answers to the assessor before the scheduled due date
- Assessor must assess the participant's written answers against the model answers provided as a guide, or their own understanding. The assessor can determine if the participant has answered the questions to a 'competent' standard
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

Specifications for Observation Checklist

These specifications apply to the use of the Observation Checklist in determining competency for candidates.

Only an approved assessor is authorised to complete the Observation Checklist.

The assessor is required to observe the participant, ideally in a simulated environment or their practical workplace setting and record their performance (or otherwise) of the competencies listed on the Observation Checklist for the Competency Unit.

To complete the Observation Checklist the Assessor must:

- Insert name of candidate
- Insert assessor name
- Insert identify of location where observations are being undertaken
- Insert date/s of observations – may be single date or multiple dates
- Place a tick in either the 'Yes' or 'No' box for each listed Performance Criteria to indicate the candidate has demonstrated/not demonstrated that skill
- Provide written (and verbal) feedback to candidate – as/if appropriate
- Sign and date the form
- Present form to candidate for them to sign and date
- Transcribe results/details to Competency Recording Sheet for candidate
- Forward/file Observation Checklist.

This source of evidence combines with other forms of assessment to assist in determining the 'Pass Competent' or 'Not Yet Competent' decision for the participant.

Specifications for Third Party Statement

These specifications relate to the use of a relevant workplace person to assist in determining competency for candidates.

The Third Party Statement is to be supplied by the assessor to a person in the workplace who supervises and/or works closely with the participant.

This may be their Supervisor, the venue manager, the Department Manager or similar.

The Third Party Statement asks the Supervisor to record what they believe to be the competencies of the participant based on their workplace experience of the participant. This experience may be gained through observation of their workplace performance, feedback from others, inspection of candidate's work etc.

A meeting must take place between the Assessor and the Third Party to explain and demonstrate the use of the Third Party Statement.

To complete the Third Party Verification Statement the Assessor must:

- Insert candidate name
- Insert name and contact details of the Third Party
- Tick the box to indicate the relationship of the Third Party to the candidate
- Present the partially completed form to the Third Party for them to finalise
- Collect the completed form from the Third Party
- Transcribe results/details to Competency Recording Sheet for candidate
- Forward/file Third Party Statement.

The Third Party must:

- Record their belief regarding candidate ability/competency as either:
 - Pass Competent = Yes
 - Not Yet Competent = No
 - Unsure about whether candidate is competent or not = Not Sure
- Meet briefly with the assessor to discuss and/or clarify the form.

This source of evidence combines with other forms of assessment to assist in determining the 'Pass Competent' or 'Not Yet Competent' decision for the candidate.

A separate Third Party Statement is required for each Competency Unit undertaken by the candidate.

Competency Standard

UNIT TITLE: EVALUATE THE EFFECTIVENESS OF AN ASSESSMENT SYSTEM		NOMINAL HOURS: 40
UNIT NUMBER: D1.HRD.CL9.07 D1.HHR.CL8.08		
UNIT DESCRIPTOR: This unit deals with skills and knowledge required to evaluate the effective of an internal training assessment system operated by the organisation		
ELEMENTS AND PERFORMANCE CRITERIA	UNIT VARIABLE AND ASSESSMENT GUIDE	
<p>Element 1: Plan the evaluation of the assessment system</p> <p>1.1 <i>Identify the purpose and role of the evaluation</i></p> <p>1.2 <i>Define the assessment system</i></p> <p>1.3 <i>Identify the needs of the stakeholders</i></p> <p>1.4 <i>Identify and obtain resources to enable the evaluation</i></p> <p>1.5 <i>Develop an evaluation plan</i></p> <p>1.6 <i>Determine the evidence that needs to be captured during the evaluation</i></p> <p>1.7 <i>Define the criteria for determining the effectiveness of the assessment system</i></p> <p>1.8 <i>Identify cost-effective methods for capturing and analysing evaluation data</i></p> <p>1.9 <i>Develop tools to capture identified evidence regarding the effectiveness of the assessment system</i></p>	<p>Unit Variables</p> <p>The Unit Variables provide advice to interpret the scope and context of this unit of competence, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment.</p> <p>This unit applies to all industry sectors that operate their own internal assessment system within the labour divisions of the hotel and travel industries and may include:</p> <ol style="list-style-type: none"> 1. Front Office 2. Housekeeping 3. Food and Beverage Service 4. Food Production <p><i>Identify the purpose and role of the evaluation</i> will address specific organisational needs and may be related to:</p> <ul style="list-style-type: none"> • Quantifying the number of staff who have participated in assessment, including separation of candidates into 'Competent' and 'Not Yet Competent' categories • Describing the purposes of assessment in the eyes of the organisation, including diagnosing performance, evaluating employee skill levels, evaluating educational levels, awarding statements of attainment, confirming the progress of training, deciding extra duties allocations, deciding individual levels of authority and responsibility 	

Element 2: Undertake the evaluation of the assessment system

- 2.1 Trial the data gathering tools and techniques
- 2.2 Revise the data gathering tools and techniques on the basis of trials conducted
- 2.3 *Collect the identified evidence* in accordance with the approved evaluation plan
- 2.4 *Store data*
- 2.5 *Analyse the data*

Element 3: Prepare an evaluation report

- 3.1 Produce a *written evaluation report*
- 3.2 *Distribute report* to stakeholders for comment
- 3.3 Make a *verbal presentation to support the report*
- 3.4 Gather *feedback on the report*
- 3.5 Revising draft recommendations on the basis of feedback received
- 3.6 Determine *action to be taken as a result of the evaluation*

- Identifying the training topics, courses, programs, areas in which learners were subject to assessment for the period in question
- Identifying the qualifications and/or experience and suitability of assessors who were engaged as part of the assessment process
- Determining what use will be made of the final evaluation, findings
- Determining satisfaction levels of learners with the assessment process, including consideration of factors such as timing of assessment, style and type of assessment, alignment of assessment with the content delivered during the training sessions, the extent to which the actual assessment conditions matched the stated assessment conditions
- Identifying the frequency of assessments, including the suitability of such frequency
- Identifying the locations for assessment activities, including satisfaction levels and suitability
- Determining cost associated with assessment in terms of money and time, interruptions to workplace activity, impact on customer service
- Identifying the value for money that the current assessment system provides for the organisation
- Confirming the acceptability of existing arrangements with internal and external assessors
- Identifying feedback from trainers and assessors regarding the implementation of assessment procedures in relation to the learners from the organisation
- Identifying potential alternative assessment systems that are suitable for the specific assessment needs of the organisation
- Determining whether or not the assessment activities used are appropriate to the content being assessed
- Determining whether or not assessment occurs in a timely manner to support workplace needs
- Determining whether or not the results of learner assessments are reflected in the workplace practice of candidates.

Define the assessment system will include:

- Identifying the assessment activities undertaken
- Quantifying the assessment activities undertaken
- Identifying the stakeholders in the assessment system
- Describing the parameters that apply to the assessment system, such as allowable adjustments that can be made during assessment for nominated candidates
- Recording the policies and procedures that apply to the implementation of the assessment system, including grievances, appeals, attendance requirements at assessment, re-testing, criteria for determining competency
- Identifying the venues and assessors involved in the assessment process
- Describing the integration of assessment with training delivery.

Needs of the stakeholders may be related to:

- Integrity and reliability of the outcomes of assessments
- Compliance with legislated and other obligations
- Cost-effectiveness of assessments
- Availability of, and ease of access to, assessment
- Availability of supplementary assessments to facilitate attainment of competency
- Record keeping requirements, such as detailing candidates and competencies achieved or attempted by candidates
- Feedback provided by assessors in relation to individual worker performance, attitude, capability, potential
- Specific workplace needs, such as improved profit, better productivity, enhanced safety, multi-skilling of staff, improved products/services.

Stakeholders may include:

- Learners
- Trainers and assessors
- Supervisors, managers and business owners
- Government agencies
- Co-workers
- Customers.

Resources to enable the evaluation should include:

- Financial resources, including money to fund staff involved in the evaluation, to purchase necessary materials, to pay for travel, to support data gathering, analysis and interpretation
- Physical resources, including equipment, materials, transportation, computer access, venue/office space
- Time, including allocation of hours to nominated persons
- Human resources, including internal staff and external personnel, as appropriate.

Develop an evaluation plan should relate to:

- Preparing a plan that meets identified need/s for the evaluation
- Preparing a plan that can be implemented within the resource constraints that apply
- Allocating responsibilities for action within the plan
- Identifying timelines that apply to implementation of all stages of the plan
- Identifying training needs of staff who are involved in evaluating the assessment system
- Allocating resources to activities within the plan

- Including evaluation criteria within relevant parts of the plan
- Defining the security arrangements that will ensure protection of individual data within the evaluation process
- Determining the activities that will be undertaken as part of the practical data gathering process
- Defining how collected data will be stored
- Describing the evaluation models to be applied to the evaluation exercise
- Confirming the criteria to be used as part of the evaluation process
- Liaising with relevant people to advise them of the evaluation and to solicit their input and co-operation in the evidence gathering processes
- Reducing the evaluation to writing
- Distributing the draft evaluation plan for feedback
- Revising the draft plan, as required, on the basis of feedback received.

Evidence that needs to be captured may include:

- Rolls and other attendance forms that record participation in assessment
- Samples of assessment evidence used by assessors to determine competency
- Reports relating to assessment-related meetings held by trainers, assessors and learners/candidates
- Information provided to learners regarding their assessment
- Sample assessment items, such as tests, requirements for demonstrations, third party reports, observation checklists, portfolios of work
- Criteria used for judging competency
- Proof of expenditure relating to the cost of assessments
- Evidence of learner progress.

Criteria for determining the effectiveness of the assessment system may include:

- Ratio of learners attempting assessment to the numbers who achieve competency
- Numbers of candidates who have achieved competency
- Ratio of candidates who have re-tested prior to achieving competency
- Alignment of assessment activities with curriculum/competency requirements
- Internal statistics relating to expectations regarding achievement of competency
- Cost
- Workplace benefits achieved as a result of competency being achieved
- The amount of time learners spend involved in assessment, including preparation for assessment: this should address workplace time and time contributed out-of-hours by candidates and address ancillary issues such as waiting time, travelling.

Methods for capturing and analysing evaluation data may include:

- Matching actions and models to identified need
- Interviews with group and/or one-on-one
- Surveys
- Questionnaires
- Stake model
- Stufflebeam model
- Scriven model
- Ethnographic model
- Action research model
- The portrayal approach.

Tools to capture identified evidence may include:

- Survey instruments, including delphi, questionnaires, diaries, logs, attitude scales, diagnostics
- Interview schedules and records
- Observation sheets/checklists
- Objective product analysis sheets.

Identified evidence may include:

- Affective evidence, i.e. Satisfaction with the program
- Cognitive evidence, i.e. Relating to knowledge and/or skills gained
- Performance or behaviour, i.e. Relating to quality of work performed after training/assessment, productivity.

Collect the identified evidence may include:

- Applying the data gathering tools and techniques as planned
- Ensuring a reliable and representative sample size of assessments is researched
- Ensuring privacy and confidentiality of data captured
- Checking accuracy and comprehensiveness of data
- Engaging in supplementary activities where original data captured is deemed unreliable or insufficient
- Talking with stakeholders
- Ignoring irrelevant data
- Following-up on relevant issues that are identified as part of the actual research/evaluation process
- Ensuring all relevant data is captured.

Store data may include:

- Using hard-copy and electronic storage methods
- Protecting the integrity and privacy of data by restricting access and distribution
- Backing-up electronic data.

Analyse the data may include:

- Classifying data against identified categories, including identified qualitative and quantitative categories
- Quantifying data
- Testing the validity of data
- Manipulating statistics
- Interpreting data
- Drawing conclusions
- Seeking extra data to address identified deficiencies
- Seeking explanation of data from the providers of data
- Seeking qualitative input from data providers regarding statistical information
- Creating charts, tables
- Comparing analysis and interpretations to expectations
- Comparing analysis and interpretations to previous periods.

Written evaluation report may include:

- Description of the evaluation process, including identification of those involved in the process
- Charts and tables to explain the evaluation

- Timelines to which the evaluation applies
 - An executive summary
 - Sample raw data
 - Examples of research/evaluation tools used
 - Recommendations for action, which must be based on the findings of the evaluation.
- Distribute report may include:*
- Disseminating printed copies of the report to a nominated and restricted list of stakeholders
 - Using electronic distribution
 - Marking the report as 'commercial-in-confidence' and 'not for public release'
 - Requiring recipients of reports to acknowledge receipt of the report
 - Tracking and monitoring the movement of reports amongst stakeholders and within the organisation.
- Verbal presentation to support the report should occur after stakeholders have had sufficient time to read and digest the report and may include:*
- Detailed explanations of findings
 - Evidence and explanation that findings were based on evidence captured
 - Rationale for the draft recommendations made in the report
 - Coverage of any issues identified as being inadmissible in a written report, which may cover commercial-in-confidence matters, matters deemed to be politically sensitive, matters which may be legally actionable if presented in written form
 - Actively seeking feedback and comment on the findings and recommendations.

Feedback on the report may include:

- Verbal feedback
- Written, printed or electronic feedback
- Structured feedback
- Obtaining management approval to proceed.

Action to be taken as a result of the evaluation may include:

- Continuing with existing assessment arrangements
- Modifying assessment arrangements with existing internal and/or external assessment providers
- Discontinuing the existing assessment arrangements
- Moving internal assessment to an external provider and/or moving external assessments to an internal system
- Changing external assessment providers
- Communicating satisfaction and/or dissatisfaction with assessment service providers
- Placing additional specific service requirements on assessment service providers
- Altering the internal assessors used, or providing existing assessors with identified training to address identified deficiencies in their practice
- Intervening in existing assessment arrangements to modify them in accordance with findings and recommendations of the evaluation, including the potential to initiate change to assessment methods, venues, notification, timing, assessment tools.

Assessment Guide

The following skills and knowledge must be assessed as part of this unit:

- Knowledge of the enterprise's policies and procedures in regard to assessment of internal and/or external training delivery Ability to apply the principles of conducting competency-based assessment and training
- Ability to use research and statistical analysis techniques appropriate to the level and complexity of evaluation conducted by the organisation into assessment practices and the effectiveness of assessment
- Knowledge of data gathering, storage, classification, manipulation and interpretation techniques
- Ability to manage research into a nominated assessment system
- Ability to communicate, negotiate, research, question, analyse and interpret
- Ability to apply and validate evaluation procedures for a range of evaluation techniques
- Ability to produce findings and recommendations from a given body of evidence/research data.

Linkages To Other Units

- Maintain a paper-based filing and retrieval system
- Manage and implement small projects
- Implement, monitor and evaluate a training and development program
- Manage an assessment system for training outcomes
- Monitor and evaluate the effectiveness of training outcomes
- Plan and implement a series of training events
- Prepare and deliver training sessions
- Analyse competency requirements
- Develop assessment tools and procedures
- Plan and promote training courses

- Review training outcomes
- Prepare and monitor budgets
- Design and establish a training system
- Prepare and deliver a presentation
- Design, prepare and present various types of reports.

Critical Aspects of Assessment

Evidence of the following is essential:

- Understanding of host enterprise policies and procedures in regard to assessment of training delivery
- Demonstrated ability to plan an evaluation for a nominated assessment system, including:
 - Identification of the purpose and role of the evaluation
 - Definition and description of the nominated assessment system
 - Identification and quantification of all the resources necessary to undertake implementation of the identified evaluation plan
 - Production of a comprehensive, detailed and workable evaluation plan
 - Identification of the evidence that needs to be captured during the evaluation
 - Definition of the criteria to be used for judging the effectiveness of the nominated assessment system
 - Identification and description of cost-effective methods that can be used to produce a reliable evaluation
 - Production of at least two tools that can be used to capture required data for the evaluation process

- Demonstrated ability to undertake an actual evaluation of a nominated assessment system; the assessment system used for this assessment activity may be the same system used in the above assessment activity, and the evaluation plan to be implemented may be the evaluation plan submitted by the candidate in partial fulfilment of the requirements of that activity. The actual evaluation of a nominated assessment system must include:
 - Trialling identified data gathering tools and techniques
 - Revising identified data gathering tools and techniques, if required
 - Collecting evidence in accordance with a nominated evaluation plan
 - Demonstrated ability to store, retrieve and manipulate research/evaluation data
 - Production of conclusions regarding the effectiveness of the nominated assessment system
 - Production of a written report that reflects the evaluation process and sets out the findings and draft recommendations
 - A verbal presentation in support of the written report which must include a question and answer session.

Context of Assessment

This unit may be assessed on or off the job:

- Assessment should include practical demonstration either in the workplace or through a simulation activity, supported by a range of methods to assess underpinning knowledge
- Assessment must relate to the individual's work area or area of responsibility.

Resource Implications

Training and assessment to include access to a real or simulated workplace; and access to workplace standards, procedures, policies, guidelines, tools and equipment

<p>Assessment Methods</p> <p>The following methods may be used to assess competency for this unit:</p> <ul style="list-style-type: none"> • Observation of practical candidate performance • Oral and written questions • Portfolio evidence including evaluation plans, data gathering forms, reports, examples of raw data collected, recommendations made • Third party reports completed by a supervisor • Project and assignment work. <p>Key Competencies in this Unit</p> <p><i>Level 1 = competence to undertake tasks effectively</i></p> <p><i>Level 2 = competence to manage tasks</i></p> <p><i>Level 3 = competence to use concepts for evaluating</i></p>		
Key Competencies	Level	Examples
Collecting, organising and analysing information	3	Manipulate and interpret data captured during the evaluation process
Communicating ideas and information	3	Follow-up with providers of information to clarify and explore data
Planning and organising activities	2	Schedule evaluation procedures and methodologies
Working with others and in teams	2	Liaise with others to gather identified information
Using mathematical ideas and techniques	3	Apply evaluation methodologies

	Solving problems	2	Gather supplementary information to fill gaps in evidence collected
	Using technology	2	Use software programs to store and manipulate data; use email to distribute evaluation reports

Oral Questions

Student name	
Assessor name	
Location/venue	
Unit of competency	Evaluate the effectiveness of an assessment system D1.HRD.CL9.07 D1.HHR.CL8.08
Instructions	<ol style="list-style-type: none"> 1. Ask student questions from the attached list to confirm knowledge, as necessary 2. Place tick in boxes to reflect student achievement (Pass Competent 'PC' or Not Yet Competent 'NYC') 3. Write short-form student answer in the space provided for each question.

Questions	Response	
	PC	NYC
1. Give five examples of what the purpose and role of the evaluation of an assessment system might be, or relate to.	<input type="checkbox"/>	<input type="checkbox"/>
2. What is involved in identifying an assessment which is to be evaluated?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
3. Give three examples of possible stakeholder needs when an assessment system is evaluated.	<input type="checkbox"/>	<input type="checkbox"/>
4. List five resources which might be required to enable the evaluation of an assessment system.	<input type="checkbox"/>	<input type="checkbox"/>
5. Identify five examples of the possible contents of an evaluation plan used to evaluate an assessment system.	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
6. Give three examples of legitimate evidence which could be captured during an evaluation of an assessment system.	<input type="checkbox"/>	<input type="checkbox"/>
7. Explain the need to define the criteria for determining the effectiveness of the assessment system as part of the process of evaluating an assessment system.	<input type="checkbox"/>	<input type="checkbox"/>
8. Identify and describe three cost-effective methods for capturing and analysing data when evaluating an assessment system.	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
9. Identify and describe three tools which may be used to capture evidence/data when evaluating an assessment system.	<input type="checkbox"/>	<input type="checkbox"/>
10. Give me an example of what you might do when trialling data gathering tools and techniques to be used for evaluating an assessment system.	<input type="checkbox"/>	<input type="checkbox"/>
11. Why may it be important to revise data gathering tools and techniques on the basis of trials conducted?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
12. Identify three factors/issues you should consider/ensure when collecting identified evidence for the evaluation of an assessment system.	<input type="checkbox"/>	<input type="checkbox"/>
13. List three factors you would consider/pay attention to when storing data/evidence captured as part of an evaluation of an assessment system.	<input type="checkbox"/>	<input type="checkbox"/>
14. Describe five activities you might undertake to analyse data captured as part of an evaluation of an assessment system.	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
15. Describe the generic contents of a formal written evaluation report of an assessment system.	<input type="checkbox"/>	<input type="checkbox"/>
16. List three factors you would take into account when distributing the formal written evaluation report of an assessment system to stakeholders.	<input type="checkbox"/>	<input type="checkbox"/>
17. Identify three objectives you would seek to achieve when making a verbal presentation to support the written evaluation report of an assessment system.	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
18. Give three ways you might encourage feedback on a report you have prepared evaluating an assessment system.	<input type="checkbox"/>	<input type="checkbox"/>
19. Under what conditions/circumstances might you believe it is necessary to revise the draft recommendations you have made following an evaluation of an assessment system?	<input type="checkbox"/>	<input type="checkbox"/>
20. Where the evaluation of an assessment system has identified deficiencies/problems, list five possible generic actions which may be taken to improve the system.	<input type="checkbox"/>	<input type="checkbox"/>

Written Questions

Evaluate the effectiveness of an assessment system –
D1.HRD.CL9.07 D1.HHR.CL8.08

Student Name: _____

Answer all the following questions and submit to your Trainer.

1. Insert Question

2. Insert Question

3. Insert Question

4. Insert Question

5. Insert Question

6. Insert Question

7. Insert Question

8. Insert Question

9. Insert Question

10. Insert Question

11. Insert Question

12. Insert Question

13. Insert Question

14. Insert Question

15. Insert Question

16. Insert Question

17. Insert Question

18. Insert Question

19. Insert Question

20. Insert Question

21. Insert Question

22. Insert Question

23. Insert Question

24. Insert Question

25. Insert Question

26. Insert Question

27. Insert Question

28. Insert Question

29. Insert Question

30. Insert Question

31. Insert Question

32. Insert Question

33. Identify Insert Question



Answers to Written Questions

Evaluate the effectiveness of an assessment system – D1.HRD.CL9.07 D1.HHR.CL8.08

The following are model answers only – Trainers/Assessors must use discretion when determining whether or not an answer provided by a Student is acceptable or not.

1. Insert Question

Insert Answer

2. Insert Question

Insert Answer

3. Insert Question

Insert Answer

4. Insert Question

Insert Answer

5. Insert Question

Insert Answer

6. Insert Question

Insert Answer

7. Insert Question

Insert Answer

8. Insert Question

Insert Answer

9. Insert Question

Insert Answer

10. Insert Question

Insert Answer

11. Insert Question

Insert Answer

12. Insert Question

Insert Answer

13. Insert Question

Insert Answer

14. Insert Question

Insert Answer

15. Insert Question

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16. Insert Question

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17. Insert Question

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18. Insert Question

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19. Insert Question

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21. Insert Question

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23. Insert Question

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24. Insert Question

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25. Insert Question

Insert Answer

26. Insert Question

Insert Answer

27. Insert Question

Insert Answer

28. Insert Question

Insert Answer

29. Insert Question

Insert Answer

30. Insert Question

Insert Answer

31. Insert Question

Insert Answer

32. Insert Question

Insert Answer

33. Insert Question

Insert Answer

Observation Checklist

Student name	
Assessor name	
Location/venue	
Unit of competency	Evaluate the effectiveness of an assessment system D1.HRD.CL9.07 D1.HHR.CL8.08
Dates of observation	
Instructions	<ol style="list-style-type: none"> 1. Over a period of time observe the student completing each of the following tasks: <ol style="list-style-type: none"> a) Plan the evaluation of the assessment system b) Undertake the evaluation of the assessment system c) Prepare an evaluation report 2. Enter the date on which the tasks were undertaken 3. Place a tick in the box to show they completed each aspect of the task to the standard expected in the enterprise 4. Complete the feedback sections of the form, if required.

Did the candidate	Yes	No
Element 1: Plan the evaluation of the assessment system		
Identify the purpose and role of the evaluation	<input type="checkbox"/>	<input type="checkbox"/>
Define the assessment system	<input type="checkbox"/>	<input type="checkbox"/>
Identify the needs of the stakeholders	<input type="checkbox"/>	<input type="checkbox"/>
Identify and obtain resources to enable the evaluation	<input type="checkbox"/>	<input type="checkbox"/>
Develop an evaluation plan	<input type="checkbox"/>	<input type="checkbox"/>
Determine the evidence that needs to be captured during the evaluation	<input type="checkbox"/>	<input type="checkbox"/>
Define the criteria for determining the effectiveness of the assessment system	<input type="checkbox"/>	<input type="checkbox"/>

Did the candidate	Yes	No
Element 1: Plan the evaluation of the assessment system		
Identify cost-effective methods for capturing and analysing evaluation data	<input type="checkbox"/>	<input type="checkbox"/>
Develop tools to capture identified evidence regarding the effectiveness of the assessment system	<input type="checkbox"/>	<input type="checkbox"/>
Element 2: Undertake the evaluation of the assessment system		
Trial the data gathering tools and techniques	<input type="checkbox"/>	<input type="checkbox"/>
Revise the data gathering tools and techniques on the basis of trials conducted	<input type="checkbox"/>	<input type="checkbox"/>
Collect the identified evidence in accordance with the approved evaluation plan	<input type="checkbox"/>	<input type="checkbox"/>
Store data	<input type="checkbox"/>	<input type="checkbox"/>
Analyse the data	<input type="checkbox"/>	<input type="checkbox"/>
Element 3: Prepare an evaluation report		
Produce a written evaluation report	<input type="checkbox"/>	<input type="checkbox"/>
Distribute report to stakeholders for comment	<input type="checkbox"/>	<input type="checkbox"/>
Make a verbal presentation to support the report	<input type="checkbox"/>	<input type="checkbox"/>
Gather feedback on the report	<input type="checkbox"/>	<input type="checkbox"/>
Revising draft recommendations on the basis of feedback received	<input type="checkbox"/>	<input type="checkbox"/>
Determine action to be taken as a result of the evaluation	<input type="checkbox"/>	<input type="checkbox"/>
Did the student's overall performance meet the standard?	<input type="checkbox"/>	<input type="checkbox"/>

Feedback to student and trainer/assessor			
Strengths:			
Improvements needed:			
General comments:			
Candidate signature		Date	
Assessor signature		Date	

Third Party Statement

Student name:			
Name of third party:		Contact no	
Relationship to student:	<input type="checkbox"/> Employer <input type="checkbox"/> Supervisor <input type="checkbox"/> Colleague <input type="checkbox"/> Other <i>Please specify: _____</i> <i>Please do not complete the form if you are a relative, close friend or have a conflict of interest]</i>		
Unit of competency:	Evaluate the effectiveness of an assessment system D1.HRD.CL9.07 D1.HHR.CL8.08		
<p>The student is being assessed against industry competency standards and we are seeking your support in the judgement of their competence.</p> <p>Please answer these questions as a record of their performance while working with you. Thank you for your time.</p>			
Do you believe the trainee has demonstrated the following skills? <i>(tick the correct response]</i>	Yes	No	Not sure
Identifies the purpose and role of evaluation and defines the assessment system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Identifies stakeholder needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Identifies and obtains resources to enable evaluation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Develop evaluation plans determining evidence to be captured	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Defines criteria for determining effectiveness of assessment system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Identifies cost-effective options and supporting tools for capturing and analysing evaluation data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trials and revises data gathering tools and techniques on basis of trials	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Collects evidence in accordance with an evaluation plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stores and analyses captured data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Produces and distributes a written evaluation report with draft recommendations to stakeholders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Makes a verbal presentation to support the written report and gathers feedback on the report	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Revises draft recommendations as necessary on the basis of feedback received from stakeholders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Determines action to be taken to the assessment system on the basis of the final evaluation results	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments/feedback from Third Party to Trainer/Assessor:			
Third party signature:	Date:		
Send to:			

Competency Recording Sheet

Name of Student			
Name of Assessor/s			
Unit of Competency	Evaluate the effectiveness of an assessment system	D1.HRD.CL9.07	D1.HHR.CL8.08
Date assessment commenced			
Date assessment finalised			
Assessment decision	Pass Competent / Not Yet Competent (Circle one)		
Follow up action required (Insert additional work and assessment required to achieve competency)			
Comments/observations by assessor/s			

Place a tick (✓) in the column to reflect evidence obtained to determine Competency of the student for each Performance Criteria.

Element & Performance Criteria	Observation of skills	3rd Party Statement	Oral Questions	Written Questions	Work Projects	Other
Element 1: Plan the evaluation of the assessment system						
Identify the purpose and role of the evaluation						
Define the assessment system						
Identify the needs of the stakeholders						
Identify and obtain resources to enable the evaluation						
Develop an evaluation plan						
Determine the evidence that needs to be captured during the evaluation						
Define the criteria for determining the effectiveness of the assessment system						
Identify cost-effective methods for capturing and analysing evaluation data						
Develop tools to capture identified evidence regarding the effectiveness of the assessment system						

Place a tick (✓) in the column to reflect evidence obtained to determine Competency of the student for each Performance Criteria.

Element & Performance Criteria	Observation of skills	3rd Party Statement	Oral Questions	Written Questions	Work Projects	Other
Element 2: Undertake the evaluation of the assessment system						
Trial the data gathering tools and techniques						
Revise the data gathering tools and techniques on the basis of trials conducted						
Collect the identified evidence in accordance with the approved evaluation plan						
Store data						
Analyse the data						
Element 3: Prepare an evaluation report						
Produce a written evaluation report						
Distribute report to stakeholders for comment						
Make a verbal presentation to support the report						
Gather feedback on the report						

Revising draft recommendations on the basis of feedback received						
Determine action to be taken as a result of the evaluation						
Candidate signature				Date		
Assessor signature				Date		

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