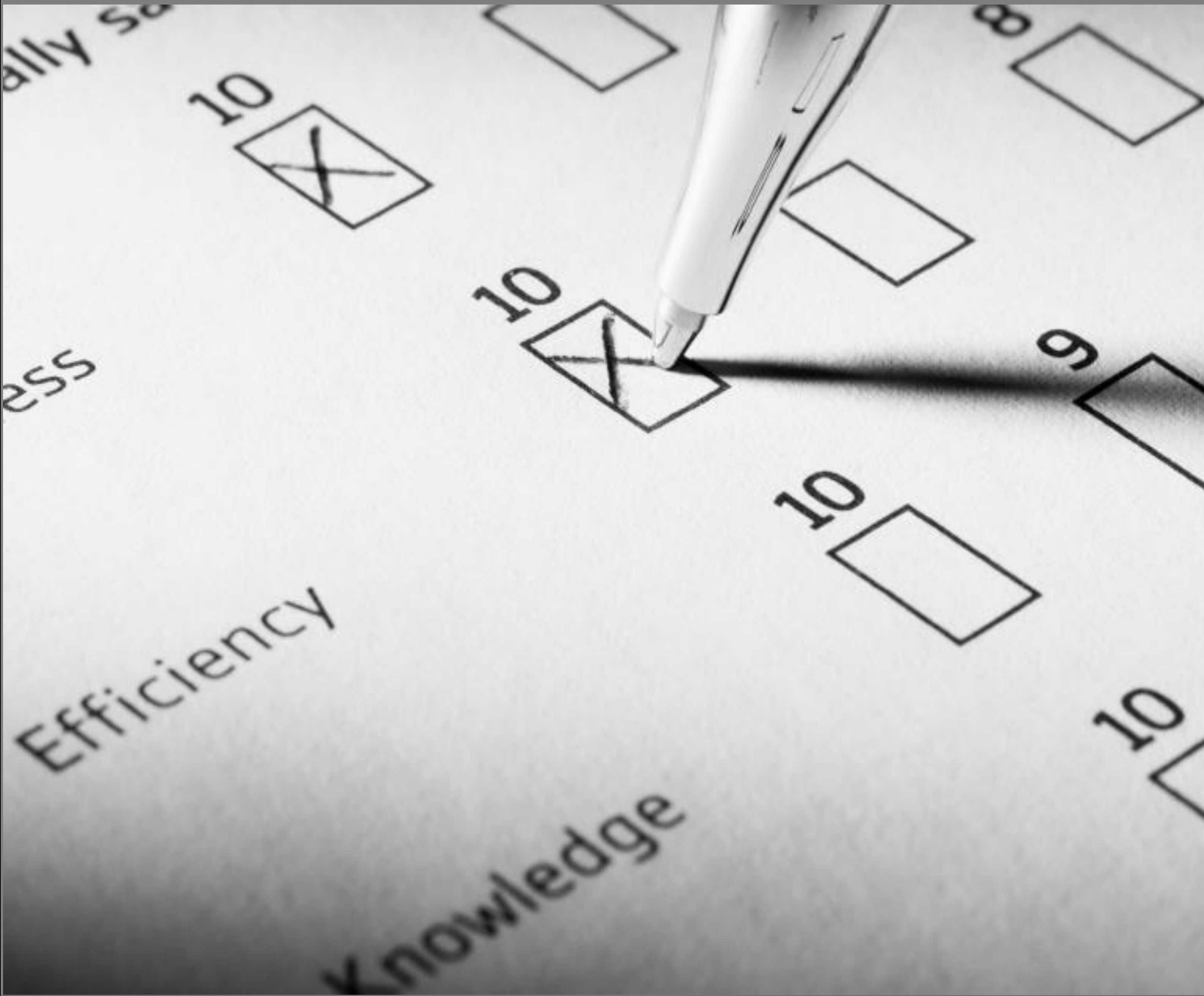
Plan, conduct and evaluate a staff performance assessment

D1.HRD.CL9.02
D1.HHR.CL8.01
D2.TRD.CL8.03

Assessor Manual



Australian Aid
asean
William Angliss Institute
Specialist centre for foods, tourism & hospitality

Plan, conduct and evaluate a staff performance assessment

D1.HRD.CL9.02
D1.HHR.CL8.01
D2.TRD.CL8.03

Assessor Manual

Project Base

William Angliss Institute of TAFE
555 La Trobe Street
Melbourne 3000 Victoria
Telephone: (03) 9606 2111
Facsimile: (03) 9670 1330

Acknowledgements

Project Director:	Wayne Crosbie
Chief Writer:	Alan Hickman
Subject Writers:	Alan Hickman, Nick Hyland
Project Manager	Alan Maguire
/Editor:	Alan Maguire
DTP/Production	Daniel Chee, Mai Vu, Jirayu Thangcharoensamut, Kaly Quach

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 Priority Tourism Labour Division”.

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

Copyright: Association of Southeast Asian Nations (ASEAN) 2012.

All rights reserved.

Disclaimer

Every effort has been made to ensure that this publication is free from errors or omissions. However, you should conduct your own enquiries and seek professional advice before relying on any fact, statement or matter contained in this book. The ASEAN Secretariat and William Angliss Institute of TAFE are not responsible for any injury, loss or damage as a result of material included or omitted from this course. Information in this module is current at the time of publication. Time of publication is indicated in the date stamp at the bottom of each page.

Some images appearing in this resource have been purchased from stock photography suppliers Shutterstock and iStockphoto and other third party copyright owners and as such are non-transferable and non-exclusive. Clip arts, font images and illustrations used are from the Microsoft Office Clip Art and Media Library. Some images have been provided by and are the property of William Angliss Institute.

Additional images have been sourced from Flickr and SXC and are used under Creative Commons licence: http://creativecommons.org/licenses/by/2.0/deed.en

File name: AM_Plan_conduct_&_evaluate_staff_pa_refined.docx

Table of Contents

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/audiotapes
- Log books
- Projects and Role plays

© ASEAN 2012

- 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'.

© ASEAN 2012

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

© ASEAN 2012

- 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.

© ASEAN 2012

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

© ASEAN 2012

- 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

© ASEAN 2012

- 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

© ASEAN 2012

- 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.

© ASEAN 2012

Competency Standard

UNIT TITLE: PLAN, CONDUCT AND EVALUATE A STAFF PERFORMANCE ASSESSMENT	NOMINAL HOURS: 60 hours
UNIT NUMBER D1.HRD.CL9.02 D1.HHR.CL8.01 D2.TRD.CL8.03	
UNIT DESCRIPTOR: This unit deals with skills and knowledge required to plan, conduct and evaluate a staff performance assessment within an organization that utilizes formal staff appraisals.	
ELEMENTS AND PERFORMANCE CRITERIA	**UNIT VARIABLE AND ASSESSMENT GUIDE**
Element 1: Plan a staff performance assessment **1.1** *Define the context for staff performance assessment* for the business **1.2** Differentiate between *staff performance assessment options* available to the organization **1.3** *Share staff performance assessment information amongst staff* who will be assessed **1.4** *Determine the initial focus of the staff performance assessment* for each staff member **1.5** *Prepare documents to record identified staff performance assessment statistics and performance data* **1.6** *Design action plan* to guide the conduct of staff performance assessments	**Unit Variables** 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. This unit applies to all industry sectors that apply internal staff performance appraisals and assessments within the labour divisions of the hotel and travel industries and may include: 1. Front Office 2. Housekeeping 3. Food and Beverage Service 4. Food Production 5. Travel Agencies 6. Tour Operation *Define the context for staff performance assessment* may include: • Aligning individual staff performance with organizational and/or departmental goals and objectives as stated in the business and other relevant operational plans • Optimizing individual staff potential

Element 2: Conduct a staff performance assessment **2.1** *Gather workplace-based evidence* of staff performance **2.2** *Interpret employee performance data* **Element 3: Evaluate a staff performance assessment** **3.1** *Prepare for the staff performance assessment interview* **3.2** *Review individual staff performance* with staff member **3.3** *Prepare staff performance assessment targets for next period*	• Identifying workplace performance goals for individual staff • Cross-referencing individual staff performance against general workplace needs, including requirements of rosters, levels of trade, idiosyncratic workplace requirements • Integrating requirements of individual staff performance with internal staff training. *Staff performance assessment options* should include: • Criterion referenced measurement • Self-assessment • Peer assessment • Manager/owner observation • Statistical analysis • Rating scale methods • Ranking or comparison methods • Commercially available proprietary systems. Share staff performance assessment information amongst staff may include: • Mentioning organization-wide staff performance assessment at all interviews conducted for new staff • Including mention of staff performance assessment in regular staff activities, including internal training, briefings, meetings, etc • Explaining that the staff performance assessment process applies to all employees within the business, including supervisors, managers, etc • Explaining that the staff performance assessment process is on-going and cyclical in nature • Talking to individual staff, including one-on-one basis to: ▪ Determine the focus of the staff performance assessment for the up-coming period

© ASEAN 2012

	▪ Explaining the support available for staff ▪ Re-assuring staff that jobs are not threatened by the staff performance assessment process ▪ Confirm that all staff, including management, are subject to staff performance assessment • Notifying staff well in advance of any meetings and special events relating to staff performance assessments • Using experienced/senior staff to assist in 'selling the benefits' of staff performance assessments to new staff • Developing individual staff performance assessment deed/workplace contract, setting out the agreement between employee and supervisor exactly what will be assessed and how it will be adjudged during the identified period in terms of targeted staff performance. Determine the initial focus of the staff performance assessment should include: • Understanding that future staff performance assessment deed/workplace contracts will flow from the results of the initial staff performance assessment • Identifying legitimate and equitable targets for the staff member, including negotiation of these targets and genuine agreement on what will count as practical and objective targets • Ensuring staff understand the criteria that will be used to judge their workplace performance, including specification and description of Key Performance Indicators (KPIs), performance targets, etc • Getting staff to sign their copy of the staff performance assessment deed/workplace contract • Filing a copy of each staff performance assessment deed/workplace contract • Giving individual staff members a copy of the paperwork associated with their agreed individual deed/workplace contract.

	Prepare documents to record identified staff performance assessment statistics and performance data should relate to: • Preparing checklists • Preparing data collection forms. Design action plan should include: • Identifying resources to support individual staff performance assessments • Identifying timelines for individual staff performance assessments, including dates and hours required for training and other necessary pre-requisite information to be learned, informal staff assessment interviews/meetings, mentoring, external training, as appropriate • Identifying personnel responsible for activities contained in the plan • Identifying activities to be used during the identified staff performance assessment period • Obtaining agreement from individual staff that their staff performance assessment deed/workplace contract contains legitimate and achievable goals and timelines. Gather workplace-based evidence may include: • Implementing the individual and agreed action plans for individual staff • Ensuring informal elements of workplace performance are included in the capturing of the formal workplace information • Using prepared forms to ensure the identified data is captured • Using multiple sources of data collection to ensure 360º information is obtained • Ensuring objectivity in data collection • Involving relevant others in the data gathering process.

© ASEAN 2012

	Interpret employee performance data may include: • Determining patterns within the data • Identifying strengths and weaknesses of individual staff • Making decisions and developing conclusions based on the objective data captured • Seeking supporting information to validate conclusions reached • Disregarding irrelevant data • Comparing actual performance data against specified and identified targets and statistics • Maintaining privacy and confidentiality of information captured. Prepare for the staff performance assessment interview may include: • Developing a plan on how to conduct the staff performance assessment interview • Ensuring familiarity with the facts that relate to the individual staff performance assessment, including the captured data, the key performance indicators (KPIs) contained in the relevant staff performance assessment deed/workplace contract • Determining the context of the staff performance assessment deed/workplace contract, including identification of the need for encouragement, congratulations, extension, disciplinary action etc • Identifying specific supporting evidence to be used in illustrating points that need to be made during the interview • Identifying future courses of action that may be taken for the staff member during their next staff performance assessment period • Preparing recommendations to make to individual staff • Identifying a location and time for the evaluation/staff performance assessment interview, including the venue so that it facilitates a positive interaction between staff member and supervisor.

	Review individual staff performance may include: • Meeting privately with individual staff member • Reviewing the objectives set out in the individual staff performance assessment deed/workplace contract for the period • Reminding the staff member of the cyclical nature of the staff performance assessment process • Explaining the data, facts, statistics that have been captured in relation to the identified targets for the period in question • Explaining interpretation of facts and statistics • Providing opportunity for the staff member to make input and comment on the information/data provided • Congratulating the staff member on positive outcomes • Encouraging staff member where performance has fallen short of the identified key performance criteria (KPIs) set for the period, where appropriate • Counselling staff member where it is deemed actual staff performance has fallen short of agreed criteria/ key performance criteria (KPIs) due to lack of application, including supportive mention of disciplinary action that may follow if performance does not improve to the minimum required level • Offering support of the organization and the staff for staff to achieve the required performance standards and targets. Prepare staff performance assessment targets for next period may include: • Extending current targets • Introducing a new focus for the period, including inclusion of new key performance criteria (KPIs) as opposed to revised key performance criteria (KPIs) • Determining timelines that should apply to the targets/ key performance criteria (KPIs)

© ASEAN 2012

	• Identifying support and resources to assist in achieving the targets/ key performance criteria (KPIs) • Obtaining agreement from the staff member regarding the revised/new goals, support and timelines • Signing the new staff performance assessment deed/workplace contract for the period • Giving staff member signed copy of the staff performance assessment deed/workplace contract • Filing the staff performance assessment deed/workplace contract. **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 staff performance assessment and staff development • Ability to apply the principles of various staff performance assessment options • Ability to use meetings, communication, negotiation, counselling and workplace monitoring techniques • Knowledge of documentation that can be used to guide workplace staff performance and capture relevant data • Ability to record and analyse workplace data relating to staff performance • Ability to plan and schedule workplace staff performance activities, including training, practice sessions, mentoring, coaching, off-the-job training, drill • Ability to plan for and conduct staff counselling and workplace performance sessions/interviews. **Linkages To Other Units** • Work effectively with colleagues and customers • Work in a socially diverse environment

	• Manage an assessment system for training outcomes • Monitor and evaluate the effectiveness of training outcomes • Lead and manage people • Manage the effective use of human resources • Monitor staff performance • Provide professional support to business colleagues • Recruit and select staff • Implement, monitor and evaluate a training and development program • Plan and promote a training courses • Review training outcomes • Apply industry standards to team supervision • Lead and manage a development team • Manage workplace diversity • Manage and maintain workplace relations • Monitor workplace operations. **Critical Aspects of Assessment** Evidence of the following is essential: • Understanding of host enterprise policies and procedures in regard to staff performance assessment and staff development • Demonstrated ability to plan the staff performance assessment focus for a nominated real or simulated staff member in a designated workplace environment for a given period

© ASEAN 2012

	• Demonstrated ability to collect, analyse and draw conclusions from information and data captured as a result of a nominated staff performance assessment for a given period • Demonstrated ability to conduct an evaluation and feedback session/interview with a nominated real or simulated staff member in relation to a designated set of key performance criteria (KPIs) matched against a nominated set of key performance criteria (KPIs). **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. **Assessment Methods** The following methods may be used to assess competency for this unit: • Case studies • Observation of practical candidate performance • Oral and written questions • Portfolio evidence • Problem solving • Role plays • Third party reports completed by a supervisor • Project and assignment work.

	Key Competencies in this Unit *Level 1 = competence to undertake tasks effectively* *Level 2 = competence to manage tasks* *Level 3 = competence to use concepts for evaluating*		
	Key Competencies	**Level**	**Examples**
	Collecting, organizing and analysing information	3	Capture information and data on staff workplace performance
	Communicating ideas and information	2	Share information about staff performance assessment procedures, etc with staff
	Planning and organizing activities	2	Schedule staff performance assessment, including interviews and the capturing of evidence
	Working with others and in teams	2	Liaise with staff to integrate staff performance assessment into normal workplace activities
	Using mathematical ideas and techniques	1	Manipulate captured data to draw valid conclusions
	Solving problems	2	Determine how to assist staff achieve their optimum workplace performance
	Using technology	1	Use software programs to generate checklists and to record captured data

© ASEAN 2012

Oral Questions

Student name	
Assessor name	
Location/venue	
Unit of competency	Plan, conduct and evaluate a staff performance assessment D1.HRD.CL9.02 D1.HHR.CL8.01 D2.TRD.CL8.03
Instructions	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. Tell me about the context for staff performance assessments in your workplace.	❑	❑
2. What different staff performance assessment options exist/have been used in your workplace?	❑	❑

Questions	Response	
	PC	NYC
3. How do you share information about the staff performance assessment process with staff who are going to have their workplace performance assessed?	❑	❑
4. How do you determine the initial focus for individual staff members for their first staff performance assessment?	❑	❑
5. What documents do you prepare to capture/record data in relation to staff performance assessments at your workplace?	❑	❑

Questions	Response	
	PC	NYC
6. Tell me what is involved in a typical action plan you develop to guide the conduct of a staff performance assessment at your workplace.	❑	❑
7. Tell me about the evidence you collect when conducting a workplace staff performance assessment: what data, statistics etc do you gather and how do you capture that information/evidence?	❑	❑
8. Explain to me how you analyse and interpret the information/evidence you obtain when conducting a workplace staff performance assessment: what do you look for? How do you make sense of the information/evidence?	❑	❑

Questions	Response	
	PC	NYC
9. What do you do when preparing to meet with a staff member to discuss their workplace performance as a result of staff performance assessment?	❑	❑
10. Describe the process/es you undertake when meeting with a staff member to discuss the results of their staff performance appraisal/assessment.	❑	❑
11. What do you take into account when determining subsequent topics to be the focus of further staff performance assessments following the initial appraisal/assessment?	❑	❑

© ASEAN 2012

Written Questions

Plan, conduct and evaluate a staff performance assessment – D1.HRD.CL9.02 D1.HHR.CL8.01 D2.TRD.CL8.03

Student Name: ____

Answer all the following questions and submit to your Trainer.

1. What is a standard of performance?

 ____

 ____

2. What are two documents that will identify standards of performance?

 ____

 ____

 ____

 ____

3. What are three ways to monitor and assess staff performance?

 ____

 ____

 ____

 ____

4. What are two people who normally perform staff assessments?

 ____

 ____

 ____

5. What are three pieces of information a person conducting assessment need to know?

 ____

 ____

 ____

 ____

6. What are three pieces of information a person who is being assessed needs to know?

____

____

____

____

7. What is a performance indicator?

____

8. What are two areas or examples of performance indicators?

____

____

____

____

9. What are two performance indicators you would develop under the area of 'quantity' in a food and beverage department?

____

____

____

____

10. Who are two people who will prepare assessment documents and why are the ones chosen to do so?

____

____

____

____

11. Checklists are a great tool to assess staff performance. What are two benefits of using a checklist?

____

____

____

____

© ASEAN 2012

12. Ranking method is one method used to assess staff performance. Please explain this method. Please provide one advantage and a disadvantage of this method.

____

____

____

____

13. Having an action plan checklist helps identify the tasks to perform before, during and after a staff assessment.

    What are two tasks to be performed <u>before</u> a staff assessment?

____

____

____

____

14. What are two tasks to be performed <u>during</u> a staff assessment?

____

____

____

____

15. What are two tasks to be performed <u>after</u> a staff assessment?

____

____

____

____

16. Answer 'True' or 'False' to the following statement: Staff are not allowed to assess themselves in any form.

    True ❑ False ❑

17. Answer 'True' or 'False' to the following statement: Human resources normally conduct a staff performance.

    True ❑ False ❑

18. When interpreting performance data, at times you may identify poor performance. This is a result of either employee qualities or organisational qualities.

19. What are two reasons why the organisation may responsible for poor performance?

20. What is the difference between performance assessment and performance appraisal?

21. What are three purposes of a performance appraisal?

22. What are two categories you would include in a staff appraisal and why?

© ASEAN 2012

23. What are three ‘technical skills’ you would include in a staff appraisal for a receptionist?

____

____

____

____

24. When conducting a performance appraisal one potential judgement problem is ‘recency’. What does this mean?

____

____

____

____

25. What is two way communication and how is it done in a performance appraisal?

____

____

____

____

26. What are two points to remember when giving feedback to staff?

____

____

____

____

27. Answer ‘True’ or ‘False’ to the following statement: It is important that both the manager and staff member reach an agreement on a staff member’s performance during the appraisal.

True ❑ False ❑

28. When developing an action plan for development, what are some aspects to consider?

____

____

____

29. Recognition and reward is an approach taken for good performance. What are two examples of rewards that can be given to staff?

30. What are two approaches that can be taken for poor performance?

© ASEAN 2012

Answers to Written Questions

Plan, conduct and evaluate a staff performance assessment – D1.HRD.CL9.02 D1.HHR.CL8.01 D2.TRD.CL8.03

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. What is a standard of performance?

A standard of performance is the desired level of expected quality or quantity of work performance.

2. What are two documents that will identify standards of performance?

Standards of performance can be documented in either:

- A job description
- An employment contract
- Company policy documents
- Induction and orientation.

3. What are three ways to monitor and assess staff performance?

- Direct observation
- Discussion with others
- Portfolio of evidence
- Oral or written questions
- Demonstration
- Documentation evidence.

4. What are two people who normally perform staff assessments?

- Manager assessment
- Self assessment
- Peer assessment
- Team assessment
- Assessment Center
- 360-Degree or “Full-Circle”
- MBO (Management by Objectives).

5. What are three pieces of information a person conducting assessment need to know?

- When the assessment takes place
- Who will be being assessed
- The location of assessment
- Time allocated for assessment
- The assessment process
- Resources to be prepared for the assessment
- How to conduct as assessment
- Instructions to be given to the assessee
- What background information the assessee has received to date
- What preparation documents prepared by assessee must be collected.
- Documents in which assessment will be recorded
- What needs to be recorded
- The criteria for marking assessment
- Instructions to be given to assessee after the assessment
- Where completed documents must be given to after the assessment.

6. What are three pieces of information a person who is being assessed needs to know?

- The purpose of the assessment
- When the assessment will be taken place
- How long the assessment will take
- The location of the assessment
- The assessment process
- What will be assessed
- Who will be conducting the assessment
- What they need to prepare before the assessment
- What they need to bring to the assessment
- The steps following the assessment.

7. What is a performance indicator?

A level of performance against which a person will be measured against.

© ASEAN 2012

8. What are two areas or examples of performance indicators?

- Quantity
- Quality
- Time
- Profitability
- Absenteeism
- Creativity, initiative
- Following rules
- Personal characteristics
- Personal appearance and grooming.

Alternatively, student may provide actual examples under one of the above areas.

9. What are two performance indicators you would develop under the area of 'quantity' in a food and beverage department?

- Number of meals sold
- Amount of drinks sold
- Amount of tables served
- Amount of customers served
- Amount of revenue made.

10. Who are two people who will prepare assessment documents and why are the ones chosen to do so?

- Head office – they will have templates which are used company-wide to ensure consistency
- Human Resources – they have the ability to prepare necessary documents, resources (access to job descriptions and specifications) and specific knowledge to ensure the format meets the requirements of the specific hotel and chain
- Departmental or outlet managers – they have a sound understanding of what the individual tasks their staff do as part of their job role.

11. Checklists are a great tool to assess staff performance. What are two benefits of using a checklist?

- No aspect of the job is left out of the assessment process when a comprehensive checklist is used
- Consistency across all staff whose performance is being monitored – all staff are evaluated against the same criteria
- Subjectivity in monitoring – the areas to be checked are dictated by the checklist and not by the whim of the supervisor
- It ensures a written record of assessment has taken place.

12. Ranking method is one method used to assess staff performance. Please explain this method. Please provide one advantage and a disadvantage of this method.

This method simply involves ranking employees in your section from best to worst.

Advantages: simple; easy to understand; inexpensive; not time consuming

Disadvantages: subjective; does not provide good feedback to the employee

13. Having an action plan checklist helps identify the tasks to perform before, during and after a staff assessment.

What are two tasks to be performed <u>before</u> a staff assessment?

- Agree to need for assessment
- Identify which departments involved
- Agree types of jobs to be assessed
- Identify key performance indicators
- Identify type of assessment
- Identify person to assess
- Identify staff members to be assessed
- Identify time and dates of assessment
- Prepare schedule for staff assessment
- Notify all people associated with assessment
- Prepare assessment documentation
- Distribute assessment documentation
- Arrange information sessions / meetings
- Prepare assessment logistics.

14. What are two tasks to be performed during a staff assessment?

- Prepare assessment area including resources
- Introduce assessment
- Explain assessment process
- Ask assessee if they have questions
- Conduct and record assessment
- Collect assessment document from assessee
- Explain next step to assessee
- Conclude assessment
- Clean assessment area.

© ASEAN 2012

15. What are two tasks to be performed after a staff assessment?

- Collect other evidence prepared by different people
- Interpret assessment data
- Finalise assessment documents
- Prepare staff appraisal documents
- Schedule staff appraisals
- Notify staff of appraisal times
- Issue staff appraisal documents
- Prepare appraisal area including catering
- Conclude appraisal
- Arrange follow up activities including counselling sessions, training programs etc
- File documentation in appropriate location.

16. Answer 'True' or 'False' to the following statement: Staff are not allowed to assess themselves in any form.

The answer is false.

17. Answer 'True' or 'False' to the following statement: Human resources normally conduct a staff performance.

The answer is false.

18. When interpreting performance data, at times you may identify poor performance. This is a result of either employee qualities or organisational qualities.

What are two reasons why the employee may responsible for poor performance?

These sources stem from the employee themselves and can include:

- Problems of capacity, where the employee does not have the required aptitude or orientation for the tasks involved in the job, defects of judgment or memory
- Family related problems, such as marital problems, children, elderly dependant relatives, money problems, isolation from family
- Psychological problems, such as drug abuse (including alcohol), gambling, irrational fears, depression, aggressive behavior stemming from self image problems
- Physical problems, such as lack of energy, restricted movement, pain or illness.

19. What are two reasons why the <u>organisation</u> may responsible for poor performance?

- Problems with higher decisions and policies, such as a person placed in the wrong position, insufficient organisational action over a grievance, organisational over-permissiveness
- Impact of supervisors, such as leadership style, bad communication or instruction, inappropriate managerial standards or criteria, discrimination and a lack of managing diversity
- Problems with peers, such as harassment, bullying, problems with team cohesion and acceptance, discrimination and hazing (peers not telling the employee everything they need to know to do their job)
- Problems from the work context, such as geographic location, bad physical work environment, unsafe conditions and work processes, problems with the way the job is performed.

20. What is the difference between performance assessment and performance appraisal?

A performance assessment focuses on assessing a person's performance based on a range of performance indicators. It has looked at WHAT the person is actually doing.

A performance appraisal involves the manager (who may be different from the person who actually conducted the assessment) and the staff member and discussing the performance assessment including:

- Identify and discuss aspects of performance, both positive and negative
- Understand why performance is conducted a specific way
- Identify causes for performance not meeting standard
- Discuss and identify how performance can be improved.

21. What are three purposes of a performance appraisal?

- To improve and maintain performance
- To correct performance deficits
- To reward, recognise and compensate
- To strengthen relationships between supervisor and subordinates
- To share information
- To align employees with goals
- To facilitate succession and replacement planning
- To provide career planning
- To identify training needs
- To provide an outlet for grievances
- To check effectiveness of personnel policies.

© ASEAN 2012

22. What are two categories you would include in a staff appraisal and why?

- Technical skills – the actual knowledge and skills they need to undertake their job role. They originate from a Job Description
- Performance skills – these are personal characteristics that a person needs to do their job successfully. This originates from a Job Specification
- Goal setting – this is to be completed by the staff member. It enables them to identify where they feel they need to improve and what personal development training they may desire to completed
- Management appraisal – this allows staff to appraise managers. Remember this is a two way communication system and most management would also like to receive feedback on their performance and they can help staff success in their roles.

23. What are three 'technical skills' you would include in a staff appraisal for a receptionist?

The answered would be varied but could include:

- Organisational knowledge
- Knowledge of room types
- Knowledge of room rates
- Knowledge of packages
- Check in procedures
- Preparing keys
- Taking credit card imprint
- Conducting a pre-authorisation
- Computer skills.

24. When conducting a performance appraisal one potential judgement problem is 'recency'. What does this mean?

This is where managers make judgments on what was done only recently. Managers should remember to rate the person over the whole period of the appraisal time (e.g. over the full year) rather than rely on recent performance only.

25. What is two way communication and how is it done in a performance appraisal?

Two way communication is when both managers and staff are able to give their comments, suggestions and are able to appraise the performance of each other.

It should be a two way communication process which provides honest information, with the performance of both the manager and staff member being discussed.

26. What are two points to remember when giving feedback to staff?

- Provide feedback as close to the desired performance as possible – this enables the employee to closely link what they have done with the outcome
- Provide feedback frequently – letting employees know how well they are performing is a good habit for a manager to have
- Be specific and use facts
- Discuss behaviors – not personalities
- Use simple, straight-forward language – get to the point and make the point.

27. Answer 'True' or 'False' to the following statement: It is important that both the manager and staff member reach an agreement on a staff member's performance during the appraisal.

The answer is true.

28. When developing an action plan for development, what are some aspects to consider?

- Action Description - what type of action will be required
- Approach – what approach will be used
- Resources Required
- Mgt Assistance
- Start Date
- Completion Date
- Review Date.

29. Recognition and reward is an approach taken for good performance. What are two examples of rewards that can be given to staff?

- Financial compensation:
  - Payment for course fees, books, travel, accommodation
  - A one-off cash payment
  - Allowing the staff member to be given a discount
  - Giving the person a pay raise
- Verbal praise
- Certificates and letters
- Free products and services
- Promotions
- Time off
- Encouraging attendance at events
- Promoting industry nomination.

© ASEAN 2012

30. What are two approaches that can be taken for poor performance?

- Support
- Guidance
- Counselling
- Training
- Coaching
- Disciplinary action.

© ASEAN 2012

Observation Checklist

Student name	
Assessor name	
Location/venue	
Unit of competency	Plan, conduct and evaluate a staff performance assessment D1.HRD.CL9.02 D1.HHR.CL8.01 D2.TRD.CL8.03
Dates of observation	
Instructions	1. Over a period of time observe the student completing each of the following tasks: a) Plan a staff performance assessment b) Conduct a staff performance assessment c) Evaluate a staff performance assessment 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 a staff performance assessment		
Define the context for staff performance assessment for the business	❑	❑
Differentiate between staff performance assessment options available to the organization	❑	❑
Share staff performance assessment information amongst staff who will be assessed	❑	❑
Determine the initial focus of the staff performance assessment for each staff member	❑	❑
Prepare documents to record identified staff performance assessment statistics and performance data	❑	❑
Design action plan to guide the conduct of staff performance assessments	❑	❑

Element 2: Conduct a staff performance assessment		
Gather workplace-based evidence of staff performance	❑	❑
Interpret employee performance data	❑	❑
Element 3: Evaluate a staff performance assessment		
Prepare for the staff performance assessment interview	❑	❑
Review individual staff performance with staff member	❑	❑
Prepare staff performance assessment targets for next period	❑	❑
Did the student's overall performance meet the standard?	❑	❑

Feedback to student and trainer/assessor
Strengths:
Improvements needed:

© ASEAN 2012

General comments:			
Candidate signature		**Date**	
Assessor signature		**Date**	

© ASEAN 2012

Third Party Statement

Student name:			
Name of third party:		**Contact no**	
Relationship to student:	❑ Employer ❑ Supervisor ❑ Colleague ❑ Other *Please specify:*____ *Please do not complete the form if you are a relative, close friend or have a conflict of interest]*		
Unit of competency:	Plan, conduct and evaluate a staff performance assessment D1.HRD.CL9.02 D1.HHR.CL8.01 D2.TRD.CL8.03		

The student is being assessed against industry competency standards and we are seeking your support in the judgement of their competence.

Please answer these questions as a record of their performance while working with you. Thank you for your time.

Do you believe the trainee has demonstrated the following skills? *(tick the correct response]*	**Yes**	**No**	**Not sure**
Defines the context for staff performance assessment for the business and differentiates between available staff performance assessment options	❑	❑	❑
Plans and shares information about staff performance assessments with necessary personnel	❑	❑	❑
Determines focus of staff performance assessment for individual staff members	❑	❑	❑
Prepares supporting documents to record identified staff performance assessment statistics and performance data	❑	❑	❑
Designs action plan/s to guide the conduct of staff performance assessments	❑	❑	❑
Conducts staff performance assessments by gathering and interpreting workplace-based evidence of staff performance	❑	❑	❑
Evaluates staff performance assessments by conducting staff performance assessment interviews, reviewing individual staff performance with employees and preparing staff performance assessment targets for next period	❑	❑	❑

Comments/feedback from Third Party to Trainer/Assessor:	
Third party signature:	**Date:**
Send to:	

© ASEAN 2012

Competency Recording Sheet

Name of Student		
Name of Assessor/s		
Unit of Competency	Plan, conduct and evaluate a staff performance assessment	D1.HRD.CL9.02 D1.HHR.CL8.01 D2.TRD.CL8.03
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 a staff performance assessment						
Define the context for staff performance assessment for the business						
Differentiate between staff performance assessment options available to the organization						
Share staff performance assessment information amongst staff who will be assessed						
Determine the initial focus of the staff performance assessment for each staff member						
Prepare documents to record identified staff performance assessment statistics and performance data						
Design action plan to guide the conduct of staff performance assessments						
Element 2: Conduct a staff performance assessment						
Gather workplace-based evidence of staff performance						
Interpret employee performance data						

© ASEAN 2012

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 3: Evaluate a staff performance assessment						
Prepare for the staff performance assessment interview						
Review individual staff performance with staff member						
Prepare staff performance assessment targets for next period						

Candidate signature:		**Date:**	
Assessor signature:		**Date:**	

William Angliss Institute

Specialist centre for foods, tourism & hospitality

asean

Australian Aid