Unit	1056
Title	Describe Competency Based Training and Assessment
Document type	Learning Resource

BC **Forest Safety**

In consultation with industry subject matter experts, the BC Forest Safety Council (BCFSC) facilitated the production of this material.

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Unit Introduction

By the end of this unit you will be able to demonstrate knowledge of:

- Competency Based Systems
- Elements and Dimension of Competency
- Evidence, Rules of Evidence & Principles of Assessment
- Assessment
- Ethics

Section 1056-1: Elements and Dimensions of Competency

What you will learn in this section

By the end of this section you will be able to demonstrate knowledge of the following key points:

1.1 Advantages of competency-based systems

1.2 Components of a Unit of Competency

1.3 Frameworks and their application in assessment

1.4 Holistic assessment and its application

Key Point 1.1: Advantages of Competency-Based Systems

Assessment can be described as *the act of making a judgment about something or someone*. In competency-based training and assessment, we can add "the act of making a judgment about something or someone based on evidence directly related to outcomes that reflect a competency required to perform effectively in the workplace".

The competency-based training and assessment process recognizes outcomes, not the path taken to achieve those outcomes.
Competency is defined in part as "the ability to do an activity multiple times in a variety of contexts to a standard defined by industry". While competency does not have a time component, it is recognized that competency is achieved over time and the amount of time required for a person to become competent varies from individual to individual. Competent workers are both safe and productive.

A competency-based training and assessment process is not designed to fail candidates. It is designed to verify that the candidates have the necessary underpinning knowledge, skills, and attributes, demonstrated through evidence, to perform the routine tasks required in the workplace in a safe and effective manner.

Evidence underpins the competency training and assessment model. While the system allows for flexibility in terms of training, and assessment models, the evidence requirements to demonstrate competency in terms of outcomes remains the same.

Competency training and assessment models do not deal with abstract concepts. They focus on the skills, knowledge, and attributes required for a worker to be competent in the work environment. For example, a competency-based system would not focus on a worker's understanding of the "history of the telephone", but rather on the ability to "operate the telephone", as this is a workplace skill.

From an assessment perspective, a competency-based system:
- Makes competency meaningful to workers by relating the Units of Competency to workplace activities, procedures, and requirements including regulations where applicable
- Actively involves the Assessor, the worker, and the workplace
- Clearly identifies the evidence that the worker needs to present to prove competency
- Incorporates clear, objective, and efficient methods for collecting evidence

- Provides clear standards and procedures for making an assessment decision
- Leads to recognition of skills which may include a Certificate of Qualification.
- Gives constructive feedback, recognition for competency achieved, and advice regarding gap training
- Allows for transferability and mobility between occupations and sectors
- Incorporates procedures for quality assurance including efficient record keeping systems
- Has a Recognition of Current Competence process
- Is criterion referenced
- Is fair and flexible

Key Point 1.2: Unit of Competency

Units of Competency are statements, developed and approved by industry, that describe, in terms of outcomes, effective performance in the workplace. A group of related units for an occupation or cluster of occupations is referred to as a unit standard, library, or package. Units of Competency are used as the basis for developing both training and assessment tools. There are a variety of formats used as templates for Units of Competency, yet the list of components below is common:

- Unit title
- Unit description
- Levels or occupations
- Pre-requisites
- Elements of competency
- Competency outcomes
- Range statements
- Knowledge to be assessed
- Skills to be assessed
- Evidence requirements

The Unit of Competency related to this module will be used as an example.

Unit title

The unit title is a broad description of the unit, and is reflective of the content and workplace outcome it represents.

Unit	1056
Title	Describe Competency Based Training and Assessment
Document type	Unit of Competency

Unit description

The unit descriptor is an expansion on the information in the unit title. It provides a clear and accurate description of the purpose and intent of the unit. Any reciprocal recognition relationships with other units of competency can also be included. A unit descriptor may also include what is not in the unit if it is found within another unit.

Description	This unit is about:
	• Competency Based Systems;
	• Elements and Dimensions of Competency;

	• Evidence, Rules of Evidence, Principles of Assessment;
	• Assessment; and
	• Ethics.

Levels or occupations

Levels or occupations define the level within an occupation where there are progressive Units of Competency. Where no levels exist, this section defines which occupations the unit is relevant to.

Occupations	This unit is a component of the following occupations:
	• Assessor
	• Trainer (optional)

Prerequisites

Units that must be completed before beginning the unit are listed in this section.

Prerequisite(s)	This unit has the following prerequisites:
	• Certificate of Qualification or occupationally competent in area of training or assessment.

Elements of competency

Elements of competency are the basic building blocks of a Unit of Competency that describe the key activities or clusters of the work covered by the unit.

Performance outcomes

Performance outcomes (Competence Outcomes) are the part of a competency standard that specify the required level of performance (in terms of activities, standards and outcomes) that needs to be achieved in order to be deemed competent. This can be skills, knowledge, or attributes.

Element of Competence	Competence Outcomes
1. Competency Based Systems	1.1. Demonstrate knowledge of advantages of competency-based systems.
	1.2. Demonstrate knowledge of the ***components of a unit of competency***.
	Components of a unit of competency must include:

Element of Competence	Competence Outcomes
	• Title, description, elements of competence, competence outcomes, summary of knowledge, summary of skills, evidence to be assessed.
	1.3. Demonstrate knowledge of frameworks and their application in relation to assessment.
	1.4. Demonstrate knowledge of holistic assessment and its application in relation to units of competency and frameworks.

Range statements

Range statements refer to the work context and inform the parameters of the performance outcome. An appropriate range of industry-relevant products, organizational options, processes, or technology-specific information is included in the range statement. The words 'must' and 'may' for range statements can be found in their own section or attached to the competency outcomes. Range statements inform the content of the learning resources and the assessment strategy.

1. Competency Based Systems	1.1. Demonstrate knowledge of the ***components of a unit of competency***.
	Components of a unit of competency must include:
	• Title, description, elements of competence, competence outcomes, summary of knowledge, summary of skills, evidence to be assessed.

Knowledge to be assessed

This section lists all underpinning knowledge at a high level required to successfully demonstrate the competency outcomes of the unit. This list is not exhaustive but must include any knowledge required to meet the competency outcomes of the unit.

Skills to be assessed

This section lists all skills required at a high level to successfully demonstrate the competency outcomes of the unit. This list is not exhaustive but must include any skills required to meet the competency outcomes of the unit.

Summary of Knowledge to be Assessed	For this unit, a competent worker must understand:
	• Competency based systems (training and assessment
	• Components of a Unit of Competency

	• Frameworks
	• Holistic Assessment
	• Elements of competency
	• Dimensions of competency
	• Types of evidence
	• Rules of evidence
	• Principles of assessment
	• Reasonable adjustment and accommodation
	• Assessment tools and processes
	• Ethics
	• Formative and summative assessment
	• Norm and criterion referenced assessment
Summary of Skills to be Assessed	For this unit a competent worker must be able to: • This is a knowledge only unit.

Training and Assessment Guide

Evidence to be assessed documents the types of proof that must be on record or is available to support meeting the minimum requirements for demonstrating competency. The focus is on evidence demonstrated multiple times in a variety of contexts. This section also states who can sign off on evidence as being authentic and valid. Critical evidence is listed in this section.

General Information	Competence outcomes requiring "**knowledge of**" can be assessed through competency conversations or written assessment. Evidence must be on record of competence achieved. • Training modules are available for this unit. • Competency conversations are available for this unit.
Evidence to be Assessed	Minimum evidence requirements for this unit must include: • Completion of training module and formative assessments. • Completion of competency conversation where applicable.
Evidence Sign Off	Evidence must be signed off by designated: • Trainer

	• Assessor
	• Supervisor.
	Final evidence sign-off for Certificates of Qualification is the responsibility of the **Quality Assurance – Internal and External Verifiers**, a function of the relevant administrator.

REMEMBER!

The competence or performance outcomes found in the Units of Competency define the skills, knowledge and attributes related to the occupation.

Below is a sample of the same completed Unit of Competency.

Unit	1056
Title	Describe Competency Based Training and Assessment
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Description	This unit is about:
	• Competency Based Systems
	• Elements and Dimensions of Competency
	• Evidence, Rules of Evidence, Principles of Assessment
	• Assessment, and
	• Ethics

Regulatory Requirements	It is always the responsibility of any person using these materials to inform him/herself about the Occupational Health and Safety Regulations related to the work being conducted. A full list of OHSR related to this unit can be found in the relevant package.

Prerequisite(s)	This unit has the following prerequisites:
	• Certificate of Qualification and/or occupationally competent in area of training or assessment

Occupations	This unit is a component of the following occupations:
	• Assessor
	• Trainer (optional)

Element of Competence	Competence Outcomes
2. Competency Based Systems	2.1. Demonstrate knowledge of advantages of competency-based systems. 2.2. Demonstrate knowledge of the ***components of a unit of competency***. ***Components of a unit of competency*** must include: • Title, description, elements of competence, competence outcomes, summary of knowledge, summary of skills, evidence to be assessed. 2.3. Demonstrate knowledge of frameworks and their application in relation to assessment. 2.4. Demonstrate knowledge of holistic assessment and its application in relation to units of competency and frameworks.
3. Elements and Dimensions of Competence	3.1. Demonstrate knowledge of the ***elements of competency*** and their role in determining competence. ***Elements of competency*** must include: • Skills, knowledge, attributes. 3.2. Demonstrate knowledge of the ***dimensions of competency*** and their role in the workplace. ***Dimensions of competency*** must include: • Task skills, task management skills, contingency skills, and job role/environment skills.
4. Evidence, Rules of Evidence, Principles of Assessment	4.1. Demonstrate knowledge of ***types of evidence*** and collection methods and why multiple types of evidence are critical to determining competence. ***Types of evidence*** must include: • Direct, indirect, third party. 4.2. Demonstrate knowledge of the ***rules of evidence*** used in a competency-based system. ***Rules of evidence*** must include: • Valid, sufficient, current, authentic.

Element of Competence	Competence Outcomes
	4.3. Demonstrate knowledge of the *principles of assessment* used in a competency-based system. *Principles of assessment* must include: • Valid, reliable, flexible, fair.
5. Assessment	5.1. Demonstrate knowledge and application of assessment tools in accordance with the competency-based assessment model. 5.2. Demonstrate knowledge of assessor roles and responsibilities related to assessment. 5.3. Demonstrate knowledge and application of reasonable adjustment in the assessment context. 5.4. Demonstrate knowledge of norm and criterion referenced assessment. 5.5. Demonstrate knowledge of formative and summative assessment.
6. Ethics	6.1. Demonstrate knowledge of ethical responsibilities to be an assessor.

Summary of Knowledge and Skills

Summary of Knowledge to be Assessed	For this unit a competent worker must understand: • Competency based systems • Components of a Unit of Competency • Frameworks • Holistic assessment • Elements of competency • Dimensions of competency • Types of evidence • Rules of evidence • Principles of assessment • Reasonable adjustment and accommodation • Assessment tools and processes • Ethics • Formative and summative assessment • Norm and criterion referenced assessment.
Summary of Skills to be Assessed	For this unit a competent worker must be able to: • This is a knowledge only unit.

Training and Assessment Guide

General Information	Competency outcomes requiring "**knowledge of**" can be assessed through competency conversations or written assessment. Evidence must be on record of competence achieved. • Training modules are available for this unit • Competency conversations are available for this unit
Evidence to be Assessed	Minimum evidence requirements for this unit must include: • Completion of training module and formative assessments • Completion of competency conversation where applicable
Evidence Sign Off	Evidence must be signed off by designated: • Trainer • Assessor • Supervisor Final evidence sign-off for Certificate of Qualification are the responsibility of the **Quality Assurance – Internal and External Verifiers** which is a function of the relevant administrator.

Key Point 1.3: Frameworks and their Application

A qualification framework is made up of Units of Competency across multiple related occupations. Frameworks are designed to support mobility and transferability between occupations and sectors. A qualification framework can be across related industries or sectors and in many countries, tie all vocational occupations together.

Within a framework, Units of Competency are packaged in meaningful workplace combinations that reflect complete job roles or activities in the workplace called packages. Packages are designed to meet the needs of small, medium, and large organizations.

Packages of units within a framework clearly identify what is required to be competent in a job function and include any necessary information to assist the learner in understanding the occupation.

This may include, but is not limited to, the occupational description, regulatory requirements, entrance, qualification and maintenance requirements, and Units of Competency related to that package.

For example, a learner has achieved six units required to achieve the outcomes of the baker package. After working as a baker for two years, the learner has the opportunity to become a chef.

The learner reviews the chef package and is pleased to find out that the six units the learner has achieved as a baker are fully transferable to the chef package and the learner only has to achieve the 12 additional units to receive qualification.

REMEMBER!

The outcomes of the entire Unit of Competency must be met before it can be transferred to another package or occupation.
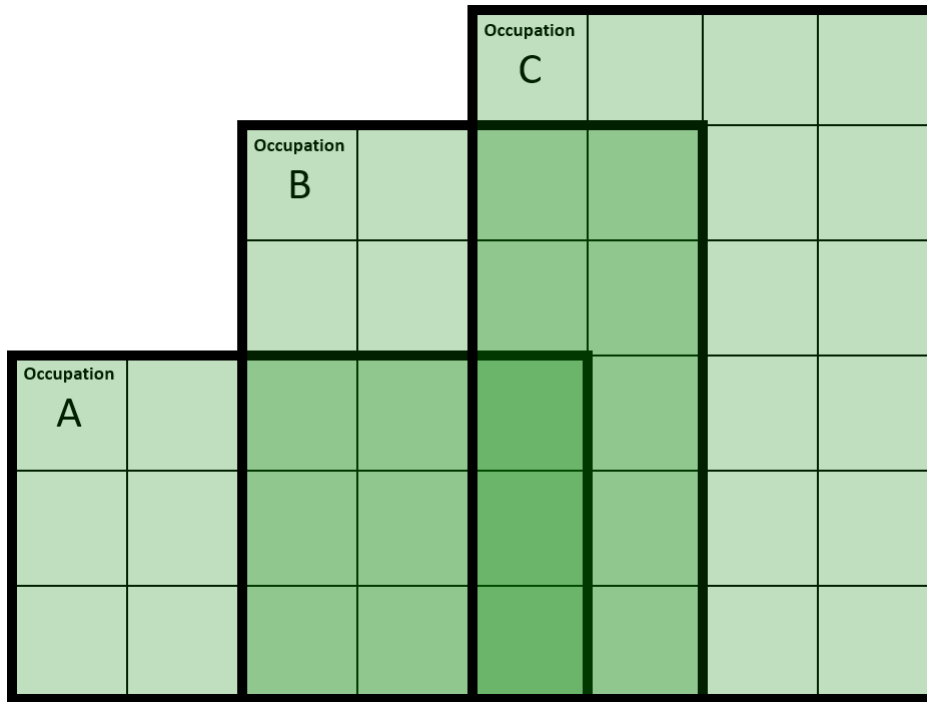
Figure 1: Units of competency across multiple related occupations

Key Point 1.4: Holistic Assessment

Holistic assessment refers to assessing the parts or whole of multiple units within a package at the same time. This 'big picture' approach is both cost and time efficient and should be used wherever possible.

For example, a unit on **Basic Rigging** may be assessed on its own, but would be holistically assessed with units that are a practical demonstration of a workplace activity where rigging is a component of doing the job. It is often the occupational skills that are holistically assessed with workplace units of competency.

Figure 2 below, reflects the overlap that units of competency may have.

Figure 2: Overlapping competency

Section 1056-2: Elements and Dimension of Competency

What you will learn in this section

By the end of this section you will be able to demonstrate knowledge of the following key points:

2.1 Elements of Competency

2.2 Dimensions of Competency

Key Point 2.1: Elements of Competency

Competency has three broad elements:

- Skills
- Knowledge
- Attributes

All occupations require the three elements as part of competency. Depending on the occupation, the circles will increase or decrease in size and importance, but all occupations have an element of all three. Competency is the point where skills, knowledge, and attributes meet.
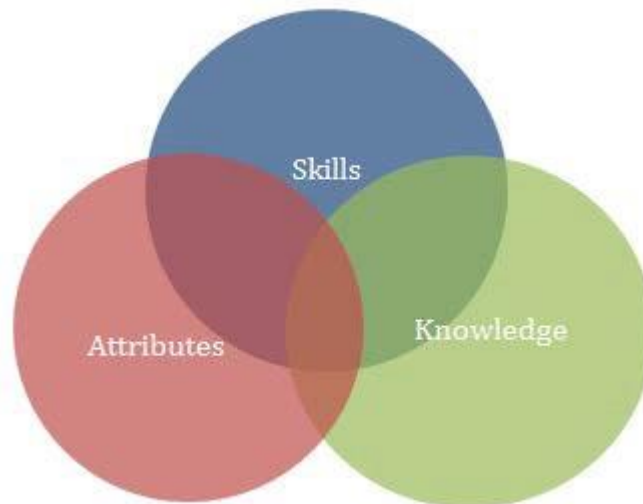
Figure 3: Elements of Competency

An example would be where a customer service agent may find that attributes are the most important part of the job. On the other hand, a laboratory assistant would require strong underpinning knowledge and skills to do the job competently with less focus on attributes. In either case, both would need a measure of attributes to do their job successfully.

Effective work performance requires skills, to function in the workplace and the knowledge and attributes to apply those skills in routine and non-routine situations. These are both observable and non-observable.

In the workplace process, industry often requests that: "Give me a person with the right attributes and I will teach the skills and knowledge".
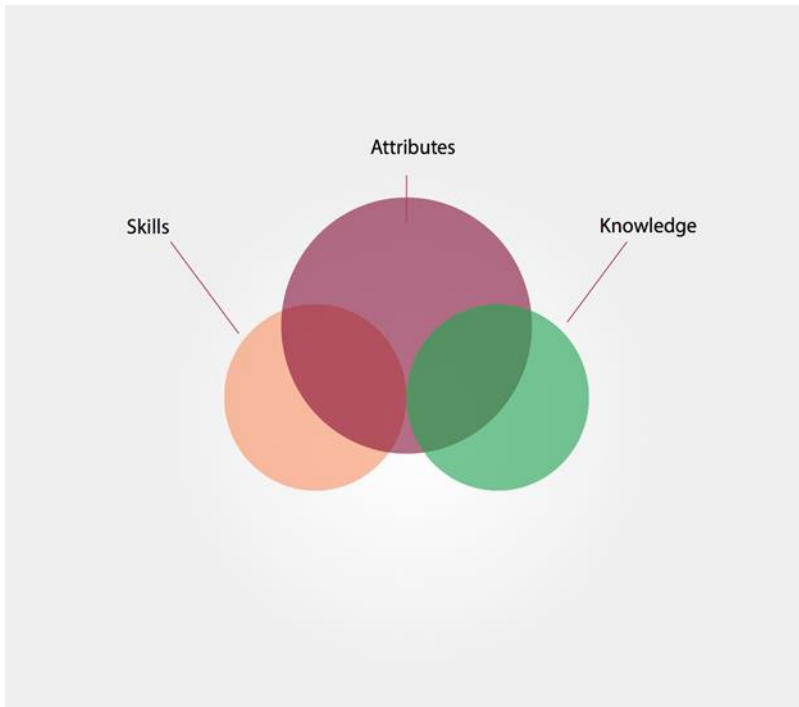
Figure 4: Customer Service Agent
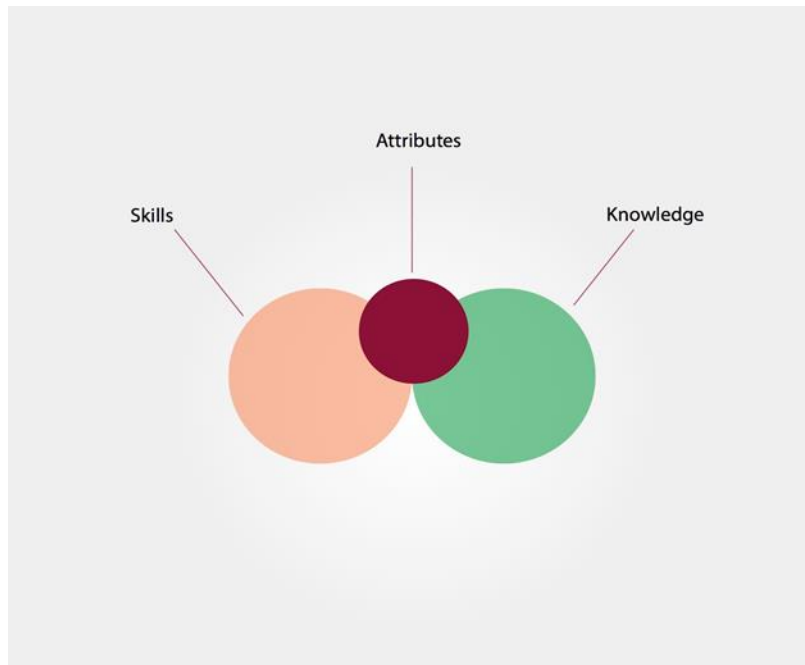
Figure 5: Lab Assistant

The three competency elements are defined as follows:

- **Skills** – A developed skill that is observable
- **Knowledge** – What a person needs to understand to be able to do the job successfully
- **Attributes** – A quality needed to do a job well. This includes attitude, being fit for work, etc.

Learning Point

John is an excellent mechanic. He can fix anything that is brought into the shop, but the owner can't let him speak with customers as he always has a scowl on his face and his attitude turns customers away.

Is John competent at his job from the owner's perspective? Why are attributes so important in the workplace setting?

Key Point 2.2: Dimensions of Competency

In addition to the three elements listed above, competency has further dimensions. These dimensions are both observable and non-observable, but critical to effective performance in the workplace. Dimensions of competency are often not explicitly stated in the Units of Competency but an Assessor or Trainer must ensure that they have been considered when making a judgment of competency.

The four dimensions of competency are:

- Task skills
- Task management skills
- Contingency management skills
- Job/role environment skills

Dimension	Description of Dimension
Task skills	Ability to do a specific workplace activity
Task management skills	Ability to manage a number of different tasks in a logical way to complete a whole work activity
Contingency management skills	Ability to respond to problems and irregularities when undertaking a work activity including: • Breakdowns • Changes in routine • Unexpected or abnormal results or outcomes • Difficult coworkers or customers
Job/role environment skills	Ability to deal with the responsibilities and expectations of the workplace when undertaking work activities including: • Following company policies and procedures • Following regulations (where applicable) • Interactions with clients and coworkers • Working with others

Learning Point

A pilot is friendly with the passengers and has a knack for putting them at ease. The pilot can competently operate the aircraft and understands the capabilities of the plane. An emergency arises and the engine catches fire. Unable to cope, the pilot freezes and cannot operate the aircraft.

Is the pilot competent? What important dimension of competency has the pilot failed to demonstrate?

Section 1056-3: Evidence and Assessment

What you will learn in this section

By the end of this section, you will be able to demonstrate knowledge of the following key points:

3.1 Types of Evidence

3.2 Rules of Evidence

3.3 Principles of Assessment

Key Point 3.1: Types of Evidence

Quality evidence is the cornerstone of any competency-based training and assessment system. Evidence is the body of fact that demonstrates something to be true. The more types of evidence gathered, or the more types of assessment tools used to gather the evidence the better-rounded view of competency is demonstrated.

Each assessment tool and evidence collection method will have its strengths and weaknesses. It is important that a range of assessment tools are used and multiple types of evidence are gathered that support the standards or industry guidelines including regulatory, workplace, and other requirements. An Assessor should not only focus on the quantity of evidence, but focus on the quality of evidence <u>and</u> ensure that it is mapped to the relevant standards.

Types of evidence

There are three basic evidence types that can be used to support a decision of competency. They are:

- Direct evidence
- Indirect evidence
- Third party

Direct evidence

Direct evidence is the strongest type of evidence as it is directly observed. It reflects the candidate's own work and is related to workplace job requirements.

Indirect evidence

Indirect evidence can be equally as strong as direct evidence if it can be proved that it is the candidate's work. Examples of indirect evidence are projects, videos, and simulations.

Third party

Third party evidence is often related to the person's attributes but can also include experience. The critical piece with indirect evidence is to ensure that it maps back to the standard. Third party evidence on its own is rarely sufficient.

Common examples of third-party evidence include the following:

- Reference letters
- Certificates

- Reports or diaries

Direct evidence is the strongest type and third-party evidence usually relates to attributes.

Learning Point

A candidate seeking his/her faller certification presents a letter to his/her Assessor from one of the most respected Fallers in the industry. The letter states that the candidate is competent and has excellent attributes for the job and would be a great person to hire.

What type of evidence has been presented? Does it meet the requirements of the rules of evidence? What weight would the Assessor be able to give to the letter in terms of determining competency?

Key Point 3.2: Rules of Evidence

Direct, indirect, and third-party evidence must meet the rules of evidence. Rules of evidence support collection of evidence to support competency. Where a Unit of Competency is the benchmark, evidence must support the performance outcomes, knowledge and skills to be assessed, and any evidence requirements listed in the assessment guide.

Valid

Evidence must show a clear relationship back to the relevant Unit of Competency and reflect the elements and in some cases some of the four dimensions of competency. It is possible to have a large body of evidence but not the relevant kind.

Current

Experience plays an important part in competency but the candidate must be able to demonstrate competency in the current work environment. Professional judgement must be employed in determining which, if any, demonstration of competency must be demonstrated as being current. A general example of where currency is important is in the IT sector and other rapidly changing technology environments.

Authentic

Evidence must be the candidate's own work. Direct, indirect, and third party evidence must all be verified as authentic. Direct evidence is the easiest type of evidence to authenticate.

Sufficient

Evidence must cover the full range of performance identified in the Unit of Competency and show competency over a period of time and in different contexts. Sufficient evidence covers the elements and dimensions of competency and all aspects of work performance. Where listed, evidence must show critical competencies multiple times in a variety of contexts. Often multiple types of evidence are required to demonstrate sufficiency.

REMEMBER!

The more types of evidence gathered and the more types of assessment tools used, the better the picture of the candidate's competency can be showcased.

All evidence must meet the rules of evidence to be considered against the outcomes in the relevant Units of Competency.

Key Point 3.3: Principles of Assessment

It is vitally important that the principles of assessment are followed when conducting assessments. Like the rules of evidence, the principles of assessment provide a framework in which to conduct assessments.

The principles of assessment state that the assessment must be:

- Valid
- Reliable
- Flexible
- Fair

Valid

Evidence supports the assessment decision and covers the outcomes of the Unit of Competency. This means that an assessment process is only related to the benchmark.

Reliable

The assessment outcome would be the same for candidates no matter which Assessor is conducting the assessment. As competency-based systems are criterion-based, the outcome should be the same regardless of the location, time, or Assessor conducting the assessment.

Flexible

The assessment process is flexible for both the candidate and Assessor while requiring the same standards are met. The Assessor needs to make every effort to accommodate the candidate including evenings or weekends if no other option is available. Flexibility should not be confused with reasonable adjustment.

Fair

The assessment process does not disadvantage a candidate or group of candidates. Every Assessor has some bias towards the candidate or process that may hinder the outcome. For example the Assessor may think that the candidate is too young to be competent, and may, unaware to him/her, let this bias cloud the assessment process.

Learning Point

An Assessor is assessing the skills of a candidate. Within minutes, the candidate is able to diagnose the problem set out for the assessment and the Assessor decides to use the remaining time to see how in depth the candidate's knowledge and skills are.

Is the Assessor following the principles of assessment? If not, what principle of assessment has been breached?

Self-Quiz

1. What is an advantage of a competency-based system?

   ☐ Focuses on skills

   ☐ Allows learners to decide what to study

   ☐ Focuses on useable skills

   ☐ Has a lower passing grade

2. What does a competency-based system recognize?

   ☐ Outcomes

   ☐ Schedules

   ☐ Future potential

   ☐ Higher skills sets

3. What is a range statement?

   ☐ Connections to other outcomes

   ☐ Summarizes the outcome statement

   ☐ Informs the parameters of the performance outcome

   ☐ Defines the minimum standard

4. What does a performance outcome define?

   ☐ Importance of skill

   ☐ Pathway to competency

   ☐ Required skills and knowledge

   ☐ Range of performance

5. What are the elements of competency?

   ☐ Tasks, knowledge, job role/environment

   ☐ Attributes, task management, skills

   ☐ Knowledge, contingency skills, defensibility

   ☐ Skills, knowledge, attributes

6. What are the dimensions of competency?

   ☐ Attributes, reliability, task management, valid

☐ Job role, tasks, attributes, knowledge

☐ Task, task management, contingency skills, job role/environment skills

☐ Fair, contingency skills, reliable, flexible

7. Which is a job role/environment skill?

☐ Manage a series of tasks

☐ Follow workplace policy and procedures

☐ Adjust when break downs occur

☐ Demonstrating knowledge for the task

8. What is one of the three main types of evidence?

☐ Simulations

☐ Videos

☐ Indirect

☐ Written assessment

9. What is an example of third-party evidence?

☐ Reference letters

☐ Competency conversations

☐ Practical assessments

☐ Projects

10. What element of competency does third party evidence usually focus on?

☐ Task management

☐ Contingency skills

☐ Skills

☐ Attributes

11. What are the rules of evidence?

☐ Valid, sufficient, current, authentic

☐ Reliable, fair, current, authentic

☐ Sufficient, flexible, valid, reliable

☐ Fair, valid, reliable, current

12. What does sufficiency of evidence mean?

☐ More than one assessment tool is used

☐ Enough evidence to determine competency

☐ Multiple questions are asked on the same subject

☐ Evidence is valid

13. What are the principles of assessment?

☐ Fair, valid, reliable, current

☐ Reliable, fair, current, authentic

☐ Valid, reliable, flexible, fair

☐ Valid, sufficient, current, authentic

14. What does fair mean in the context of principles of assessment?

☐ The assessment does not disadvantage a candidate

☐ The assessment is reliable

☐ There is defensibility in the assessment process

☐ There is flexibility in the assessment process

 Now check your answers on the next page.

Self-Quiz Answers

1. What is an advantage of a competency-based system?

   Answer: **Useable skills**

2. What does a competency-based system recognize?

   Answer: **Outcomes**

3. What is a range statement?

   Answer: **Informs the parameters of the performance outcome**

4. What does a performance outcome define?

   Answer: **Required level of performance**

5. What are the elements of competency?

   Answer: **Skills, knowledge, attributes**

6. What are the dimensions of competency?

   Answer: **Task, task management, contingency skills, job role environment skills**

7. Which is a job role/environment skill?

   Answer: **Follow workplace policy and procedures**

8. What are the three main types of evidence?

   Answer: **Direct, indirect, third party**

9. What is an example of third-party evidence?

   Answer: **Reference letters**

10. What element of competency does third party evidence usually focus on?

    Answer: **Attributes**

11. What are the rules of evidence?

    Answer: **Valid, authentic, current, sufficient**

12. What does sufficiency of evidence mean?

    Answer: **Enough evidence to determine competency**

13. What are the principles of assessment?

    Answer: **Valid, reliable, flexible, fair**

14. What does fair mean in the context of principles of assessment?

    Answer: **The assessment does not disadvantage a candidate**

Section 1056-4: Assessment

What you will learn in this section

By the end of this section you will be able to demonstrate knowledge of the following key points:

4.1 Assessment tools within a competency-based assessment model

4.2 Processes related to assessment

4.3 Reasonable adjustment in the assessment context

4.4 Norm and criterion referenced assessment

4.5 Formative and summative assessment

Key Point 4.1: Assessment Tools

Evidence is the cornerstone of competency-based training and assessment. Standardized and non-standardized assessments are simply tools to gather evidence to support the candidate's claim of competency. All assessment tools and types of evidence gathered must be mapped to the competency outcomes listed in the Units of Competency.

Safety-critical or important competency outcomes must be demonstrated multiple times in a variety of contexts and therefore, multiple types of evidence or multiple assessment tools must be used to gather valid, sufficient, current, and authentic evidence. Each assessment method has strengths and limitations.

Generally, certain tools support assessment methods.

Common tools	Supports assessment for
Competency conversation	Supports assessing underpinning knowledge including the ability to explore range and context and contingencies
Practical observation	Supports assessing observable skills, attributes, and the dimensions of competency Types: simulations
Written assessment	Supports underpinning knowledge from simple to complex Types: • Multiple choice questions • True or false questions • Essays • Reports • Assignments and projects • References

REMEMBER!
The competency conversation is an excellent tool to explore range and context as long as it relates directly back to the question asked.

Learning Point

An Assessor wants to find out if a candidate knows how to change the oil in a vehicle. The Assessor chooses a multiple-choice exam to test the candidate's knowledge of the procedure to change oil. Think about the following:

What can the multiple-choice exam tell the Assessor about the candidate's ability to change oil?

What are the limitations of the chosen assessment tool?

What other tools could be used to give the Assessor confidence that the candidate can change the oil and understands why they are doing it?

Key Point 4.2: Processes Related to Assessment

The Assessor plays an important and key role in the assessment process. This includes:

- Planning the assessment
- Conducting a fair and objective assessment
- Reviewing all evidence and making a decision
- Maintaining detailed records
- Providing constructive feedback and gap training plans where applicable
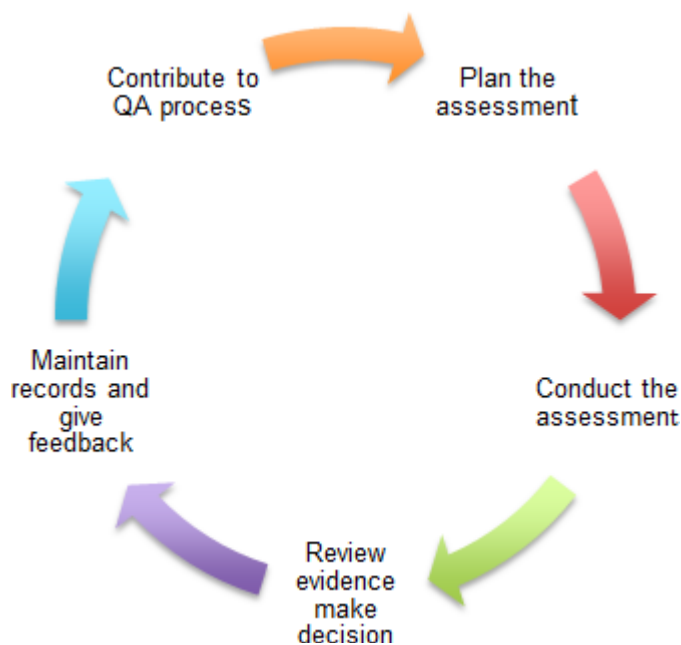- Contributing to a quality assessment program

Figure 6: Roles of the Assessor

Plan the assessment

The Assessor is responsible for:
- Planning the assessment
- Taking into consideration the Units of Competency and assessment tools available when developing the assessment strategy
- Planning the time required for the assessment

- Determining the order of the assessment process (which tool to use and when)
- Deciding which Units of Competency will be holistically assessed together based on workplace needs and availability
- Ensuring assessment is fair, valid, reliable, and flexible
- Enabling a process that provides an accurate view of candidate's competency
- Modifying the process without changing the Standard if the candidate has specific requirements
- Determining if reasonable adjustments need to be made in the assessment process

Conduct the assessment

The Assessor is responsible for:
- Conducting the written assessment (where applicable), and recording results against the outcomes in the relevant Units of Competency
- Conducting the competency conversation and recording results against the Standard
- Conducting the practical assessment and field competency conversation and recording the results against the outcomes in the relevant Units of Competency
- Determining a reasonable amount of time (where applicable) to demonstrate practical competency
- Reviewing the body of evidence

Review evidence and make decision

The Assessor must ask:
- Do I have sufficient evidence of each competency outcome in the units being assessed?
- Did the candidate demonstrate the elements and dimensions of competency?
- Would another Assessor make the same decision?
- Would my decision stand up to scrutiny or appeal?
- Do I have any personal involvement with the candidate that would affect my professional judgment?
- Does the evidence show demonstrated competency multiple times in a variety of contexts especially in safety critical areas?

Maintain records and give feedback

The Assessor must:
- Keep detailed and accurate records of the assessments
- Keep detailed and accurate records of the candidate's progress through the assessment process
- Provide a pathway and plan for gaps in competency to be

filled, and a reassessment plan
- Be constructive and professional with all feedback provided

Contribute to quality assessment process

The Assessor must:
- Ensure all activities are conducted in a safe manner that prevents and avoids risks to the Occupational Health and Safety of any person and are compliant with relevant company policy, procedures, regulations, and legislation
- Adopt a continuous improvement approach as an Assessor through professional development activities, and moderation and validation exercises with other Assessors

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REMEMBER!

In order for an Assessor to demonstrate competency they must be able to demonstrate the ability to:

- Plan the assessment
- Conduct the assessment
- Review the evidence and make a professional judgement
- Maintain records and provide feedback
- Contribute to a quality assurance process

Key Point 4.3: Reasonable Adjustment

Reasonable adjustment ensures that all people are treated equal in the assessment process. Reasonable adjustment does not lower the standard required to achieve competency - it simply means that, under certain conditions the needs of the candidate are taken into consideration and "reasonable adjustments" are made to the assessment process.

This may include:

- Candidates with special needs/disabilities
- Candidates for whom English is not the first language
- Candidates with limited formal education
- Older candidates
- Candidates from rural or remote areas
- Candidates with limited ability to read

Based on the candidate's needs and abilities adjustments considered reasonable may include the following examples:

Issue	Reasonable adjustment
English as a second language	Providing interpreters.
Disability	Installing ramps or adjustable desks. Provide additional time for assessments.* Use technology or computer software.
Older candidates	Provide assistance with managing stress and anxiety.
Rural or remote candidates	Telephone interviews rather than face to face.
Candidates with limited education or low numeracy or reading skills	Simple terminology, have a support person to read for the candidate.**
*Where time is not a requirement of competency. **Where reading is not a requirement to demonstrate competency.	

Learning Point

A candidate has applied to challenge for the Certificate of Qualification for Heavy Duty Equipment Technician. The practical observation of this assessment is done on large equipment where climbing is required and where the candidate will be working in awkward positions for long periods of time. On his application the candidate advises that he has only has one leg.

What is reasonable adjustment in the assessment process for this candidate?

REMEMBER!

Reasonable adjustment does not lower the standard or change the outcome requirement for an assessment.

Key Point 4.4: Norm and Criterion Referenced Assessment

Norm referenced

Norm referenced assessment is commonly found in schools or academic settings and involves the candidate being compared against a cohort of others. This type of assessment involves the candidate receiving a mark where some will do well, others achieve mediocrity, and the rest will perform poorly. A norm-referenced system can result in a pass of 50% plus, leaving a large portion of the required learning 'failed' or not achieved.

Criterion referenced

Criterion referenced assessment means that the candidate is assessed against pre-established criteria most often found in the competency outcomes listed in a Unit of Competency. These "standards" are developed through consensus and industry groups determining what competency in the workplace looks like. In criterion-referenced assessment, there are only two possible outcomes; the outcome has been met, or the outcome has not-yet been met. There are no marks in a pure criterion referenced assessment process.

Learning Point

Feeling unwell you go to the doctor. The norm referenced passing grade for a doctor is 51% in the school of medicine.

You are given the option of seeing one of two doctors. The first doctor received 58% in school, and the second doctor achieved a mark of 98%.

Which doctor would you like to see? Why? How would you feel if both doctors were assessed by criterion-referenced assessment?

REMEMBER!

Competency based assessment is always against the outcomes as listed in the relevant Units of Competency.

Key Point 4.5: Formative and Summative Assessment

Formative assessment

Formative assessment is usually related to training and is used continuously in the training process. This may be in a formal setting or informally on the job and is used to help the candidate and Trainer identify the areas in which performance or knowledge can be improved. Formative assessment is often task related, or used when assessing underpinning knowledge.

Assessments in the learning process are markers that help the learner and Trainer identify when someone is ready to move on to the next level. Formative assessments can be used to build a portfolio of evidence and in some cases, can equal the summative assessment.

Summative assessment

Summative assessment is a formal assessment of the "sum" of the candidate's learning. In a summative assessment setting the time for training has passed and the focus is entirely on assessment. This type of assessment does not focus on a particular task or area of knowledge.

In a competency-based system the summative assessment is often a holistic assessment across multiple Units of Competency directly related to activities conducted in the work place.

For example, a learner may have a formative assessment on the operation of the chainsaw. In the summative assessment, the assessor would want to observe the operation of the chainsaw as part of the entire work activity.

Learning Point

A learner over the course of a two-year training program has multiple formative assessments guiding their learning and development focusing on tasks and underpinning knowledge. The program decides to no longer have summative assessments but to use the formative assessments as the "sum" of or a portfolio of the learning.

From a competency-based perspective, what key dimension of competency would be missed?

REMEMBER!

Formative assessment is often related to a specific task in training. Summative assessment looks at the bigger picture in the work context.

Section 1056-5: Legal and Ethical Requirements

What you will learn in this section

By the end of this section you will be able to demonstrate knowledge of the following key point:

5.1 Ethical responsibilities of being an Assessor

Key Point 5.1: Ethical Responsibilities to be an Assessor

Assessor code of conduct

The Assessor Code of Conduct supports responsible assessment practice and is especially relevant given that the Assessor may know or work with the candidate being assessed. The Assessor must be beyond reproach in their dealings with the candidate, the workplace, and the Administrator at all times.

An Assessor must:
- Not unlawfully or unjustifiably discriminate against any individual
- Treat all candidates with courtesy and respect
- Maintain professional knowledge and be up to date with relevant laws and codes of practice that affect work
- Maintain a calm demeanor with the candidate at all times. Do not become involved with any altercation or disagreement with the candidate
- Maintain strict confidentiality in regard to the candidate's personal information and assessment outcomes
- Never accept favours or gifts from anyone that can be seen to benefit from influencing the Assessor
- Never be under the influence of drugs or alcohol while undertaking assessment activities
- Not disclose to the candidate the assessment results at the time of assessment
- Deliver the assessment decision in writing once all evidence has been reviewed and approved by relevant parties
- Remember that assessment is not training and should exercise caution in responding to questions or helping the candidate during the assessment
- Keep safety as the top priority and stop any assessment deemed to be unsafe in any way to the candidate, Assessor, others or surroundings
- Never assess a candidate with a potential personal or professional conflict of interest

Learning Point

An Assessor travels a long distance to a small town the night before an assessment is to take place. After checking into the motel the Assessor heads to the local pub for drinks. After a few drinks with the locals the Assessor calls it a night.

The next day the Assessor is surprised to see that the candidate was also drinking in the bar the night before. They share a joke about "hangovers" and get on with the assessment. The candidate is found "not yet competent" and the candidate files an appeal, stating the Assessor was not "fit to assess."

Does the candidate have a case?

REMEMBER!
A friendly gesture by the Assessor or candidate can give the appearance of unethical behavior and be grounds for an appeal.

Self-Quiz

1. What is the minimum level of skill or knowledge that can be transferred between occupations?

   ☐ Element

   ☐ Outcome

   ☐ Unit

   ☐ Related units

2. Why is holistic assessment done?

   ☐ Less pressure on student

   ☐ Cost and efficiency

   ☐ Maps learning resources easier

   ☐ Showcases workplace tasks

3. Which type of unit is usually holistically assessed with work activities?

   ☐ Occupational skills units

   ☐ Knowledge units

   ☐ Essential skills units

   ☐ Training units

4. Which best supports exploring range and context?

   ☐ Competency conversation

   ☐ Projects

   ☐ Simulations

   ☐ Multiple choice exam

5. What is a critical skill for Assessors?

   ☐ Making personal judgements

   ☐ Mapping evidence to the Standard

   ☐ Filling gaps

   ☐ Relationship with candidate

6. What does formative assessment usually focus on?

   ☐ Attributes

   ☐ Contingency skills

   ☐ Tasks

   ☐ Task Management

7. What does summative assessment focus on?

   ☐ Underpinning knowledge

   ☐ Tasks

   ☐ Real workplace activities

   ☐ Defensibility

8. Which is an example of when reasonable adjustment may be needed?

   ☐ Candidate wants more time

   ☐ Candidate has disability

   ☐ Candidate cannot meet all the outcomes

   ☐ Candidate requires help in doing the task

9. Which is a responsibility of being an Assessor?

   ☐ Maintain a calm demeanor

   ☐ Assess only candidates they can relate to

   ☐ Train candidate on gaps

   ☐ Give results immediately after the assessment

Now check your answers on the next page.

Self-Quiz Answers

1. What is the minimum level that can be transferred between occupations?

   Answer: **Unit**

2. Why is holistic assessment done?

   Answer: **Cost and efficiency**

3. Which type of unit is usually holistically assessed with work activities?
   Answer: **Occupational skills**

4. Which assessment tool best supports exploring range and context?

   Answer: **Competency conversation**

5. Which is a critical skill for Assessors?

   Answer: **Mapping evidence to the Standard**

6. What does formative assessment usually focus on?

   Answer: **Tasks**

7. What does summative assessment focus on?

   Answer: **Real workplace activities**

8. What is an example of reasonable adjustment?

   Answer: **Candidate has disability**

9. Which is an ethical responsibility of being an Assessor?

   Answer: **Maintain a calm demeanor**