

Unit	1060
Title	Review Evidence, Make Decision, Provide Feedback
Document type	Learning Resource



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:

- Rules of evidence
- Making a decision and using professional judgement
- Developing gap training plans
- Providing constructive feedback
- Recording assessment outcomes
- Supporting positions in a competency-based system

# **Section 1060-1: Review Evidence and Make Decision**

## **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 Rules of evidence

1.2 The decision process and professional judgment

# Key Point 1.1: Rules of Evidence

Evidence underpins the competency-based training and assessment model. All evidence must at a minimum, meet the four rules of evidence. To recap the information covered in unit 1056, evidence must be valid, sufficient, current, and authentic.

## Valid

On occasion, a candidate will supply evidence that, while interesting, is not valid. Evidence deemed as not being valid is evidence that does not map back to the competence outcomes in the relevant units.

## Current

The requirement for currency of evidence is often contentious. The theory “learn to ride a bike, you can always ride a bike” is a common refrain when discussing currency of evidence. Each occupation places different emphasis on currency and it is up to the Assessor through moderation activities to use professional judgment on the importance placed on currency.

## Authentic

The requirement for authentic evidence is closely related to valid evidence. The Assessor must be able to prove all evidence provided by the candidate is the candidate’s own work. It is easy to prove a candidate’s work when the Assessor directly observes the candidate undertaking the task, but more difficult to prove when evidence provided is in the form of a project or documents.

## Sufficient

Quantity of evidence does not necessarily mean sufficient. The focus on quality of evidence is critical. As mentioned previously, the best way to ensure that there is sufficient evidence is to use multiple assessment tools and evidence types. Where an outcome is related to safety, hazards, or communication in the workplace, the evidence must demonstrate competency multiple times, and in a variety of contexts, ensuring that there is sufficient evidence demonstrating the performance outcomes. Some occupations identify explicitly what sufficient is.

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## Learning Point

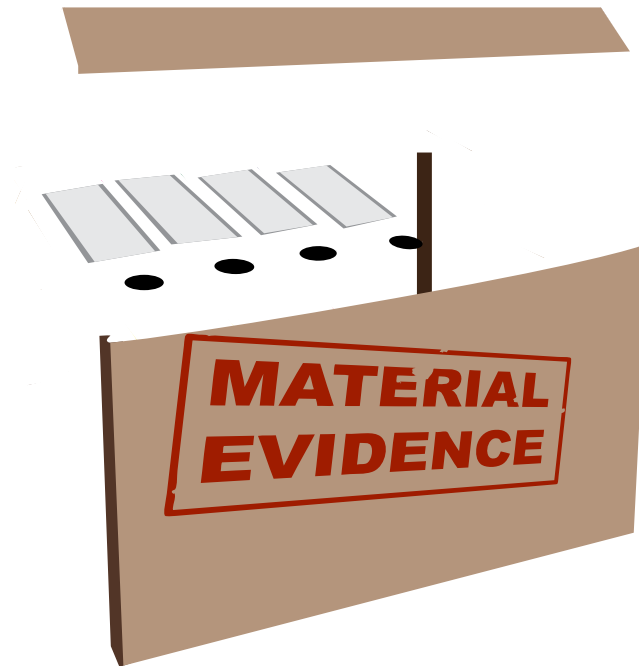


A candidate is building a portfolio of evidence to demonstrate proficiency at falling trees. As part of the body of evidence, the candidate provides three videos from a video recorder camera installed on the candidate's helmet.

As an Assessor reviewing the videos, would this meet the four rules of evidence? Why or why not?

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Evidence must, without exception meet the rules of evidence.



# Key Point 1.2 Decision Process and Professional Judgment

An Assessor conducting summative assessments should never indicate to the candidate the assessment decision on the day of the assessment. This is because it is the responsibility of the Assessor to:

- Review the entire body of evidence on file
- Map the evidence to the benchmark
- Review the evidence rubric to ensure that the evidence requirements have been met

When reviewing evidence to make the assessment decision, the Assessor must ask the following questions:

- Have I seen evidence that the underpinning knowledge required for the job has been demonstrated, is recorded, or on file?
- Have I seen demonstrated evidence of the ability to do the individual tasks required for the job (task skills)?
- Have I seen evidence of the ability to manage the multiple tasks required to do the job (task management)?
- Have I seen demonstrated evidence of the ability to adjust when things go wrong and transfer skills to other environments (contingency skills)?
- Have I seen demonstrated evidence that the candidate follows workplace policy and procedures?
- Does the candidate get along with others (job role or environment skills)?
- Have I seen demonstrated evidence of attributes required for the job?
- Have I seen demonstrated evidence of the six preceding bullets demonstrated multiple times, in a variety of contexts in areas where critical evidence related to safety critical skills, knowledge, or attributes are identified?
- Does the body of evidence meet the rules of evidence?



There is always a level of subjectivity in the assessment process especially when using a portfolio of evidence solely for the assessment strategy. Standardized assessment tools remove most of the subjectivity from the assessment process as the responses the Assessor is looking for are provided. Reliable and defensible assessment is objective.



### **Learning Point**

A candidate has submitted a logbook with key activities signed off by the supervisor. What weight should be given to the sign off in terms of evidence?

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# **Section 1060-2: Develop Gap Training Plans and Provide Feedback**

## **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 Develop gap training plans
- 2.2 Provide clear and constructive feedback

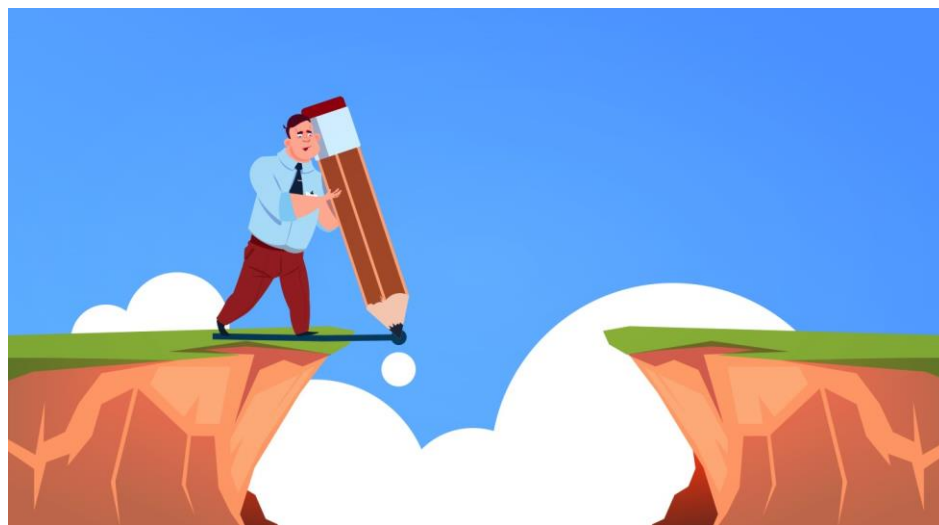
## Key Point 2.1: Develop Gap Training Plans

In a traditional training environment, a passing mark is determined and the “gaps” are generally not addressed as long as the passing mark is achieved. Commonly in vocational occupations, 70% is the passing mark leaving the candidate a 30% allowance for lack of underpinning knowledge or skills. As an example, a written exam on “framing houses” could be made up of 45% occupational skills, 20% framing and 35% assigned to other areas. It is technically possible for the candidate to pass and show no competence in the area of framing if they do well in the remaining areas. Under this traditional model, reassessment includes the areas that the candidate was found to be competent in.

As competency-based systems are criterion-based and measured against an established benchmark there are generally no marks associated with assessment tools and portfolios of evidence. The system is efficient in that it recognizes where competence has been achieved through evidence and then only focuses on the areas where the benchmark has not been met.

When developing a gap training plan, it must be measurable, specific, contain timelines for completion where reasonable, and map back to the benchmark listed in the Units of Competence.

Credit for completion of a Unit of Competency cannot be given until all competence outcomes have been achieved and the evidence set out in the relevant evidence rubric has been met.



Gap training plans must always be measurable and only be related to the outcomes found in the relevant Units of Competency.

Gap training plans must include:

- What competencies have been met
- Areas not yet competent
- Training that is available
- Evidence required to be collected
- Summary report
- Follow up plan with timelines

# Key Point 2.2: Provide Clear and Constructive Feedback

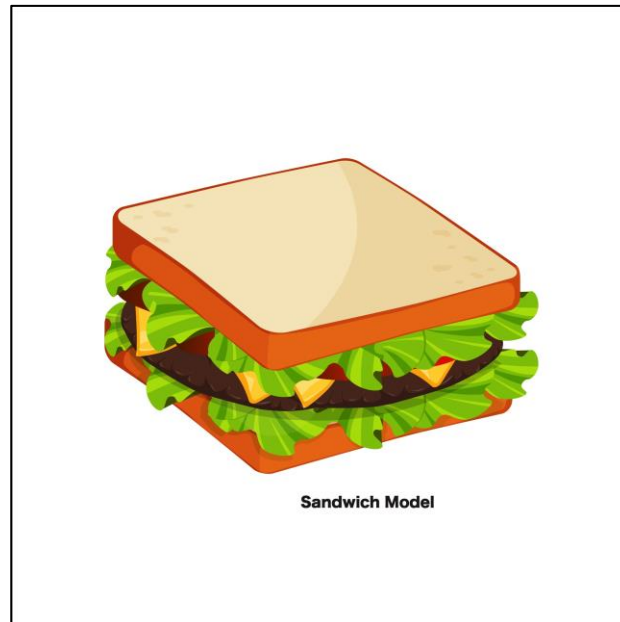
On the day of assessment, the only feedback that an Assessor should give to a candidate is related to safety of something that was observed that day. Otherwise it is important to remember that a summative assessment is not a training exercise and Assessors should not take the time before, during, or after an assessment to train. Candidates must be clearly instructed that the Assessor must review the entire body of evidence, map it to the benchmarks and decide based on the criteria set out in the relevant standard if the candidate is competent.



The Assessor must have evidence to back their decision and be confident that another Assessor reviewing the same evidence would come to the same decision. Once this decision is made, the Assessor must convey the results to the candidate. This may also include a gap training plan where deficiencies have been identified.

The Assessor should use the “sandwich model.” First, ask the candidate what the candidate felt went well and what could be improved upon. Then convey to the candidate in a friendly tone what the candidate has been found competent in. Do not use flowery language but be direct and concise. In some cases this may not be much, but generally all candidates have some areas that they are competent in. The Assessor can then move on to the gaps that have been identified, why they were found not yet competent, and offer a

detailed plan on how to bridge the gaps. The Assessor should then focus again on those areas that the candidate has been successful in. It is important that the Assessor ensures the candidate understands what has been shared, and the path forward to fill the gaps. This may involve communication with a Supervisor or Trainer who will support “filling the gap.”



The Assessor should always convey this information in person or by phone and follow up with relevant paperwork. Misunderstandings occur when the Assessor informs the candidate of the assessment outcome by email or mail rather than in person or by phone.

Contacting the candidate in person also helps the Assessor ensure that he/she has made the decision based on evidence and can explain why the decision was made.

When providing feedback, ensure that:

- You are positive without giving false expectations
- You are clear and concise
- You keep focused on the task at hand
- A mark of a good Assessor is one who is prepared when providing feedback, and can back their decision against the benchmark. Do not give feedback unprepared.

## Assessor improvements

A valuable exercise is to ask the candidate for feedback on the assessment and assessment process. This is valuable information both personally and from a system perspective. Don't make it personally, rather look at as a quality assurance mechanism.



## **Learning Point**

An Assessor feels he/she is too busy to communicate the assessment decision in person and sends the results in an email to the candidate.

What could be missed in taking this approach?

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# **Section 1060-3: Record and Report Assessment Decision**

## **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 Recording assessment outcomes
- 3.2 Supporting positions in the competency-based system



# Key Point 3.1: Recording Assessment Outcomes

Effective writing skills and completed documentation are key to defensible assessment decisions.

Effective writing in relation to assessment decisions involves:

- Only recording what is related to the assessment
- Making sure writing is legible
- Keeping the language appropriate and professional
- Writing fact not opinion
- Changing and adding your initials to something that needs to be changed (cross out not black out)

There are three main reasons why effective writing and documentation are important.

1. They are part of the qualification decision.
2. Documentation may be called for in an appeals dispute.
3. Documentation may be used as evidence in accident investigations.

## Qualification decision

Each Administrator and workplace will have a process to review, audit, or verify the evidence on file before signing off on a Certificate of Qualification. If the person filling this role finds a lack of information on file, this will cause delays and increase costs.

## Appeals

On an appeal of the assessment decision, the reviewers or another Assessor should be able to come to the same decision, or at least follow the rationale for the decision. Assessors should not put themselves in a position that their decision cannot be supported because of lack of effective writing or incomplete documentation.

## Incidents

Sometimes incidents occur and investigators may want to review the body of evidence related to the training and assessment of the injured party. It is therefore critical that effective writing is employed, which is easily understood and is backed by evidence.

Assessors must be intimately familiar with the documentation requirements, internal procedures, and policies related to the assessment process.

Another Assessor should be able to come to the same conclusion based on the evidence provided and an effective summary of the assessment.

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### **Learning Point**



A trainee is involved in a work place incident. The investigative team asks for the training file. The Trainer is well respected in industry and is a straight shooter. On review of the file, gaps in the recording of evidence are found and nothing recorded in the area that the incident occurred. The Trainer said – “I saw it.”

Why is this not good enough?

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# Key Point 3.2: Supporting Positions

There are a number of positions that support the Assessor in the workplace to ensure that the training and assessment is being conducted to the desired level and that policy and procedures are being followed. While these positions are not mandatory in some cases, they are recommended as they are vital to supporting quality assurance in the workplace training model.

## Internal verifier

The internal verifier is generally employed by the Administrator of a program and is responsible for:

- Scheduling Assessor training and Train the Trainer courses
- Ensuring that all Assessors and Trainers meet entrance, qualification and maintenance requirements
- Verifying the evidence on file meets the requirements for sign off of qualifications
- Supporting the program manager in complaints, appeals, and incident investigations
- Ensuring Assessors understand roles and responsibilities, policy and procedures
- Developing and implementing or managing internal systems to monitor assessment and training practice and maintaining standardization of training and assessment outcomes
- Maintaining files and keeping records up to date, working within the learning management system and required software
- Understanding Safe Operating Procedures (SOP) required for quality assurance and developing or supporting developing new SOP where needed
- Ensuring the assessment process is working
- Organizing, attending, and co-leading moderation and validation sessions
- Ensuring Assessors and Trainers have the latest versions of documents
- Conducting internal audits on processes
- Thoroughly understanding regulations and legislation related to industry
- Updating standards, processes and courses within relevant learning management systems

## External verifier

The external verifier is occupationally competent, generally works under an Administrator and is responsible for:

- Ensuring the quality of training delivery or assessment in the workplace
- Supporting learning and development of training and Assessors
- Auditing to ensure quality of assessment and training
- Ensuring principles of assessment and rules of evidence are followed
- Maintaining and enforcing action plans
- Visiting workplaces to review evidence, training and plans
- Working within and understanding learning management systems
- Co-leading moderation and validation sessions
- Ensuring workplace concerns are addressed at the Administrator level
- Thoroughly understanding regulations and legislation related to industry

Both the external and internal verifiers ensure the quality assurance of the model is maintained. In the case of the internal verifier, more than one person can conduct these activities. Covering the scope of activities, and having clear policy and procedures in place is more important than if one or two people cover off the scope.



### **REMEMBER!**

External verifiers are always occupationally competent and experienced in training or assessment.

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# Self-Quiz

1. When should the assessment decision be given?
  - At least one week after the assessment
  - Immediately following the assessment
  - When all evidence has been reviewed
  - When the assessor feels that the candidate is competent
2. What is critical when giving feedback?
  - Candidate feels connected to the Assessor
  - No negative feedback is given
  - Relate personal experiences
  - Relate it to the benchmarks
3. Why is effective writing important?
  - Looks professional
  - Shows Assessor is doing job
  - May be needed in an appeals process
  - Shows due diligence for the candidate
4. What is a role of an Internal Verifier?
  - Ensuring policy and procedure is being followed
  - Developing occupational Standards
  - Maintaining and enforcing action plans
  - Ensure training is conducted to standard
5. What is a key role of an External Verifier?
  - Developing Standard Operating Procedures
  - Reviewing organizational process
  - Ensure training and assessment is conducted to standard
  - Ensuring correct version of documents are used



Now check your answers on the next page.

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# Self-Quiz Answers

1. When should the assessment decision be given?

Answer: **When all evidence has been reviewed**

2. What is critical when giving feedback?

Answer: **Relate it to the benchmarks**

3. Why is effective writing important?

Answer: **May be needed in an appeals process**

4. What is a key role of an Internal Verifier?

Answer: **Ensure policy and procedure is being followed**

5. What is a key role of an External Verifier?

Answer: **Ensuring training and assessment is conducted to standard**