Analyse competency requirements

D2.TRD.CL8.01

Assessor Manual

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Project Base

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Acknowledgements

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.

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Competency Based Assessment (CBA) – An Introduction for Assessors

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

Suggested Assessment Methods

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

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

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

Alternative Assessment Methods

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

a) The nature of the unit

b) The strengths of participants

c) The number of participants in the class

d) Time required to complete assessments

e) Time dedicated to assessment

f) Equipment and resources required.

Alternate assessment methods include:

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

- Case studies

- Log books

- Projects and Role plays

- Group projects

- Recognition of Prior Learning.

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

Selection of Assessment Methods

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

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

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

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

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

- Practical Work Projects

- Third Party Statement

- Observation Checklist.

Assessing Competency

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

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

- 'Pass Competent' (PC)

- 'Not Yet Competent' (NYC).

Pass Competent (PC)

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

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

Not Yet Competent' (NYC)

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

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

The participant may be required to:

a) Undertake further training or instruction

b) Undertake the assessment task again until they are deemed to be 'Pass Competent'.

Regional Qualifications Framework and Skills Recognition System

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

The purpose of this framework is to provide:

- A standardised teaching and assessment framework

- Mutual recognition of participant achievement across the ASEAN region. This includes achievement in individual Units of Competency or qualifications as a whole.

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

Recognition of Prior Learning (RPL)

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

This process is a learning and assessment pathway which encompasses:

- Recognition of Current Competencies (RCC)

- Skills auditing

- Gap analysis and training

- Credit transfer.

Code of Practice for Assessors

This Code of Practice provides:

- Assessors with direction on the standard of practice expected of them

- Candidates with assurance of the standards of practice expected of assessors

- Employers with assurance of the standards maintained in the conduct of assessment.

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

- The differing needs and requirements of the person being assessed, the local enterprise and/or industry are identified and handled with sensitivity

- Potential forms of conflict of interest in the assessment process and/or outcomes are identified and appropriate referrals are made, if necessary

- All forms of harassment are avoided throughout the planning, conducting, reviewing and reporting of the assessment outcomes

- The rights of the candidate are protected during and after the assessment
- Personal and interpersonal factors that are not relevant to the assessment of competency must not influence the assessment outcomes
- The candidate is made aware of rights and process of appeal
- Evidence that is gathered during the assessment is verified for validity, reliability, authenticity, sufficiency and currency
- Assessment decisions are based on available evidence that can be produced and verified by another assessor
- Assessments are conducted within the boundaries of the assessment system policies and procedures
- Formal agreement is obtained from both the candidate and the assessor that the assessment was carried out in accordance with agreed procedures
- The candidate is informed of all assessment reporting processes prior to the assessment
- The candidate is informed of all known potential consequences of decisions arising from an assessment, prior to the assessment
- Confidentiality is maintained regarding assessment results
- The assessment results are used consistently with the purposes explained to the candidate
- Opportunities are created for technical assistance in planning, conducting and reviewing assessment procedures and outcomes.

Instructions and Checklist for Assessors

Instructions

General instructions for the assessment:

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

Preparation

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

Briefing Checklist

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

Checklist for Assessors

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

Instructions for Recording Competency

Specifications for Recording Competency

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

- A Competency Recording Sheet must be prepared for each candidate to ensure and demonstrate all Performance Criteria and Competency Elements are appropriately assessed. This Sheet indicates how the Assessor will gather evidence during their assessment of each candidate

- This Competency Recording Sheet is located at the end of the Assessment Plan

- It is the overriding document to record competency

- The Assessor may vary the Competency Recording Sheet to accommodate practical and individual candidate and/or workplace needs

- Assessor must place a tick (✓) in the 'Assessment Method' columns to identify the methods of assessment to be used for each candidate

- Multiple Competency Elements/Performance Criteria may be assessed at the one time, where appropriate

- The assessor and participant should sign and date the Competency Recording Sheet, when all forms of evidence and assessment have been completed

- The assessor may provide and feedback or clarify questions which the participant may have in regards to the assessment grade or findings

- All documents used to capture evidence must be retained, and attached to the Competency Recording Sheet for each candidate for each Competency Unit.

Instructions for Different Assessment Methods

Specifications for Work Project Assessment

These guidelines concern the use of work projects.

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

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

Assessors should follow these guidelines:

- Review the Work Projects at the end of each 'Element of Competency' in the Trainee Manual to ensure you understand the content and what is expected

- Prepare sufficient resources for the completion of work activities including:

    - Time – whether in scheduled delivery hours or suggested time participants to spend outside of class hours

    - Resources – this may involve technical equipment, computer, internet access, stationery and other supplementary materials and documents

- Prepare assessment location (if done in class) making it conducive to assessment

- Explain Work Projects assessment to candidate, at the start of each Element of Competency. This ensures that participants are aware of what is expected and can collate information as delivery takes place

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

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

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

- You are required to complete these activities:

  a) *Using the 'X' method of assessment*

  b) *At 'X' location*

  c) *You will have 'X time period' for this assessment*

  - You are required to compile information in a format that you feel is appropriate to the assessment

  - Do you have any questions about this assessment?"

- Commence Work Project assessment:

  - The assessor may give time for participants to review the questions at this time to ensure they understand the nature of the questions. The assessor may need to clarify questions

  - Participants complete work projects in the most appropriate format

  - Participants must submit Work Project evidence to the assessor before the scheduled due date

- Assessor must assess the participant's evidence against the competency standards specified in each Element of Competency and their own understanding. The assessor can determine if the participant has provided evidence to a 'competent' standard

- Transcribe results/details to Competency Recording Sheet

- Forward/file assessment record.

Specifications for Oral Question Assessment

These guidelines concern the use of oral questioning.

Assessors should follow these guidelines.

- Prepare Assessment Record for Oral Questioning. One record for each candidate:

  - Enter Student name

  - Enter Assessor name

  - Enter Location

- Familiarise self with Questions to be asked

- Prepare assessment location (table and chairs) making it conducive to assessment

- Explain Oral Questioning assessment to candidate, using the following phrase as a guide (where a 'X' is identified, please input appropriate information):

"These oral questions are part of the formal assessment for the unit of competency titled X.

There are X questions and you are required to answer all of them to the best of your ability and I will record whether or not you have answered correctly.

We have 60 minutes for this assessment.

- ▪ I will give you feedback at the end of the assessment
- ▪ Do you have any questions about this assessment?"

- Commence Oral Questioning assessment:
  - ▪ Complete Assessment Record for the Oral Questioning by:

a) Ticking PC or NYC, as appropriate

b) Entering 'Remarks' as required

c) Completing Oral Questioning within 60 minutes

- Complete Oral Questioning and provide feedback to candidate
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

Specifications for Written Question Assessment

These guidelines concern the use of written questioning.

Assessors should follow these guidelines:

- Familiarise self with Questions and Answers provided
- Print and distribute copies of 'Written Questions' for participants. Ideally this should take place with adequate time for participants to answer all questions before the expected due date
- Explain Written Questioning assessment to candidate, using the following phrase as a guide (where a 'X' is identified, please input appropriate information):

  "These written questions are part of the formal assessment for the unit of competency titled X.

  There are X questions and you are required to answer all of them to the best of your ability.

  You may refer to your subject materials, however where possible try to utilise your existing knowledge when answering questions.

  Where you are unsure of questions, please ask the Assessor for further instruction. This may be answering the question orally or asking the assessor to redefine the question.

  We have X time for this assessment:

  - ▪ The due date for completion of this assessment is X
  - ▪ On this date you must forward the completed questions to the assessor by X time on the date of X
  - ▪ Do you have any questions about this assessment?"

- The assessor may give time for participants to review the questions at this time to ensure they understand the nature of the questions. The assessor may need to clarify questions
- Participants may record written answers (where possible)
- Participants must submit the written answers to the assessor before the scheduled due date

- Assessor must assess the participant's written answers against the model answers provided as a guide, or their own understanding. The assessor can determine if the participant has answered the questions to a 'competent' standard
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

Specifications for Observation Checklist

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

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

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

To complete the Observation Checklist the Assessor must:

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

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

Specifications for Third Party Statement

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

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

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

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

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

To complete the Third Party Verification Statement the Assessor must:

- Insert candidate name

- Insert name and contact details of the Third Party

- Tick the box to indicate the relationship of the Third Party to the candidate

- Present the partially completed form to the Third Party for them to finalise

- Collect the completed form from the Third Party

- Transcribe results/details to Competency Recording Sheet for candidate

- Forward/file Third Party Statement.

The Third Party must:

- Record their belief regarding candidate ability/competency as either:

    - Pass Competent = Yes

    - Not Yet Competent = No

    - Unsure about whether candidate is competent or not = Not Sure

- Meet briefly with the assessor to discuss and/or clarify the form.

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

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

Competency standard

UNIT TITLE: ANALYSE COMPETENCY REQUIREMENTS	NOMINAL HOURS: 100
UNIT NUMBER: D2.TRD.CL8.01	
UNIT DESCRIPTOR: This unit deals with skills and knowledge required to research and document competency standards in a workplace context.	

ELEMENTS AND PERFORMANCE CRITERIA	UNIT VARIABLE AND ASSESSMENT GUIDE
Element 1: Define the context for *competency requirement* analysis **1.1** Describe the *scope* and *purpose* of developing competency standards for the organisation **1.2** Establish *systems and processes* for managing the competency development process **1.3** Identify the competency area(s) that require analysis and/or development **Element 2: Research the identified competency area(s)** **2.1** Undertake *research* to identify *relevant information* related to identified competency needs **2.2** Distinguish the *work areas* within the organisation	**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 use structured training and targeted recruitment of staff within the labour divisions of the hotel and travel industries and may include: 1. Food and Beverage Service 2. Food Production 3. Travel Agencies 4. Tour Operation *Competency requirement* for an organisation relates to competency standards. Competency standards are formally documented standards that specify how staff should perform their allocated work function. Competency standards may be developed as part of a formal accredited training program, to guide formal training, assessment and the award of qualifications, or be developed in-house by an enterprise to guide the selection and training of staff for its individual business needs: this unit relates to the use of competency standards within individual work settings.

2.3 Determine the range of *work activities* within identified work roles and areas	*Scope* will relate to determining how competency standards are applied in the workplace and may include:
2.4 Identify *skills, knowledge and attributes* required to perform identified tasks/activities	• Development of competency standards for training and/or assessment including the alignment of competencies to remuneration and the potential for advancement within the business
2.5 Create an *overview of factors required* in the competent performance of identified tasks/activities	• Development of competency standards for specific requirements within the business including differentiation of the competencies required within different work areas within the one business, such as distinguishing between the skills required in a public bar in contrast to those required in a cocktail bar
2.6 Confirm research conclusions with key stakeholders	
Element 3: Formulate draft competency standards	• Development of competency standards to meet identified immediate and long-term need.
	Purpose may include:
3.1 Interpret relevant *guidelines* regarding *format and structure* of competency standards	• Identifying the organisational needs in relation to competency enhancement or development
3.2 *Develop draft competency standards*	• Defining the work performance requirements of the host establishment and/or the industry
3.3 Confirm draft competency standards with key stakeholders	• Setting benchmarks for learning and assessment
Element 4: Validate competency standards	• Defining benchmarks for regulatory and/or licensing requirements
4.1 *Plan a review to validate draft competency standards*	• Setting minimum entry requirements for employment or entry into a profession or occupation
4.2 Develop *mechanisms to capture feedback* from the validation process	• Supporting development of multi-skills compatible to other operational areas within the business
4.3 *Address matters raised* by the *key stakeholders* as part of the validation process	• Supporting defined business, strategic, human resources or other organisational goals
	Organisational needs in relation to competency enhancement or development may include:
4.4 *Record feedback* received as part of the validation process	▪ Increased productivity
	▪ Increased profitability

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4.5 *Document the outcomes of the validation process* **4.6** *Prepare revised draft competency standards*, as required **4.7** *Confirm revised draft competency standards* **Element 5: Finalise draft competency standards** **5.1** *Undertake final checking* on all approved competency standards **5.2** Resolve outstanding issues, as appropriate **5.3** Identify *potential solutions to implementing identified competency standard requirements* **5.4** *Review the competency analysis and development process*	▪ Attainment of specific industry or enterprise competencies ▪ Achievement of business, government and local goals and priorities ▪ Compliance with licensing requirements and other externally imposed compliance obligations including legislated obligations ▪ Alignment with human resources considerations including remuneration, promotion, contingency planning, and succession planning. *Systems and processes* may include: • Developing a project management plan for the analysis of competency requirements • Developing a project management plan for the development of identified competencies • Determining *key stakeholders* in relation to the analysis of competency requirements including internal and external personnel • Establishing reference groups and committees to supervise and oversee the implementation of identified systems and processes • Applying computer-based software to assist in the analysis of competency requirements, where appropriate. • Establishing appropriate record keeping and financial systems to support the analysis of competency requirements including the development of relevant competency standards Key stakeholders may include: ▪ A fee-for-service client ▪ Industry, professional and trade associations and bodies ▪ Qualified trainers and assessors ▪ Team leaders, supervisors and managers ▪ Employees – past and present

	▪ Technical experts
	▪ Government regulatory and licensing agencies
	▪ Union representatives
	▪ Consultative committees within the business
	▪ Relevant industry training providers and associated training agencies
	▪ Funding bodies
	▪ Local authorities.
	Research may include:
	• Personal observation
	• Surveys and interviews including staff, management and customers
	• Focus groups
	• Job and task analysis
	• Analysis of existing training and assessment records
	• Evaluation of employee résumés
	• Traditional research sources including internet and literature
	• Preliminary discussions with key stakeholders
	• Delphi procedures
	• Nominal group techniques
	• Concept mapping
	• Ensuring data is reliable, representative, current and valid.

	Relevant information may include:
	• Existing competency standards including those that are industry-specific and those that exist within other similar industries
	• Undertaking a Training Needs Analysis (TNA) including specification of:
	▪ Resources
	▪ Timelines
	▪ Required outcomes
	▪ Responsibilities for action
	▪ Target groups within the workforce
	▪ Internal sources of information to be used as part of the process
	• Referring to outcomes of previous organisational training needs analyses
	• Industry or other research reports identifying trends, new developments, technological changes, work organisation changes and global developments.
	Work areas may include critical and discrete work areas such as:
	• A broad work function, for example, managing customer service
	• A narrow but discrete work function, for example, mail sorting
	• A work function requiring licensing, for example, forklift operations
	• A different application of a work process or function, for example, e-based applications.
	Work activities refers to tasks within each work area and may include:
	• Specific work tasks
	• Integrated work tasks
	• The processes involved in carrying out the work.

	Skills, knowledge and attributes may include:
	• Technical skills
	• Required knowledge including the facts, concepts or principles required to competently perform an activity such as:
	▪ Knowledge of the policies and procedures of the workplace and/or job role
	▪ Knowledge of the learner style
	▪ Knowledge of legislation
	• Skills and attributes including mental or physical abilities required to competently perform an activity such as:
	▪ Communication skills
	▪ Technology skills
	▪ Facilitation skills
	▪ Language, literacy and numeracy needs
	• Personal qualities needed to competently perform an activity such as:
	▪ Standards of behaviour
	▪ Values and beliefs
	▪ Respect
	▪ Demonstrating confidentiality
	▪ Concern for accuracy in information presented and/or documents produced
	▪ Willingness to travel distances or work irregular hours
	• Employability skills including teamwork, initiative and enterprise, self-management competencies, learning competencies, communication competencies, technology competencies.

	Overview of factors required may include consideration of:
	
	• Individual workplace factors and idiosyncrasies that apply
	
	• Functional analysis workshops using DACUMs (Developing a Curriculum) or similar techniques
	
	• Structured interviews with personnel regarded as competent, highly competent or very experienced
	
	• Evaluation of existing documentation including job profiles, job descriptions, job specifications and application of creative thinking techniques including:
	
	   ▪ Information processing, i.e. processing and sorting information from a range of sources and determining what is useful or relevant
	
	   ▪ Convergent thinking, i.e. filtering, ordering, critiquing and evaluating information
	
	   ▪ Divergent thinking, i.e. identifying and responding to different stimuli and discovering new information.
	
	Guidelines may include:
	
	• Government and semi-government organisations with responsibility for preparing industry-specific standards including domestic and international agencies
	
	• Competencies produced by industry-specific and other professional bodies
	
	• Internal organisational guidelines
	
	• International Labour Office publications.
	
	Format and structure may include determination of the level of formality required for the competencies under consideration and may include establishment of criteria regarding:
	
	• Application sector
	
	• Competency field
	
	• Industry sector
	
	• Pre-requisites

	• Elements
	• Performance criteria
	• Range statement
	• Evidence guide including:
	▪ Required knowledge and skill
	▪ Critical aspects of assessment and/or requirements relating to the collection of evidence to enable a decision regarding attainment of competency to be made
	• Employability skills
	• Context and resource implications for assessment, where applicable
	• Methods of assessment, where applicable
	• Products and processes that could be used as evidence
	• General guidance information.
	Develop draft competency standards may include:
	• Using industry and enterprise terminology
	• Basing the drafts on identified relevant research material
	• Adhering to identified format and structure requirements
	• Targeting the competencies specifically at enterprise requirements including the location of that context within a broader accredited vocational training context, where required
	• Writing competencies that reflect the identified work outcomes, practices, skill and knowledge requirements
	• Preparing material that is unambiguous, comprehensive, user-friendly and meaningful
	• Ensuring the competencies reflect the job/role environment and the context
	• Reflecting the dimensions of the competency.

	Plan a review to validate draft competency standards should include: • Arranging a comprehensive consultative process with key stakeholders • Identifying the mediums for consultation throughout the consultation and validation process including workshops, presentations, meetings, internet exchange and mail • Scheduling dates and times for consultation and validation processes • Arranging venues, where appropriate, for review meetings • Determining the scope, local, regional, national, international, of the consultation and validation processes • Establishing questions to guide the validation process • Ensuring the process verifies research undertaken and the accuracy and utility of material/data obtained. *Mechanisms to capture feedback* may include: • Approval forms • Feedback and comments sheets • Facility to make direct responses onto draft competencies, such as the track changes function on electronic versions • Using a shared website to upload and download electronic draft competency standards • Establishing and maintaining a paper-based filing system to record input and contributor identification. *Address matters raised* may include: • Identifying issues and concerns relating to any aspect of the draft competencies including content, format and implementation • Clarifying ambiguities and misunderstandings • Identifying the need for more information including the need for additional draft competencies to be developed

	• Accepting and addressing negative responses to the drafts
	• Recording and acknowledging positive feedback
	• Determining whether new ideas should be accommodated at this phase of the project.
	Record feedback may include:
	• Collating and analysing input and contributions
	• Using agreed criteria to determine whether to modify or maintain the draft competencies including:
	▪ Relevance of feedback
	▪ Appropriateness of feedback
	▪ Whether or not feedback adds value or meaning
	▪ Whether or not feedback adds new content
	▪ Whether or not feedback adds quality to the drafts.
	Document the outcomes of the validation process may include:
	• Providing written and/or verbal presentation to key stakeholders in relation to the issues identified by the validation process and the intended course(s) of action in each instance.
	Prepare revised draft competency standards should occur on the basis of feedback received as part of the validation process and may include:
	• Re-writing existing draft competency standards
	• Adding new draft competency standards
	• Deleting draft competency standards.
	Confirm revised draft competency standards may include:
	• Involving key stakeholders
	• Re-iterating the initial validation process.

Undertake final checking may include:

- Ensuring competencies meet internally and externally imposed guidelines, where applicable

- Checking competencies meet identified end-use need

- Obtaining final sign-off from relevant personnel including managers and owners, human resource department, training department and others

- Organising activities to introduce identified competency standards within the enterprise including the prioritisation of implementation of competency standards

- Ensuing competency standards and combinations of competency standards, align with identified:

  - Business goals

  - Job roles

  - Career and skills pathways within the enterprise and/or industry

  - Employee classifications

  - Position descriptions

  - Internal and/or externally delivered training provision

  - Appraisal requirements

  - Licensing and/or accreditation conditions

- Effectiveness, resource implications, cost-benefit analyses and timing requirements.

Potential solutions to implementing identified competency standard requirements may include:

- Public and private registered training providers

- In-house training

- Formal accredited courses

	• Short courses
	• Hiring fully-trained staff
	• Re-allocating work tasks to different staff
	• Alignment of implementation with business goals, individual and organisational.
	Review the competency analysis and development process may include:
	• Evaluating the initial research undertaken
	• Evaluating the TNA that was undertaken
	• Evaluating the draft competencies that were prepared
	• Evaluating the competency analysis and development procedures
	• Evaluating the contributions made by key stakeholders
	• Evaluating the resources allocated to the process
	• Evaluating the timelines that applied
	• Evaluating the final product.
	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 human resource management and human resource development
	• Ability to apply principles of vocational education and training
	• Ability to use communication, research, management, thinking, analytical, decision-making, networking and presentation skills
	• Knowledge of vocational training within the relevant industry sector of the host country
	• Knowledge of government guidelines relating to funding for research and activities relating to generating industry standards and competencies

	• Knowledge of licensing, compliance, accreditation and other imperatives that apply to staff performance within the relevant industry sector of the host country
	• Knowledge of employment-related legislation that applies to the relevant industry sector of the host country.
	Linkages To Other Units
	• Access and retrieve computer-based data
	• Produce documents, reports and worksheets on a computer
	• Maintain a paper-based filing and retrieval system
	• Manage and implement small projects
	• Plan and establish systems and procedures
	• Plan, manage and conduct meetings
	• Prepare business documents
	• Use common business tools and technology
	• Work cooperatively in a general administration environment
	• Plan, conduct and evaluate a staff performance assessment
	• Manage legal requirements for business compliance
	• Manage the effective use of human resources
	• Monitor staff performance
	• Recruit and select staff
	• Roster staff
	• Prepare and deliver a presentation
	• Develop and manage business strategies
	• Design and establish a training system

	• Implement, monitor and evaluate a training and development program
	• Plan and promote training courses
	• Manage workplace diversity
	• Design, prepare and present various types of reports.
	Critical Aspects of Assessment
	Evidence of the following is essential:
	• Understanding of host enterprise policies and procedures in regard to human resource management and human resource development
	• Demonstrated ability to define the context for competency standards analysis in a nominated real or simulated workplace setting, identifying the competency areas that require analysis and/or development
	• Demonstrated ability to research nominated competency areas to identify the skills, knowledge, attributes and relevant other factors required to competently perform at least three designated tasks, or job roles
	• Demonstrated ability to produce at least three written effective, unambiguous, comprehensive and currently applicable competency standards, as nominated by the candidate and suitable for implementation in a nominated workplace, that specify how staff should perform the identified work functions.
	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:

- Observation of practical candidate performance

- Analysis of a portfolio of work produced by the candidate including research materials, transcripts of interviews, draft competency standards and revised/final competency standards

- Case studies

- Project work

- Oral and written questions

- 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, organising and analysing information	3	Conduct a Training Needs Analysis
Communicating ideas and information	3	Share draft competency standards with key stakeholders for feedback

	Planning and organising activities	2	Schedule research activities
	Working with others and in teams	3	Liaise with others as part of the validation process
	Using mathematical ideas and techniques	2	Calculate statistics related to training needs analyses and cost-benefit analyses
	Solving problems	2	Address lack of information situations
	Using technology	2	Use software packages to undertake research, human resource analysis and competency standard development

Oral questions

Student name	
Assessor name	
Location/venue	
Unit of competency	Analyse competency requirements D2.TRD.CL8.01
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. Name an organisation and describe the scope and purpose of developing competency standards for that organisation.	❏	❏
2. What was involved in establishing the systems and processes for managing the competency development process in an organisation?	❏	❏

Questions	Response	
	PC	**NYC**
3. Explain how you identified the competency area(s) that required analysis and/or development for an organisation.	❑	❑
4. Describe the research you undertook to identify relevant information related to identified competency needs for an organisation.	❑	❑
5. Why is it important to distinguish work areas and work activities when researching identified competency areas? Give me an example of when and how you did this.	❑	❑

Questions	Response	
	PC	**NYC**
6. Give me an example of how you identified the skills, knowledge and attributes required to perform identified tasks/activities for an organisation.	❑	❑
7. Tell me about a situation where your research enables you to create an overview of the factors required for competent workplace performance and how you confirmed/validated these findings.	❑	❑
8. Use an example to illustrate how you have formulated draft competency standards identifying how you determined required format, structure and content, and confirmed the drafts.	❑	❑

Questions	Response	
	PC	NYC
9. Use an example to illustrate how you have validated draft competency standards referencing your answer to the planning required for the process, capturing and recording feedback, and addressing matters raised.	❑	❑
10. Continuing the example used in your previous answer what did you do in terms of documenting the validation process, revising the draft competencies and confirming the revised drafts?	❑	❑
11. Use an example to describe what you did in order to undertake final checking on approved competency standards and resolving outstanding issues.	❑	❑

Questions	Response	
	PC	**NYC**
12. Tell me about a situation where you needed to resolve an issue to implementing a competency standard and incorporated final changes into documentation.	❏	❏
13. Describe a situation where you have reviewed the entire process involved in competency analysis and the development process; what occurred and how did you do it?	❏	❏

Assessor Manual
Analyse competency requirements

Written questions

Analyse competency requirements – D2.TRD.CL8.01

Student Name: _____

Answer all the following questions and submit to your Trainer.

1. What two aspects are involved when determining the scope of competency standards for an organisation?

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2. Identify four possible reasons for developing competency standards.

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3. Give six reasons to establish systems and processes for managing competency development.

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4. Give six examples of protocols which may be developed for managing the process of developing required competencies.

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5. Give three possible definitions/interpretations of the term 'competency areas'.

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6. Identify four strategies to determine the competency areas which need to be targeted in relation to the analysis and/or development of competency standards.

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7. Differentiate between 'secondary' and 'primary' research.

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8.   Differentiate between 'qualitative' and 'quantitative' data.

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9.   Identify six techniques for researching competency requirements.

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10. Select one of the research techniques identified in the previous answer and discuss/describe its application.

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11. What four basic considerations need to be accommodated in relation to research data which is generated?

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12. Give four reasons it is important to distinguish between work areas when researching competency standards.

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13. List six standard procedures for distinguishing between work areas.

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14. What are the three classifications of activities which need to be considered when determining work activities for an identified work role?

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15. Name four ways of determining work activities for a nominated role/position in a workplace.

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16. Explain/define the term 'generic skills' in relation to competency standards.

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17. Explain/define the term 'technical skills' in relation to competency standards.

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18. Give six examples of 'employability skills'.

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19. In relation to competency standards define/explain the term 'required knowledge'.

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20. Identify five aims/objectives of a 'Functional analysis workshop'.

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21. What is a DACUM or a DACUM document?

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22. Differentiate between a 'Job Description' and a 'Job Specification'.

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Assessor Manual
Analyse competency requirements

23. What is a 'Job Statement'?

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24. Identify and briefly describe one creative thinking technique that can be used when researching identified competency areas.

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25. Give four reasons it is important to confirm research conclusions about identified competency areas with key stakeholders.

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26. Identify six ways to confirm research conclusions about identified competency areas with key stakeholders.

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27. Name three examples of possible guidelines which may need to be referenced when formulating draft competency standards.

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28. Provide three reasons it is useful to determine the format and structure to use when developing competency standards.

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29. In terms of competency standards, what is a 'pre-requisite'?

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30. Differentiate between an 'Element' and a 'Performance Criteria' in a competency standard.

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31. What are the seven Key Competencies used in the ASEAN competency standards?

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32. List six points that provide a sound basis for effective drafting of competency standards.

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33. Give four reasons it is important to confirm draft competency standards with key stakeholders.

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34.   Name four ways to confirm draft competency standards with stakeholders.

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35.   Define the term 'validation' with reference to draft competency standards which have been prepared.

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36.   Name six activities involved in planning a review of draft competency standards.

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37. Identify four options that can be used as strategies for enabling stakeholders to contribute feedback as part of the validation process.

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38. What is/should be the essential basis for determining whether or not changes need to be made to draft competency standards

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39. Give two reasons it is important to acknowledge all contributions/feedback received as part of the validation process.

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40. Identify four reasons it is vital to record all feedback received as part of the validation process.

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41. When creating and maintaining records of the validation process list four keys to an effective system.

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42. Describe four activities that may/should be entailed when documenting outcomes of the validation process.

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43. Identify four considerations and/or requirements when preparing revised draft competency standards following the validation process.

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44. Describe four standard practices/activities involved when confirming revised draft competency standards.

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45. When should the 'final checking' of competency standards occur?

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46. Give two reasons why 'final checking' of competency standards should occur.

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47. Name two common activities involved in the final checking of competency standards.

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48. Identify three keys for the effective resolution of outstanding issues when finalising competency standards.

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49. Describe four actions which can be effectively applied to help resolve outstanding issues when finalising competency standards.

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50. Give four options/implementation solutions for new or revised workplace competency standards.

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51. Identify six elements which may be addressed when reviewing the competency analysis and development process.

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Assessor Manual
Analyse competency requirements

Answers to written questions

Analyse competency requirements – D2.TRD.CL8.01

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 two aspects are involved when determining the scope of competency standards for an organisation?

    - Where they will be applied in the workplace

    - Who they will apply to.

2. Identify four possible reasons for developing competency standards.

    - Identifying the organisational needs in relation to competency enhancement or development

    - Implementing a variety of operational purposes – such as:
        - Defining the work performance requirements of the host establishment and/or the industry
        - Setting benchmarks for learning and assessment
        - Setting minimum entry requirements for employment or entry into a position
        - Supporting development of multi-skills compatible to other operational areas within the business
        - Supporting defined business, strategic, human resources or other organisational goals
        - Designing work and preparing job descriptions
        - Providing the basis for performance appraisals
        - Developing selection criteria for vacancies/advertisements for jobs
        - Developing career paths within the organisation
        - Identifying training needs
        - Developing training programs

    - Differentiating competencies required within different work areas within the one business – such as distinguishing between the skills required in a public bar in contrast to those required in a cocktail bar

    - Developing competency standards to meet identified immediate and long-term need

    - Defining benchmarks for regulatory and/or licensing requirements.

3.	Give six reasons to establish systems and processes for managing competency development.

- Formalise the protocols – so there is a written record of what is required/needed

- Facilitate sharing of the information – so relevant others can follow/use the processes and systems

- Demonstrate the work and effort which has been expended – in terms of researching the development process and generating suitable and effective protocols

- Use a basis for training organisational personnel – in implementation/application of the protocols

- Give certainty about what has been developed – so everyone is aware of what is available, what can be done and what is required

- Assist with allocating work, roles and responsibilities – in the overall development process

- Serve as a foundation for allocating resources to enable/support the process – so the likelihood of achieving required outcomes is optimised

- Provide a basis for reviewing the protocols – and, where necessary, making required changes/improvements to previous arrangements.

4.	Give six examples of protocols which may be developed for managing the process of developing required competencies.

- Developing project management plan for the analysis of competency requirements

- Developing a project management plan for the development of identified competencies

- Generating model/illustrative activities and examples which can be used as required to:

    - Conduct research

    - Map skills, knowledge and attitudes against individual job positions

    - Analyse and manipulate data

    - Draft standards to align with Competency Based principles

- Determining key stakeholders

- Establishing necessary support structures

- Applying computer-based software

- Establishing appropriate supporting and operational systems.

5. Give three possible definitions/interpretations of the term 'competency areas'.

- Critical and discrete work areas

- The range of work activities or tasks within each work area

- Technical skills required to perform the identified tasks/activities

- Required knowledge, including the facts, concepts or principles required to competently perform an activity

- Required generic skills required to competently perform an activity

- Personal qualities needed

- Priority areas for the organisation

- Nominated positions, jobs, roles and tasks within the organisation

- Specific areas, tasks, roles, products or services specified by terms and conditions of tagged grants, donations or subsidies provided by external providers

6. Identify four strategies to determine the competency areas which need to be targeted in relation to the analysis and/or development of competency standards.

- Analysing business documentation and records – to identify business performance statistics which indicate a need for action

- Observing workplace activities – to determine skills, jobs, tasks and/or individuals that will benefit from attention

- Reading organisational plans and targets – to identify strategic goals and/or priority areas for the business

- Talking to business managers and owners – to obtain their input in relation to priorities and preferences for action

- Reviewing feedback received – to identify services and/or products which have attracted criticism and complaints

- Understanding compliance requirements – so the organisation ensures it meets legally imposed obligations.

7. Differentiate between 'secondary' and 'primary' research.

Answer must address:

- 'Secondary research' – which is uncovering information/data which already exists

- 'Primary research' – which involves undertaking research to address gaps in the research information left when secondary research has been completed and generates fresh/new data.

8. Differentiate between 'qualitative' and 'quantitative' data.

    Answer must address:

    - Qualitative data (also known as 'soft' data) – which addresses:
        - People's thoughts, feeling and opinions
        - The reasons why people do or do *not* do certain things
    - Quantitative data (also known as 'hard' data) – which addresses:
        - Figures, numbers and statistics
        - Ratios and percentages.

9. Identify six techniques for researching competency requirements.

    - Personal observation
    - Surveys and interviews
    - Focus groups
    - Job and task analysis
    - Analysis of existing training and assessment records
    - Evaluation of employee résumés
    - Traditional research sources
    - Preliminary discussions
    - Delphi procedures
    - Nominal group techniques
    - Concept mapping.

10. Select one of the research techniques identified in the previous answer and discuss/describe its application.

    No model answer.

11. What four basic considerations need to be accommodated in relation to research data which is generated?

    - Reliable – meaning the findings are actual and factual and can be relied on
    - Representative – it must have been gathered from the area and/or people for whom competency standards will be analysed and/or developed
    - Current – the research information must be up-to-date, and not dated or captured from several years ago
    - Valid – it must genuinely reflect the questions/topics it was intended to address.

12. Give four reasons it is important to distinguish between work areas when researching competency standards.

    - Put work and competencies into perspective – so the person analysing and developing the competency standards has a better understanding of the totality of the business which can help integrate activities and create natural synergies

    - Correctly classify individual jobs and responsibilities – so there is actual workplace separation of roles

    - Gain a more comprehensive overview of the entire organisation and the products/services it provides to:
        - Internal customers
        - External customers

    - Ensure competency standards are prepared to address the particular needs of individual work areas – as opposed to generic requirements

    - Provide the most effective assistance to workers – by providing them with competency standards/training which is specifically targeted to their particular performance requirements

    - Enable all required ASK components for all positions to be correctly and comprehensively addressed – with reference to the individual expectations for every position within the organisation

    - Generate a framework for assigning competencies – to individual or multiple positions within the organisation

    - Facilitate identification of areas where there is a demonstrated need for attention – in terms of the production of new or revised competencies.

13. List six standard procedures for distinguishing between work areas.

    - Observe the workplace – to see what happens and identify who does what

    - Speak to workers – to obtain their input about the work they do

    - Examine the organisational chart for the business – to see official structure of the business

    - Read the job descriptions – for individual positions

    - Talk to managers and supervisors – to get their input about work and distinctions

    - Interview external customers – to understand their perception regarding separation and/or conjunction of work activities

    - Review operations manuals – and associated policies and procedures.

14. What are the three classifications of activities which need to be considered when determining work activities for an identified work role?

    - Generic work tasks
    - Specific work tasks
    - Integrated work tasks.

15. Name four ways of determining work activities for a nominated role/position in a workplace.

   - Talking to management – their opinion often carries the most weight about what will be addressed and what will receive top priority

   - Taking into account demands/orders from government authorities – where there is a need to comply with a legally-imposed obligation

   - Analysing finding of TNAs and skills analyses/audits – to identify the areas of greatest demand

   - Identifying activities and processes which will benefit most from improvement – for example, this means identifying:

      - Areas where there is high waste

      - Areas of low productivity

      - Areas where there are high incidences of errors

      - Areas attracting most complaints from customers.

16. Explain/define the term 'generic skills' in relation to competency standards.

   - 'Generic skills' refers to a wide selection of skills which will need to be used by employees across a range of specific work activities/tasks.

   - They are generally regarded as 'transferable' skills in that they can be used in different roles/used to help perform different tasks – as opposed to being role-/position-specific.

17. Explain/define the term 'technical skills' in relation to competency standards.

   - Hands-on, 'practical' operational skills required in order to perform a specific task/work activity

   - Skills which are generally not transferable between different work tasks/work activities – meaning they are often role-/position-specific.

   - They are sometimes referred to as 'work content' skills.

18. Give six examples of 'employability skills'.

   - Teamwork

   - Initiative and enterprise

   - Self-management competencies

   - Learning competencies

   - Independence

   - Creativity

   - Critical judgement

   - Planning and organisation

   - Common sense.

19. In relation to competency standards define/explain the term 'required knowledge'.

    'Required knowledge' in the workplace refers to essential/important knowledge that underpins work performance, and may include:

    - Facts, concepts or principles required – to underpin and enable competent performance of an activity

    - Knowledge of organisational policies and procedures – as applicable to the workplace and/or job role

    - Knowledge of relevant legislation – as it applies to individual positions and/or work practices

    - Prices, costs and budget/financial information and/or parameters – as applicable to items being produced and/or sold

    - Product information and details – of all products/services and facilities offered for sale/use

    - Local area/district or country knowledge – to assist with sales and help inform and advise visitors/tourists.

20. Identify five aims/objectives of a 'Functional analysis workshop'.

    To identify for each position in the organisation;

    - The Key Duties for the position

    - The Tasks which are associated with each Key Duty

    - The sequence/order tasks need to be performed in

    - Basic position requirements – classified under headings of:
      - Position overview – addressing concepts such as:
        - Other positions helped by this position
        - General contribution of the position to the operation of the business
        - How the job fits in with other positions
      - General knowledge and skills required for the position
      - Attributes of worker behaviour for the position
      - Tools and equipment used by the worker.

21. What is a DACUM or a DACUM document?

    - DACUM stands for 'Developing a Curriculum'.

    - It is the product/outcome of the Functional analysis workshop (above) where experts identify the necessary duties, tasks and supporting requirements for a particular job/position within the organisation.

    - It is a form of occupational analysis.

    - This DACUM document (or DACUM) as it is known forms the basis of competencies for the job, and provides the focus for work-specific training for the position.

22. Differentiate between a 'Job Description' and a 'Job Specification'.

   - The job description contains all the information a person needs to know about the job itself.

   - Job specification addresses the human qualities the best person for the job would possess.

23. What is a 'Job Statement'?

   - This is a document combining the Job Description and the Job Specification for a position.

24. Identify and briefly describe one creative thinking technique that can be used when researching identified competency areas.

   No model answer.

25. Give four reasons it is important to confirm research conclusions about identified competency areas with key stakeholders.

   - Demonstrate on-going engagement with relevant persons – showing a collaborative and consultative orientation

   - Provide evidence of work done to-date – so people can see what has occurred since they were last involved in the process

   - Give people a final chance to contribute – so the 'final product' genuinely incorporates the thoughts and requirements of all stakeholders

   - Provide an opportunity for errors and omissions to be addressed – so the final conclusions are accurate, correct and comprehensive

   - Obtain final verification/validation of the conclusions reached – so they can be worked on with confidence to produce draft competency standards.

26. Identify six ways to confirm research conclusions about identified competency areas with key stakeholders.

   - Holding a meeting (or series of meetings) with key stakeholders – to review and discuss the conclusions

   - Making a formal presentation – with sections allowing for contributions by those in attendance

   - Speaking to key stakeholders individually – and obtain their input and/or confirmation

   - Emailing stakeholders with relevant attachments – and requesting them to reply by a set date

   - Adding a relevant agenda item to standing 'other' meetings – and using that opportunity to obtain confirmation/verification and feedback

   - Seeking time at Staff Briefings – to address the issue

   - Distributing hard copy details – and requesting comment/confirmation by a given time.

27. Name three examples of possible guidelines which may need to be referenced when formulating draft competency standards.

- Government and semi-government organisations

- Competencies produced by industry-specific and other professional bodies

- Internal organisational guidelines

- International Labour Office publications

28. Provide three reasons it is useful to determine the format and structure to use when developing competency standards.

- Identify the options which best suits the needs of the organisation – as applicable to individual needs, want or preference

- Develop new/revised competency standards which align with previous/existing competency standards in the organisation – so there is consistency across the range of documents produced

- Align organisational practice with accepted protocols – for the creation of competency standards

- Produce documentation which conforms to standard internal orientations – such as level of formality, language used, amount of detail.

29. In terms of competency standards, what is a 'pre-requisite'?

- These identify necessary the necessary 'prior requirements' before a learner can attempt the competency standards/start to study the unit.

- Pre-requisites may address:
  - Age
  - Physical competence/ability
  - Experience
  - Other units/competencies or qualifications.

30. Differentiate between an 'Element' and a 'Performance Criteria' in a competency standard.

    Elements

    - All competencies comprise a number of Elements.

    - There is no fixed, set or 'required' number of Elements per competency.

    - There is always more than one Element and three to five is a common range.

    - They identify and describe:

        - The key tasks or activities which make up the competency

        - The major building blocks of the competency

        - A sequential approach to the required tasks.

    Performance criteria

    - All Elements comprise a number of Performance Criteria.

    - There is no fixed, set or 'required' number of Performance Criteria per Element.

    - There is always more than one Performance Criteria and five to eight is a common range.

    - They are sub-sets of an Element and prescribe action needed for competency in the Element.

    - Parts of the Performance Criteria may be written in italics meaning this part is addressed under the Range statement/Unit variables section of the competency standard.

31. What are the seven Key Competencies used in the ASEAN competency standards?

    - Collecting, organising and analysing information

    - Communicating ideas and information

    - Planning and organising activities

    - Working with others and in teams

    - Using mathematical ideas and techniques

    - Solving problems

    - Using technology.

32. List six points that provide a sound basis for effective drafting of competency standards.

- Use a team approach

- The material written must reflect the research undertaken

- Address the priority needs of the organisation

- Use appropriate terminology

- Adhere to the format and structure requirements for production of the competencies

- Write professionally

- Ensure the competency addresses the actual job/role environment

- Cover all dimensions of the competency

- Be prepared to draft and revise

- Obtain approved/accepted samples of competencies – and use these as a model

- Begin the statements for Elements and Performance Criteria with a verb – in the present tense

- Avoid including qualifying words and/or phrases

- Add a background watermark to documents – showing they are 'DRAFT'

- Strive to be brief

- Avoid breaking activities down into sub-sets which are overly atomised

- Practice.

33. Give four reasons it is important to confirm draft competency standards with key stakeholders.

- Demonstrate on-going engagement with relevant persons – showing a collaborative and consultative orientation

- Provide evidence of work done to-date – so people can see what has occurred since they were last involved in the process

- Give people a final chance to contribute – so the 'final product' genuinely incorporates the thoughts and requirements of all stakeholders

- Provide an opportunity for errors and omissions to be addressed – so the final conclusions are accurate, correct and comprehensive

- Obtain final confirmation the drafts are complete – and ready to be validated.

34. Name four ways to confirm draft competency standards with stakeholders.

   - Holding a meeting (or series of meetings) with key stakeholders – to review and discuss the drafts

   - Making a formal presentation – with sections allowing for contributions by those in attendance

   - Speaking to key stakeholders individually – and obtain their input and/or confirmation

   - Emailing stakeholders with relevant attachments – requesting them to reply by a set date

   - Adding a relevant agenda item to standing 'other' meetings – and using that opportunity to obtain confirmation

   - Seeking time at Staff Briefings – to present the drafts for confirmation

   - Distributing hard copy details – and requesting comment/confirmation by a given time.

35. Define the term 'validation' with reference to draft competency standards which have been prepared.

   In this context, 'validation' refers to:

   - Verifying the competency is accurate and relevant

   - Confirming it is correct and complete

   - Certifying all aspects of the standard

   - Agreeing the standard conforms to workplace requirements and standards

   - Approving it for use as intended

   - Justifying and defending the competency that has been written.

36. Name six activities involved in planning a review of draft competency standards.

   - Seeking permission from management to proceed

   - Arranging a comprehensive consultative process with key stakeholders

   - Preparing and distributing draft materials

   - Designing feedback options

   - Identifying the mediums for consultation

   - Scheduling events/options for consultation and validation

   - Arranging venues for the events/options for consultation and validation

   - Determining the scope of people to be involved in the process

   - Determining topics and developing questions to guide the validation process

   - Ensuring the process specifically verifies all relevant aspects of the competency

   - Recording the process.

37. Identify four options that can be used as strategies for enabling stakeholders to contribute feedback as part of the validation process.

   - Approval forms

   - Feedback and comments sheets

   - Facility to make direct responses onto draft competencies

   - Using a shared website

   - Providing a verbal response option.

38. What is/should be the essential basis for determining whether or not changes need to be made to draft competency standards

   - Legitimate feedback/issues raised.

   - No change simply for the sake of change

   - Change must equal improvement.

39. Give two reasons it is important to acknowledge all contributions/feedback received as part of the validation process.

   - Show appreciation for their input

   - Encourage further contributions in the future.

40. Identify four reasons it is vital to record all feedback received as part of the validation process.

   - Demonstrate a professional orientation to the activity

   - Serve as a reference point for future use

   - Comply with internal polices

   - Assist with sharing information

   - Provide evidence of the process

   - Create a growing data base of information

   - Capture information, facts, input, comments and contributions as testimony to the actual feedback received

   - Ensure topics for further action are recorded so they can be adequately addressed – and are not inadvertently overlooked.

41. When creating and maintaining records of the validation process list four keys to an effective system.

- Making sure all responses are recorded

- Compiling basic meeting information

- Collating input and contributions

- Providing evidence of the analysis of feedback

- Identifying contributors

- Recording action taken in response to issues raised

- Documenting the outcomes of the validation process

- Capturing details of any revised drafts which emerge as a result of the validation process

- Detailing evidence of confirmation of revised drafts

- Using a combination of filing options

- Applying standard security and file management protocols

42. Describe four activities that may/should be entailed when documenting outcomes of the validation process.

- Creating revised draft competency standards – to reflect comments made by stakeholders

- Giving rationale/s for changes which were made – as a way of justifying the alterations made

- Identifying and thanking stakeholders who made contributions which formed the basis for making the changes – so they can be acknowledged for their contribution/s

- Detailing actions taken to validate the revised drafts

- Providing written (hard and/or soft copy) presentations to stakeholders – detailing the considerations and activities undertaken and showing the outcomes of the process

- Making verbal presentations to stakeholders – with appropriate slide presentations, handouts and/or Question and Answer session

- Indicating the proposed course of action – as appropriate to:
  - Validation of the competency standard
  - Revising and re-presenting the competency for another round of validation.

43. Identify four considerations and/or requirements when preparing revised draft competency standards following the validation process.

- Changes should only be made where legitimate grounds exist

- Changes must equate to actual *improvements*

- Revisions should be based on input from the stakeholders who were part of the validation process

- Actually re-writing existing draft competency standards to respond to agreed changes

- Creating or adding completely new competency standards

- Deleting draft competency standards

- Prepare and circulate revised copies of the competency to stakeholders applying suitable version control protocols.

44. Describe four standard practices/activities involved when confirming revised draft competency standards.

- Repeating the initial validation process

- Circulating the revised drafts for feedback

- Organising meetings

- Conducting meetings or undertaking other communication options

- Explaining changes made

- Describing rationale/s for changes

- Responding to further feedback/criticism

- Asking for validation

- Capturing evidence of the validation

- Up-dating status of the revised draft

- Removing 'DRAFT' watermark from documents

- Sharing the approved version with relevant others.

45. When should the 'final checking' of competency standards occur?

- Occurs after the validation process has been completed – so there is surety regarding the fundamentals of the competency standard/s

- Needs to take place before implementation – to ensure the competency standard put in place remains relevant and current.

46. Give two reasons why 'final checking' of competency standards should occur.

- Allows time/opportunity for incorporation of necessary 'last minute' inclusions and/or changes – as identified

- Involves final double-checking the standard – against identified workplace requirements

- Provides the basis for internal organisational acceptance of the standard – by the Board or senior management

- Gives the basis for authorisation to proceed with implementation of the competency standards – as determined when the development process first began.

47. Name two common activities involved in the final checking of competency standards.

- Reading relevant documents to ensure competencies meet guidelines

- Checking competencies meet identified end-use need

- Making a presentation or submission to the organisation to obtain final and official internal sign-off

- Developing a written implementation plan to introduce the competency standard/ into the workplace

- Ensuing competency standards and/or combinations of competency standards, align with required internal requirements, obligations and/or objectives.

48. Identify three keys for the effective resolution of outstanding issues when finalising competency standards.

- Target the identified cause/s of outstanding issue/s

- Focus on the identified issues

- Adhere to any internal strategies which are used across the organisation to resolve issues

- Understand the resolution of these types of issue is rarely a place to apply negotiation skills.

49. Describe four actions which can be effectively applied to help resolve outstanding issues when finalising competency standards.

- Engage with the person/s who raise the issue

- Clearly identify the outstanding issue/s

- Gather relevant information, data or comments/input relating to the outstanding issue/s

- Test revised competency standards

- Analyse further/extra evidence, information and/or data generated as a result of additional research

- Generate new and/or revised competency standards

- Produce new 'revised drafts' for competency standards

- Follow normal internal protocols for confirming/validating the new or revised competency standards

- Create amended implementation plan, if required

- Re-submit validated competency standards and implementation plan to management

- Incorporate final changes into relevant documentation.

50. Give four options/implementation solutions for new or revised workplace competency standards.

- Introduction into training for employees

- Revision of position descriptions and related documentation

- Engagement of suitable staff

- Acquisition of physical resources

- Revision of workplace layout

- Alignment of implementation with internal plans and goals

- Revision of organisational targets

- Communication with stakeholders

- Use of 'Workplace heroes'

- Record and track action taken.

51. Identify six elements which may be addressed when reviewing the competency analysis and development process.

- Evaluating the initial research undertaken

- Evaluating TNAs and similar undertaken

- Evaluating the competencies prepared/final products

- Evaluating the competency analysis and development procedures

- Evaluating the contributions made by key stakeholders

- Evaluating the resources allocated to the process

- Evaluating the timelines that applied.

Observation checklist

Student name	
Assessor name	
Location/venue	
Unit of competency	Analyse competency requirements D2.TRD.CL8.01
Dates of observation	

Instructions	1. Over a period of time observe the student completing each of the following tasks:
	
	   a) Define the context for competency requirement analysis
	
	   b) Research the identified competency area(s)
	
	   c) Formulate draft competency standards
	
	   d) Validate competency standards
	
	   e) Finalise draft competency standards
	
	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:Define the context for competency requirement analysis		
Describe the scope and purpose of developing competency standards for the organisation	❑	❑
Establish systems and processes for managing the competency development process	❑	❑
Identify the competency area(s) that require analysis and/or development	❑	❑
Element 2: Research the identified competency area(s)		
Undertake research to identify relevant information related to identified competency needs	❑	❑
Distinguish the work areas within the organisation within identified work roles and areas	❑	❑
Determine the range of work activities within identified work roles and areas	❑	❑
Identify skills, knowledge and attributes required to perform identified tasks/activities	❑	❑

Did the candidate	Yes	No
Create an overview of factors required in the competent performance of identified tasks/activities	❏	❏
Confirm research conclusions with key stakeholders	❏	❏
Element 3: Formulate draft competency standards		
Interpret relevant guidelines regarding format and structure of competency standards	❏	❏
Develop draft competency standards	❏	❏
Confirm draft competency standards with key stakeholders	❏	❏
Element 4: Validate competency standards		
Plan a review to validate draft competency standards	❏	❏
Develop mechanisms to capture feedback from the validation process	❏	❏
Address matters raised by the key stakeholders as part of the validation process	❏	❏
Record feedback received as part of the validation process	❏	❏
Document the outcomes of the validation process	❏	❏
Prepare revised draft competency standards, as required	❏	❏
Confirm revised draft competency standards	❏	❏
Element 5: Finalise draft competency standards		
Undertake final checking on all approved competency standards	❏	❏
Resolve outstanding issues, as appropriate	❏	❏
Identify potential solutions to implementing identified competency standard requirements	❏	❏
Review the competency analysis and development process	❏	❏
Did the student's overall performance meet the standard?	❏	❏

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

Third Party Statement

Student name:			
Name of third party:		Contact no:	
Relationship to student:	❑ 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:	Analyse competency requirements D2.TRD.CL8.01		

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 scope, purpose and context for competency standards for an organisation	❑	❑	❑
Establishes processes for identifying and managing the process of identifying and managing development of competency standards	❑	❑	❑
Researches and identifies relevant requirements which apply to developing competency standards for an organisation	❑	❑	❑
Identifies skills, knowledge, attributes and other relevant factors required for competent performance of nominated tasks/activities	❑	❑	❑
Formulates and confirms draft competency standards to meet identified organisational need	❑	❑	❑
Reviews and revises draft competency standards as required as part of a validation process in consultation with stakeholders	❑	❑	❑
Prepares revised competency standards to reflect outcomes of the validation process	❑	❑	❑
Finalises the process for confirming revised competency standards identifying and resolving issues and incorporating final changes into documentation	❑	❑	❑
Reviews the competency analysis and development process	❑	❑	❑

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

Competency recording sheet

Name of Student		
Name of Assessor/s		
Unit of Competency	Analyse competency requirements	D2.TRD.CL8.01
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: Define the context for competency requirement analysis						
Describe the scope and purpose of developing competency standards for the organisation						
Establish systems and processes for managing the competency development process						
Identify the competency area(s) that require analysis and/or development						
Element 2: Research the identified competency area(s)						
Undertake research to identify relevant information related to identified competency needs						
Distinguish the work areas within the organisation within identified work roles and areas						
Determine the range of work activities within identified work roles and areas						
Identify skills, knowledge and attributes required to perform identified tasks/activities						
Create an overview of factors required in the competent performance of identified tasks/activities						

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
Confirm research conclusions with key stakeholders						
Element 3: Formulate draft competency standards						
Interpret relevant guidelines regarding format and structure of competency standards						
Develop draft competency standards						
Confirm draft competency standards with key stakeholders						
Element 4: Validate competency standards						
Plan a review to validate draft competency standards						
Develop mechanisms to capture feedback from the validation process						
Address matters raised by the key stakeholders as part of the validation process						
Record feedback received as part of the validation process						
Document the outcomes of the validation process						
Prepare revised draft competency standards, as required						

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
Confirm revised draft competency standards						
Element 5: Finalise draft competency standards						
Undertake final checking on all approved competency standards						
Resolve outstanding issues, as appropriate						
Identify potential solutions to implementing identified competency standard requirements						
Review the competency analysis and development process						
Candidate signature:			**Date:**			
Assessor signature:			**Date:**			