



HLT02 - Health Training Package

Volume 2 of 3

- **Assessment Guidelines**

The materials contained within this volume are part of the endorsed component of the

Health Training Package (HLT02)

Endorsed by NTQC and agreed by Ministers in January 2002. This Training Package is to be reviewed by January 2005

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Introduction

These Assessment Guidelines form part of the Health Training Package and provide the endorsed framework for assessment of units of competency in this Training Package. The Health Training Package has been developed by Community Services and Health Industry Skills Council Ltd and produced with the assistance of funding provided by the Commonwealth Government through the Department of Education Science and Training (DEST).

These Assessment Guidelines are designed to ensure that assessment is consistent with the Australian Quality Training Framework (AQTF) *Standards for Registered Training Organisations*. Assessments against the units of competency in this Training Package *must* be carried out in accordance with these endorsed Assessment Guidelines.

This document must be used in conjunction with the following documents:

- Health Training Package Qualifications Framework
- Health Common Competency Standards
 - Health industry requirements
 - Health, safety and environment
 - Business services

And at least one of the following:

- Ambulance National Competency Standards
- General Health Services Delivery National Competency Standards Volumes 1 & 2
- Complementary and Alternative Health Care National Competency Standards
- Dental Assisting, Dental Technology and Dental Prosthetics National Competency Standards
- Health Technicians National Competency Standards
- Population Health National Competency Standards

The Health Training Package integrates national competency standards, qualifications and assessment guidelines in the following areas:

Ambulance

General Health Services Delivery

- Health Service Assistance
- Health Support Services

Complementary and Alternative Health Care

- Ayurveda
- Homoeopathy
- Remedial Massage
- Naturopathy
- Shiatsu Therapy
- Traditional Chinese Medicine Remedial Massage
- Western Herbal Medicine

Dental Assisting

Dental Technology and Dental Prosthetics

Health Technicians

- Anaesthetic Technology
- Audiometry
- Cardiac Technology
- Cast Technology
- Mortuary Practice
- Neurophysiology Technology
- Pathology Collection
- Prosthetic/Orthotic Technology
- Sleep Technology

Population Health

Assessment System Overview

This section provides an overview of the requirements for assessment when using this Training Package, including a summary of the AQTF requirements; licensing/registration requirements; and assessment pathways.

Benchmarks for Assessment

Assessment within the National Training Framework is the process of collecting evidence and making judgements about whether competency has been achieved to confirm whether an individual can perform to the standards expected in the workplace, as expressed in the relevant endorsed unit of competency.

In the areas of work covered by this Training Package, the endorsed units of competency are the benchmarks for assessment. As such, they provide the basis for nationally recognised Australian Qualifications Framework (AQF) qualifications and Statements of Attainment issued by Registered Training Organisations (RTOs).

Australian Quality Training Framework Assessment Requirements

Assessment leading to nationally recognised AQF qualifications and Statements of Attainment in the vocational education and training sector must meet the requirements of the AQTF as expressed in the *Standards for Registered Training Organisations*.

The *Standards for Registered Training Organisations* can be downloaded from the DEST website at www.dest.gov.au or can be obtained in hard copy from DEST. The following points summarise the assessment requirements under the AQTF.

- **Registration of Training Organisations**

Assessment must be conducted by, or on behalf of, an RTO formally registered by a State or Territory Registering/Course Accrediting Body in accordance with the *Standards for Registered*

Training Organisations. The RTO must have the specific units of competency and/or AQF qualifications on its scope of registration. See Section 1 of the *Standards for Registered Training Organisations*.

- **Quality Training and Assessment**

Each RTO must have systems in place to plan for and provide quality training and assessment across all its operations. See Standard 1 of the *Standards for Registered Training Organisations*.

- **Assessor Competency Requirements**

Each person involved in training, assessment or client service must be competent for the functions they perform. See Standard 7 of the *Standards for Registered Training Organisations* for assessor competency requirements. Standard 7 also specifies

the competencies that must be held by trainers.

- **Assessment Requirements**

The RTO's assessments must meet the requirements of the endorsed components of Training Packages within its scope of registration. See Standard 8 of the *Standards for Registered Training Organisations*.

- **Assessment Strategies**

Each RTO must identify, negotiate, plan and implement appropriate learning and assessment strategies to meet the needs of each of its clients. See Standard 9 of the *Standards for Registered Training Organisations*.

- **Mutual Recognition**

Each RTO must recognise the AQF qualifications and Statements of Attainment issued by any other RTO. See Standard 5 of the *Standards for Registered Training Organisations*.

- **Access and Equity and Client Services**

Each RTO must apply access and equity principles, provide timely and appropriate information, advice and support services that assist clients to identify and achieve desired outcomes. This may include reasonable adjustment in assessment. See Standard 6 of the *Standards for Registered Training Organisations*.

- **Partnership Arrangements**

RTOs must have, and comply with, written agreements with each organisation providing training and/or assessment on its behalf. See Standard 1.6 of *Standards for Registered Training Organisations*.

- **Recording Assessment Outcomes**

Each RTO must have effective administration and records management procedures in place, and must record AQF qualifications and Statements of Attainment issued. See Standards 4 and 10.2 of the *Standards for Registered Training*.

- **Issuing AQF qualifications and Statement of Attainment**

Each RTO must issue AQF qualifications and Statements of Attainment that meet the requirements of the *AQF Implementation Handbook* and the endorsed Training Packages within the scope of its registration. An AQF qualification is issued once the full requirements for a qualification, as specified in the nationally endorsed Training Package are met. A Statement of Attainment is issued where the individual is assessed as competent against fewer units of competency than required for an AQF qualification. See Standard 10 and Section 2 of the *Standards for Registered Training Organisations*.

Licensing/registration requirements

Specific licensing/registration requirements applicable to the Health Training Package are listed below. Training Package implementation should be consistent with these and any other relevant or emerging licensing/registration requirements (continued next page).

Qualification	License/Registration	Jurisdiction	Requirements
Certificates II and III in Health Support Services (Grounds Maintenance)	Licensing or registration requirements in relation to the use of pesticides and storage of hazardous chemicals	All States and Territories	RTO to check application of any laws, local government requirements and codes of practice
Units of competency HLTPOP14A- 18A of the Population Health qualifications	Plumbing work must only be performed by a person authorised by registration or license granted by the relevant State regulatory authority under legislation.	Victoria	RTO and workers should consult with the relevant regulatory authority before undertaking this work.
Units of competency relating to x-ray operation: HLTTEC1-5A	Radiation Safety Act 1999	Queensland	A person who operates a radiation apparatus to perform diagnostic procedures on humans must hold a licence issued by the Chief Executive, Queensland Health.
Diploma of Dental Technology	Registration is required.	All States and Territories	RTO to check application of any laws, local government requirements and codes of practice
Advanced Diploma of Dental Prosthetics	Registration is required	All States and Territories	RTO to check application of any laws, local government requirements and codes of practice

Requirements for Candidates

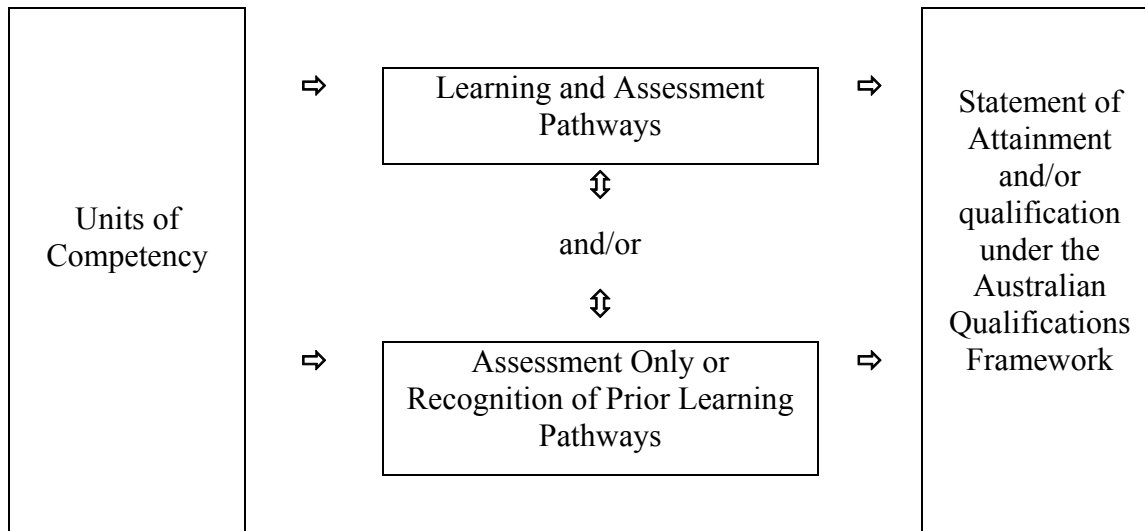
Individuals being assessed under statutory licensing and industry registration systems must comply with training and experience requirements additional to the minimum requirements identified in this Training Package.

Pathways

The competencies in this Training Package may be attained in a number of ways including through:

- formal or informal education and training
- experiences in the workplace
- general life experience, and/or
- any combination of the above.

Assessment under this Training Package leading to an AQF qualification or Statement of Attainment may follow a learning and assessment pathway, an assessment-only or recognition pathway, or a combination of the two as illustrated in the following diagram.



Each of these assessment pathways leads to full recognition of competencies held the critical issue is that the candidate is competent, not how the competency was acquired.

Assessment, by any pathway, must comply with the assessment requirements set out in the *Standards for Registered Training Organisations*.

Learning and Assessment Pathways

Usually, learning and assessment are integrated, with assessment evidence being collected and feedback provided to the candidate at any time throughout the learning and assessment process.

Learning and assessment pathways may include structured programs in a variety of contexts using a range of strategies to meet different learner needs. Structured learning and assessment programs could be: group-based, work-based, project-based, self-paced, action learning-based; conducted by distance or e-learning; and/or involve practice and experience in the workplace.

Learning and assessment pathways to suit New Apprenticeships have a mix of formal structured training and structured workplace experience with formative assessment activities through which candidates can acquire and demonstrate skills and knowledge from the relevant units of competency.

Assessment-Only or Recognition of Prior Learning Pathway

Competencies already held by individuals can be formally assessed against the units of competency in this Training Package, and should be recognised regardless of how, when or where they were achieved.

In an assessment-only or Recognition of Prior Learning (RPL) pathway, the candidate provides current, quality evidence of their competency against the relevant unit of competency. This process may be directed by the candidate and verified by the assessor, such as in the compilation of portfolios; or directed by the assessor, such as through observation of workplace performance and skills application, and oral and/or written assessment. Where the

outcomes of this process indicate that the candidate is competent, structured training is not required. The RPL requirements of Standard 8.2 of the *Standards for Registered Training Organisations* must be met.

As with all assessment, the assessor must be confident that the evidence indicates that the candidate is currently competent against the endorsed unit of competency. This evidence may take a variety of forms and might include certification, references from past employers, testimonials from clients, and work samples. The onus is on candidates to provide sufficient evidence to satisfy assessors that they currently hold the relevant competencies. In judging evidence, the assessor must ensure that the evidence of prior learning is:

- authentic (the candidate's own work);
- valid (directly related to the current version of the relevant endorsed unit of competency);
- reliable (shows that the candidate consistently meets the endorsed unit of competency);
- current (reflects the candidate's current capacity to perform the aspect of the work covered by the endorsed unit of competency); and
- sufficient (covers the full range of elements in the relevant unit of competency and addresses the four dimensions of competency, namely task skills, task management skills, contingency management skills, and job/role environment skills).

The assessment only or recognition of prior learning pathway is likely to be most appropriate in the following scenarios:

- candidates enrolling in qualifications who want recognition for prior learning or current competencies;
- existing workers;
- individuals with overseas qualifications;
- recent migrants with established work histories;
- people returning to the workplace; and
- people with disabilities or injuries requiring a change in career.

Combination of Pathways

Where candidates for assessment have gained competencies through work and life experience and gaps in their competence are identified, or where they require training in new areas, a combination of pathways may be appropriate.

In such situations, the candidate may undertake an initial assessment to determine their current competency. Once current competency is identified, a structured learning and assessment program ensures that the candidate acquires the required additional competencies identified as gaps.

Assessor Requirements

This section identifies the mandatory competencies for assessors, and clarifies how others may contribute to the assessment process where one person alone does not hold all the required competencies.

Assessor Competencies

The *Standards for Registered Training Organisations* specify mandatory competency requirements for assessors. For information, Standard 7.3 from the *Standards for Registered Training Organisations* follows:

- 7.3 **a** The RTO must ensure that assessments are conducted by a person who has:
- i the following competencies¹ from the Training Package for Assessment and Workplace Training, or demonstrated equivalent competencies:
 - a TAAASS401A Plan and organise assessment;
 - b TAAASS402A Assess competence;
 - c TAAASS404A Participate in assessment validation;
 - ii relevant vocational competencies, at least to the level being assessed.
- b** However, if a person does not have all of the competencies in Standards 7.3 **a** (i) and the vocational competencies as defined in 7.3 **a** (ii), one person with the competencies listed in Standard 7.3 **a** (i), and one or more persons who have the competencies listed in Standard 7.3 **a** (ii) may work together to conduct assessments.

Designing Assessment Tools

This section provides an overview on the use and development of assessment tools.

Use of Assessment Tools

Assessment tools provide a means of collecting the evidence that assessors use in making judgements about whether candidates have achieved competency.

There is no set format or process for the design, production or development of assessment tools. Assessors may use prepared assessment tools, such as those specifically developed to support this Training Package, or they may develop their own.

Using Prepared Assessment Tools

If using prepared assessment tools, assessors should ensure these are benchmarked, or mapped, against the current version of the relevant unit of competency. This can be done by checking that the materials are listed on the National Training Information Service (<http://www.ntis.gov.au>). Materials on the list have been noted by the National Training Quality Council as meeting their quality criteria for Training Package support materials.

Developing Assessment Tools

When developing their own assessment tools, assessors must ensure that the tools:

- are benchmarked against the relevant unit or units of competency;
- are reviewed as part of the validation of assessment strategies as required under 9.2i of the *Standards for Registered Training Organisations*; and
- meet the assessment requirements expressed in the *Standards for Registered Training Organisations*, particularly Standards 8 and 9. A key reference for assessors developing assessment tools is TAA04 Training and Assessment Training Package and the unit of competency TAAASS403A *Develop Assessment Tools*.

¹ A person who holds the competencies BSZ401A Plan assessment, BSZ402A Conduct assessment, and BSZ403A Review assessment from the Training Package for Assessment and Workplace Training will be accepted for the purposes of this standard. A person who has demonstrated equivalent competencies to BSZ401A and BSZ402A and BSZ403A in the period up to 12 months following publication of the Training and Assessment Training Package will also be accepted for the purposes of this standard.

Conducting Assessment

This section details the mandatory assessment requirements and provides information on equity in assessment including reasonable adjustment.

Mandatory Assessment Requirements

Assessments must meet the criteria set out in Standard 8 from the *Standards for Registered Training Organisations*. For information, Standard 8 from the *Standards for Registered Training Organisations* is reproduced below.

8. RTO Assessments

The RTO's assessments meet the requirements of the endorsed components of Training Packages and the outcomes specified in accredited courses within the scope of its registration.

8. RTO Assessments

The RTO's assessments meet the requirements of the endorsed components of Training Packages and the outcomes specified in accredited courses within the scope of its registration.

8.1. The RTO must ensure that assessments (including RPL):

- i. comply with the assessment guidelines included in the applicable nationally endorsed Training Packages or the assessment requirements specified in accredited courses;
- ii. lead to the issuing of a statement of attainment or qualification under the AQF when a person is assessed as competent against nationally endorsed unit(s) of competency in the applicable Training Package or modules specified in the applicable accredited course;
- iii. are valid, reliable, fair and flexible;
- iv. provide for applicants to be informed of the context and purpose of the assessment and the assessment process;
- v. where relevant, focus on the application of knowledge and skill to the standard of performance required in the workplace and cover all aspects of workplace performance, including task skills, task management skills, contingency management skills and job role environment skills;
- vi. involve the evaluation of sufficient evidence to enable judgements to be made about whether competency has been attained;
- vii. provide for feedback to the applicant about the outcomes of the assessment process and guidance on future options in relation to those outcomes;
- viii. are equitable for all persons, taking account of individual needs relevant to the assessment; and
- ix. provide for reassessment on appeal.

8.2. a The RTO must ensure RPL is offered to all applicants on enrolment.

b The RTO must have an RPL process that:

- i. is structured to minimise the time and cost to applicants; and
- ii. provides adequate information, support and opportunities for participants to engage in the RPL process.

Access & Equity

An individual's access to the assessment process should not be adversely affected by restrictions placed on the location or context of assessment beyond the requirements specified in this Training Package.

Reasonable adjustments can be made to ensure equity in assessment for people with disabilities. Adjustments include any changes to the assessment process or context that meet the individual needs of the person with a disability, but do not change competency outcomes. Such adjustments are considered 'reasonable' if they do not impose an unjustifiable hardship on a training provider or employer. When assessing people with disabilities, assessors are encouraged to apply good practice assessment methods with sensitivity and flexibility.

Assessment in the Health Industry

General issues

Assessment of competency will be in accordance with the relevant legislation applying in each state and territory. This will include:

- Consumer Protection and
- Antidiscrimination acts and regulations.

In certain circumstances other legislation will also be relevant including:

- Poisons
- Health
- Privacy and
- Therapeutic goods acts and regulations.

Wherever possible integrated assessment, which reflects the grouping of competencies as they would be demonstrated in an actual work role, is the preferred means of assessment. The context of the assessment is defined in each unit of competency.

Where units of competency have been imported from another Training Package (ie the unit code does NOT have the 'HLT' prefix), the Registered Training Organisation responsible for the assessment should check the Assessment Guidelines covering those units of competency in their source Training Package.

Evidence gathering methods must be equitable to all groups of participants. Assessment procedures should also be culturally appropriate for the individual and the situation. Reasonable adjustments are made to assessment procedures for people with special needs such as people with disabilities or with language or literacy difficulties. The language and literacy requirements of the assessment process should not exceed the language and literacy requirements of the particular level of work in the industry.

Assessment considerations for specific areas

All units have been written with a focus on a workplace assessment environment. Where this is obligatory it is identified in the unit of competency.

Complimentary and alternative health care

Assessment for the complimentary and alternative health component of the Health Training Package must consider the unique workplace context of the *sole* practitioner. The following aspects of practice are areas for specific consideration in designing assessment tools for this sector.

Consideration one – Sole practitioner

Units that refer to ‘others’ within the workplace refer to the broader professional community. The workplace is commonly sole practitioners within a clinic setting.

Therefore a key consideration for assessment is to focus on interaction with the professional community in the areas of:

- Communication
- Team and
- Management.

Consideration two – Scope of practice

- All assessment and diagnosis within the Complimentary and Alternative Health Care Package is conducted within the practice and the principles of the particular treatment framework. It is essential that the assessor establishes that the scope of practice is understood and applied and referrals are made appropriately.
- Certificate IV practitioners, while required to practice unsupervised, are limited in their practice to assessing the presenting complaint in terms of their trained ability to deliver treatment.
- The Diploma and Advanced Diploma practitioner must be competent to diagnose and prioritise the client/patient’s condition/s and deliver or refer treatment.

Consideration three – Integrated (holistic) assessment

The Training Package contains minimal guidelines for learning pathways. Competency in any area must be attained through an integrated assessment across five broad areas:

1. Working within the practice framework
2. Performing a health assessment
3. Assessing the client/patient
4. Planning treatment
5. Providing treatment.

It is envisaged that competence will be achieved through significant clinical experience and must be demonstrated through a practical application of skills for a broad range of client/patient conditions. Assessment of competence of practitioners must include a range of clinical situations and different client groups covering at minimum, age, culture, gender.

Dental Technology and Prosthetics

Depending on particular state/territory legislation and regulations, qualifications for Dental Technology and Prosthetics may need to be combined with specified periods of practice to ensure the graduate is able to work/practice as a recognised Dental Technician or Dental Prosthetist.

RTOs should ensure the assessment environment is consistent with relevant regulations in order that graduates may be able to work/practice as required by those regulations.

Special considerations in implementing Health Training Package qualifications

Due to the interaction with health professional registration legislation, consumer protection and health complaints legislation, public health legislation and the common law principles applicable to a treating practitioner/patient relationship, it is essential that a student completing a course of training by a RTO, based on the Training Package, has a sound understanding of the complex regulatory environment in which he/she will be working. The Training Package has been constructed to ensure coverage of this essential component but the primary responsibility for these lies with the RTO and the course assessor.

Trainers and assessors will need to ensure for students to have a sound understanding of the following medicolegal issues:

- (a) Duty of care, consent and the principles of negligence
- (b) Principles of contract
- (c) Duty of confidentiality and privacy legislation
- (d) Acceptance of limits of personal competence and the need for appropriate referral of clients to other health care practitioners

- (e) Ethical practice issues, particularly inappropriate client relationships
- (f) Limits on practice and boundary/licensing/registration issues with other practitioners and health professions
- (g) Regulation of advertising and promotion of medical and health services under consumer protection legislation including the Trade Practices Act and State/Territory Fair Trading Acts – particularly the provisions relating to misleading and deceptive conduct and regulation of advertising and promotion of medical and health services
- (h) Regulation of poisons and therapeutic goods
- (i) Regulation of infection control and public health legislation
- (j) Food standards and labelling regulations
- (k) Complaints resolution and applicability of health complaints legislation
- (l) Compliance, risk management and insurance
- (m) GST compliance
- (n) General business and corporate governance principles (as many students will be setting up a business and trading as such)

Further Sources of Information

The section provides a listing of useful contacts and resources to assist assessors in planning, designing, conducting and reviewing of assessments against this Training Package.

Contacts

Community Services and Health Industry Skills Council
Level 7, 1 Oxford Street
DARLINGHURST NSW 2010
GPO Box 9848
SYDNEY NSW 2001

Telephone: (02) 9263 3589
Fax: (02) 9263 3599
Web: www.cshisc.com.au
Email: admin@cshisc.com.au

Australian Training Products Ltd
Level 25, 150 Lonsdale Street
MELBOURNE VIC 3000
PO Box 12211
A'Beckett Street Post Office
MELBOURNE VIC 8006
Telephone: (03) 9655 0600
Fax: (03) 9639 4684
Web: www.atpl.net.au
Email: sales@atpl.net.au

Innovation and Business Skills Australia
Level 2, Building B, 192 Burwood Road
HAWTHORN VIC 3122
Telephone: (03) 9815 7000
Fax: (03) 9815 7001
Email: virtual@ibsa.org.au

General Resources

Refer to <http://antapubs.dest.gov.au/publications/search.asp> to locate the following ANTA publications.

AQF Implementation Handbook, third Edition. Australian Qualifications Framework Advisory Board, 2002, aqf.edu.au

Australian Quality Training Framework (AQTF) – for general information go to:
www.dest.gov.au/sectors

Australian Quality Training Framework (AQTF) – for resources and information go to:
www.dest.gov.au

Australian Quality Training Framework *Standards for Registered Training Organisations*, Australian National Training Authority, Melbourne, 2005. Available in hard copy from State and Territory Training Authorities or can be downloaded from www.dest.gov.au

TAA04 Training and Assessment Training Package. This is available from the Innovation and Business Skills Australia (IBSA) Industry Skills Council and can be viewed, and components downloaded, from the National Training Information Service (NTIS). National Training Information Service, an electronic database providing comprehensive information about RTOs, Training Packages and accredited courses – www.ntis.gov.au

Style Guide for Training Package Support Materials, Australian National Training Authority, Melbourne, 2003. Can be downloaded from the ANTA page at www.dest.gov.au

Assessment Resources

Training Package Assessment Guides - a range of resources to assist RTOs in developing Training Package assessment materials developed by ANTA with funding from the Department of Education, Training and Youth Affairs. It is made up of 10 separate titles, as described at the ANTA publications page of www.dest.gov.au. Go to www.resourcegenerator.gov.au/loadpage.asp?TPAG.htm

Printed and/or CD ROM versions of the Guides can be purchased from Australian Training Products (ATP). The resource includes the following guides:

1. Training Package Assessment Materials Kit
2. Assessing Competencies in Higher Qualifications
3. Recognition Resource
4. Kit to Support Assessor Training
5. Candidate's Kit: Guide to Assessment in New Apprenticeships
6. Assessment Approaches for Small Workplaces
7. Assessment Using Partnership Arrangements
8. Strategies for ensuring Consistency in Assessment
9. Networking for Assessors
10. Quality Assurance Guide for Assessment

An additional guide “Delivery and Assessment Strategies” has been developed to complement these resources.

Assessment Tool Design and Conducting Assessment

VETASSESS & Western Australian Department of Training and Employment 2000, *Designing Tests – Guidelines for designing knowledge based tests for Training Packages*.
Vocational Education and Assessment Centre 1997, *Designing Workplace Assessment Tools, A self-directed learning program*, NSW TAFE.
Manufacturing Learning Australia 2000, *Assessment Solutions*, Australian Training Products, Melbourne.
Rumsey, David 1994, *Assessment practical guide*, Australian Government Publishing Service, Canberra.

Assessor Training

Australian Committee on Training Curriculum (ACTRAC) 1994, *Assessor training program - learning materials*, Australian Training Products, Melbourne.
Australian National Training Authority, *A Guide for Professional Development*, ANTA, Brisbane.
Australian Training Products Ltd *Assessment and Workplace Training, Training Package – Toolbox*, ATPL Melbourne.
Green, M, et al. 1997, *Key competencies professional development Package*, Department for Education and Children's Services, South Australia.
Victorian TAFE Association 2000, *The professional development CD: A learning tool*, VTA, Melbourne.

Assessment System Design and Management

Office of Training and Further Education 1998, *Demonstrating best practice in VET project – assessment systems and processes*, OTFE Victoria.
Toop, L., Gibb, J. & Worsnop, P. *Assessment system designs*, Australian Government Publishing Service, Canberra.
Western Australia Department of Training and VETASSESS 1998, *Kit for Skills Recognition Organisations*, WADOT, Perth.

