



FPP98

**Pulp and Paper
Manufacturing Industry
Assessment Guidelines**

© Australian National Training Authority (ANTA)

This work has been produced initially with the assistance of funding provided by the Commonwealth Government through ANTA. This work is copyright, but permission is given to trainers and teachers to make copies by photocopying or other duplicating processes for use within their own training organisations or in a workplace where the training is being conducted. This permission does not extend to the making of copies for use outside the immediate training environment for which they are made, nor the making of copies for hire or resale to third parties.

The views expressed in this version of the work do not necessarily represent the views of ANTA. ANTA does not give warranty or accept any liability in relation to the content of this work.

Published by: Australian Training Products Ltd
GPO Box 5347BB
MELBOURNE VIC 3001
Telephone: +61 3 9630 9836 or 9630 9837
Facsimile: +61 3 9639 4684

First Published October 1998

STOCKCODE; 6570001STD

Printed by Print Synergy Australia Pty Ltd, MELBOURNE AUSTRALIA

Table of Contents

INTRODUCTION	4
SECTION A - ASSESSMENT SYSTEM OVERVIEW	5
A1 - Competency Standards	5
A2 - Role and Registration of Registered Training Organisations (RTOs)	5
A3 - Assessment Pathways	6
A4 - Recording Assessment Outcomes	12
A5 - Reporting Assessment Outcomes	12
A6 - Appeal and Re-assessment Processes	12
A7 - External Audits of Assessment Processes	12
SECTION B - ASSESSOR QUALIFICATIONS AND TRAINING	13
B1 - Assessor Qualifications	13
B2 - Using Qualified Assessors	14
SECTION C - GUIDELINES FOR DEVELOPING ASSESSMENT INSTRUMENTS	15
SECTION D - GUIDELINES FOR CONDUCTING ASSESSMENTS	19
SECTION E - SOURCES OF INFORMATION ON ASSESSMENT	21
Documents	21
Organisations	21

Introduction

This Assessment Guideline details the processes and activities that must be undertaken for the assessment of competence in the Australian Pulp and Paper Manufacturing Industry.

The Assessment Guideline was established by the Australian industry through the Forest and Forest Products Employment Skills Company Limited, the national industry training advisory body for the forest and forest products industry. The Guideline's development was jointly funded by the Australian National Training Authority and the Australian pulp and paper manufacturing industry. In large part, the development of the Assessment Guideline and the competency standards to which it relates, owes its existence to the co-operation of all of the industry parties. In particular, the Pulp and Paper Manufacturer's Federation of Australia and its member companies and the unions involved in the industry.

The Assessment Guideline is an integral component of the Pulp and Paper Industry Training Package and will be regularly reviewed, along with the other components of the Training Package.

Section A - Assessment System Overview

A1 - Competency Standards

All assessments undertaken and qualifications issued in the Australian Pulp and Paper Manufacturing Industry (the industry) and in accordance with this Assessment Guideline will be against the Pulp and Paper Manufacturing Industry Competency Standards (PPMICS) as endorsed by the National Training Framework Committee of the Australian National Training Authority on 11 February 1998.

Appendix One lists each of the competency standards that makes up the PPMICS.

It is important that the relevant descriptors for each level of the Australian Qualifications Framework (AQF) and the relevant descriptors and each level of each Key Competency set the context for assessment. The Key Competency data is attached to the PPMICS and the alignment of the PPMICS to the AQF is listed at **Appendix Two**.

A2 - Role and Registration of Registered Training Organisations (RTOs)

Registered Training Organisations (RTOs) are organisations registered with relevant State or Territory Training and Recognition Authorities. It is expected that some industry enterprises will become RTOs.

Role of RTOs

All assessments will be undertaken by an RTO, or auspiced¹ through an RTO.

All Qualifications, Statements of Attainment and records for Industry Skills Record Books (in Queensland known as the 'Record of Training in Employment') will be issued by RTOs in accordance with Sections A4 Recording Assessment Outcomes and A5 Reporting Assessment Outcomes of this Assessment Guideline.

RTOs are required to conduct or auspice assessments in accordance with the requirements of the PPMICS and this Assessment Guideline.

It is expected that some training programs delivered by RTOs that are not industry enterprises will involve both off the job and workplace assessment. In such instances, RTOs are required to conduct or auspice assessments in accordance with the requirements of the specific PPMICS against which the assessment is being conducted and this Assessment Guideline.

It is recognised that some assessments will be for the purposes of statutory or regulatory recognition and licensing purposes. RTOs are required to be recognised by the relevant statutory or regulatory authority where the assessment outcome is to be used for the purposes of granting recognition or licences.

Registration of RTOs

RTOs are required to be registered with a State or Territory Training and Recognition Authority for the purposes of undertaking assessment against the PPMICS or part of the PPMICS.

¹ Auspiced assessment is assessment undertaken by a non-registered training organisation, including an industry organisation such as an enterprise which is validated by an RTO.

It is necessary for records of assessment to be maintained by RTOs in accordance with the requirements of the relevant State or Territory Training and Recognition Authority. The industry supports RTOs having this obligation.

A3 - Assessment Pathways

Assessment Pathways are the routes that an employee may follow in order to be assessed as competent and to receive Qualifications. It is likely that there will be more than one pathway available in the Pulp and Paper Manufacturing Industry, although the principal pathway is workplace based assessment. All assessments must be conducted in accordance with the details of this Assessment Guideline.

The satisfactory completion of the assessment requirements of training programs related to the PPMICS will provide one pathway to the granting of Statements of Attainment and Qualifications.

Whether involved in a workplace assessment process or a training program, assessment candidates are entitled to recognition of the PPMICS that they can already demonstrate. The processes of Recognition of Prior Learning (RPL), Recognition of Current Competence (RCC) and Credit Transfer will be important in the process of recognising existing competence for the purpose of granting Statements of Attainment and Qualifications.

Principles of Assessment Pathways

All assessment candidates are entitled to receive recognition in the form of a Qualification or Statement of Attainment under the Australian Qualifications Framework and/or a record in an Industry Skills Record Book for PPMICS or other competencies that are equivalent to PPMICS, regardless of where, how or when they acquired those competencies, so long as they remain current. Often, currency of competency will only be able to be determined by assessment.

One unit of competence is the minimum requirement for the issuance of a Statement of Attainment or Qualification, regardless of the assessment pathway utilised to confirm an assessment candidate's competence.

Regardless of the assessment pathway, only assessment conducted or auspiced by RTOs and in accordance with this Assessment Guideline will lead to the granting of Statements of Attainment and Qualifications.

Workplace Based Assessment

Workplace Based Assessment is a process of gathering evidence in the workplace to provide, valid, reliable and consistent information demonstrating that an assessment candidate is competent in one or more PPMICS. Workplace based assessment will include a range of assessment methods, selected on the requirements of the PPMICS being assessed. Workplace based assessment will involve the use of qualified assessors as set out in Section B2 of this Assessment Guideline. An important method of formative assessment is ongoing self-assessment by employees with the assistance of workplace trainers and workplace assessors. Such self-assessment does not constitute sufficient evidence for the purposes of recognition of a person's competence against the units of competence making up the PPMICS.

RPL, RCC and Credit Transfer provide an opportunity to recognise skills and knowledge developed from previous employment or through informal training or learning and can provide efficiencies by providing the ability to focus subsequent training on areas of demonstrated need and not in areas where employees are already competent.

Training Programs (TPs)

Where PPMICS detail specific requirements for assessment in a workplace and training and skills development occurs through an TP, workplace assessment will be included in the assessment process.

Recognition of Prior Learning (RPL)

Recognition of Prior Learning (RPL) is a process that employees and those involved in TPs may follow to have pre-existing skills and knowledge recognised where they have been developed through a formal process such as another Training Program (TP).

In instances where an assessment candidate believes that as a result of an TP they have completed satisfactorily, that they are able to meet the requirements of one or more PPMICS, they may seek recognition of the learning outcomes of the TP as sufficient evidence of their ability to meet those requirements. TPs were formerly known as 'accredited training courses or programs'.

Assessment candidates seeking recognition of outcomes from an TP will be required to make an application to detail the relationship between the outcomes from the TP and the requirements of the PPMICS for which the candidate is seeking recognition.

It is recommended that RTOs apply a risk management strategy to reviewing RPL applications. The following risk management strategy is considered a minimum requirement.

Step One Review of Application

- process should involve an authorised officer of the RTO reviewing the RPL application to determine if the requirements of the PPMICS have been met through the completion of the TP by the assessment candidate;
- where the authorised officer believes that the requirements of the PPMICS have been met, the application and recommendation should go to the RTOs managing body or other authorised group so that the successful outcome of the RPL application can be recorded;
- where the authorised officer believes that the requirements of the PPMICS have not been met, the assessment candidate advised so that they may determine if they wish the application to be considered in accordance with Step Two ;
- the authorised officer shall be a qualified assessor (see Section B1 Assessor Qualifications).

Step Two Interview

- interviews should include one or more qualified assessors (see Section B1 Assessor Qualifications);
- it is expected that the assessment candidate will participate in the interview and may seek the assistance of a relevant person from the workplace;
- interviews should consider the relationship between the outcomes of the TP and the requirements of the relevant PPMICS;
- where the interview panel believes that the requirements of the PPMICS have been met, the application and recommendation should go to the RTOs managing body or other authorised group;
- where the interview panel believes that the requirements of the PPMICS have not been met, the assessment candidate is advised so that they may determine if they wish the application to be considered in accordance with Step Three;

Step Three Assessment

- assessments will occur in the workplace or other environment appropriate to the requirements of the relevant PPMICS and in accordance with this Assessment Guideline;
- assessments will be led or conducted by a qualified assessor (see Section B1 Assessor Qualifications);
- where the assessor/s believes that the requirements of the PPMICS have been met, the application and recommendation should go to the RTOs managing body or other authorised group;
- where the assessor/s believes that the requirements of the PPMICS have not been met, the assessment candidate is advised so that they may determine if they wish to appeal the result of the RPL process.

It is recommended that RTOs establish arrangements to ensure that assessment candidates are provided with a second opportunity to be assessed, prior to an appeal being required. This will reduce the cost of assessment.

Where the managing body or authorised group of an RTO believes that a Step in the risk management strategy has not demonstrated the relationship between the course outcomes and the requirements of the relevant PPMICS, they may move to the next step or determine that the assessment candidate is not yet competent and so advise the candidate.

Where the managing body or authorised group of an RTO believes that the relationship between the course outcomes and the requirements of the relevant PPMICS has been met in one of the steps of the risk management strategy, they determine that the assessment candidate is competent and so advise the candidate, in accordance with the requirements of this Assessment Guideline.

Recognition of Current Competence (RCC)

Recognition of Current Competence (RCC) is a process that employees may follow to have pre-existing skills and knowledge recognised where they have been developed in a range of ways including through TPs.

In instances where an assessment candidate believes that they are able to meet the requirements of one or more PPMICS, they may seek recognition of their pre-existing skills and knowledge as sufficient evidence of their ability to meet those requirements.

Assessment candidates seeking recognition of current competence will be required to make an application to detail the relationship between the skills, knowledge and experiences that assist the candidate to demonstrate they can meet the requirements of the PPMICS that the candidate is seeking recognition for. RTOs must ensure that candidates can request an assessment against the requirements of the relevant PPMICS.

It is recommended that RTOs apply a risk management strategy to reviewing RCC applications. The following risk management strategy is considered a minimum requirement.

Step One Review of Application

- process should involve an authorised officer of the RTO reviewing the RCC application to determine if the skills, knowledge and work experience requirements of the PPMICS have been met by the assessment candidate;
- where the authorised officer believes that the requirements of the PPMICS have been met, the application and recommendation should go to the RTOs managing body or other authorised group so that the successful outcome of the RCC application can be recorded;

- where the authorised officer believes that the requirements of the PPMICS have not been met, the assessment candidate advised so that they may determine if they wish the application to be considered in accordance with Step Two ;
- the authorised officer shall be a qualified assessor (see Section B1 Assessor Qualifications).

Step Two Interview

- interviews should include one or more qualified assessors (see Section B1 Assessor Qualifications);
- it is expected that the assessment candidate will participate in the interview and may seek the assistance of a relevant person from the workplace;
- interviews should consider the relationship between the skills, knowledge and work experience of the candidate and the requirements of the relevant PPMICS;
- where the interview panel believes that the requirements of the PPMICS have been met, the application and recommendation should go to the RTOs managing body or other authorised group;
- where the interview panel believes that the requirements of the PPMICS have not been met, the assessment candidate is advised so that they may determine if they wish the application to be considered in accordance with Step Three;

Step Three Assessment

- assessments will occur in the workplace or other environment appropriate to the requirements of the relevant PPMICS and in accordance with this Assessment Guideline;;
- assessments will be led or conducted by a qualified assessor (see Section B1 Qualifications);
- where the assessor/s believes that the requirements of the PPMICS have been met, the application and recommendation should go to the RTOs managing body or other authorised group;
- where the assessor/s believes that the requirements of the PPMICS have not been met, the assessment candidate is advised so that they may determine if they wish to appeal the result of the RCC process.

It is recommended that RTOs establish arrangements to ensure that assessment candidates are provided with a second opportunity to be assessed, prior to an appeal being required. This will reduce the cost of assessment.

Where the managing body or authorised group of an RTO believes that a Step in the risk management strategy has not demonstrated the relationship between the skills, knowledge and work experiences of the candidate and the requirements of the relevant PPMICS, they may move to the next step or determine that the candidate is not yet competent and so advise the candidate.

Where the managing body or authorised group of an RTO believes that the relationship between the skills, knowledge and work experiences of the candidate and the requirements of the relevant PPMICS has been met in one of the steps of the risk management strategy, they determine that the assessment candidate is competent and so advise the candidate, in accordance with the requirements of this Assessment Guideline.

Credit Transfer

Credit Transfer is a process of recognising the equivalence of outcomes from other endorsed competency standards with the requirements of one or more PPMICS.

There are three existing qualifications in use within the Pulp and Paper Manufacturing Industry. These are:

Certificate II in Pulp and Paper Technology
Certificate II in Pulp and Paper Product Manufacturing
Certificate IV in Pulp and Paper Technology

Each of these qualifications were developed prior to the existence of the PPMICS. As a result, no formal mechanism for credit transfer between the existing qualifications, the qualifications based on the PPMICS or any of the PPMICS is possible.

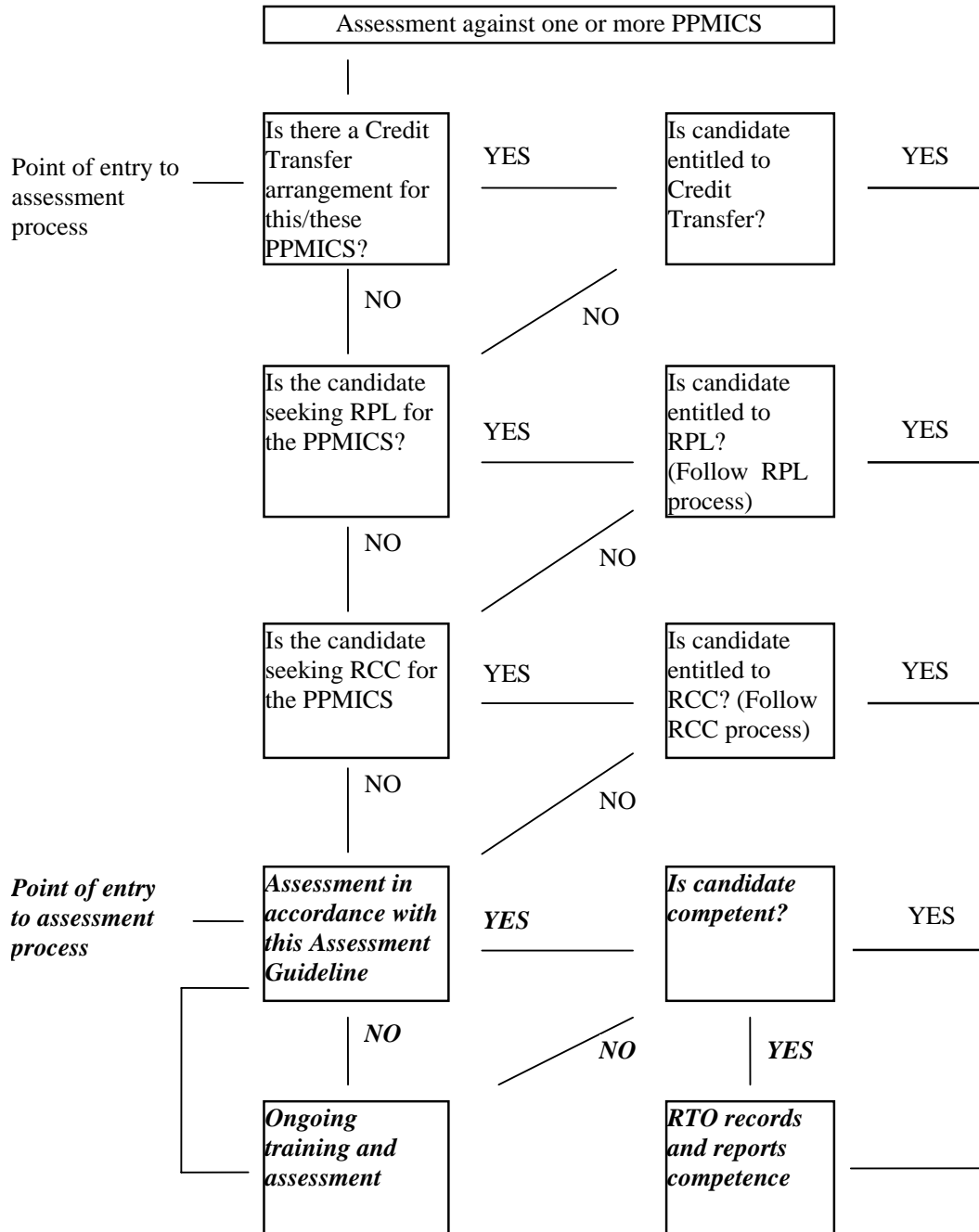
It is expected that RTOs will ensure that those people holding these existing qualifications or who have partially completed the existing qualifications will be assessed against the PPMICS in order to gain recognition for their prior learning. RTOs are advised to provide assessment candidates with opportunities to work through the RPL processes outlined in this Assessment Guideline.

Formal recognition of other endorsed competency standards is required for Credit Transfer to be granted against the PPMICS. Applications for formal recognition will be received from RTOs, industry enterprises and possibly from individuals. Applications for formal recognition will be sent to FAFPESC Ltd and considered by the Pulp and Paper Industry Training Advisory Committee (ITAC). Consideration by the ITAC will determine whether the other endorsed competency standards meet the requirements of the PPMICS.

RTOs are required to ensure that any competency standards that are formally recognised as meeting the requirements of one or more PPMICS are accepted as sufficient evidence of competence for the relevant PPMICS. Assessment candidates will be required to provide a Statement of Attainment or Qualification document to support any application for Credit Transfer.

RTOs are required to establish and maintain documents and procedures for recognising current competence and to maintain records of such instances for the purposes of periodic auditing.

Assessment Pathways Flow Chart



A4 - Recording Assessment Outcomes

The recording arrangements for assessment outcomes apply to all assessments.

RTOs are required to record and retain all assessment outcomes whether the result of direct assessment or of auspiced assessment. RTOs must ensure that all information relating to assessment outcomes is reported and stored in accordance with the requirements of the relevant State or Territory Training and Recognition Authority.

It is recommended that RTOs consult industry enterprises and individual assessment candidates as to non-statutory access of assessment outcome information. RTOs are required to record information in any format required for statutory licensing but only for those PPMICS making up part of the statutory licence.

A5 - Reporting Assessment Outcomes

RTOs are responsible for ensuring that all assessment reports are consistent with the requirements of the Australian Recognition Framework (ARF). Candidates for assessment may seek to have entries made in the Industry Skills Record Book, copies of which can be obtained from FAFPESC Ltd and its agents.

A6 - Appeal and Re-assessment Processes

All candidates for assessment against the PPMICS have a right to appeal assessment outcomes and processes.

A7 - External Audits of Assessment Processes

RTOs will be audited in accordance with the requirements of the Australian Recognition Framework (ARF). State and Territory Training and Recognition Authorities are advised that the industry agencies listed at Section E are the most appropriate sources of industry input into audit processes.

Section B - Assessor Qualifications and Training

B1 - Assessor Qualifications

Assessment against the competencies in the Training Package will be carried out in accordance with these endorsed guidelines. The guidelines include the necessary qualifications for those conducting assessments and provide for those situations where more than one person may contribute to the assessment and where the required technical and assessment competencies may not all be held by any one person.

General Requirements

For the purposes of undertaking assessment against the PPMICS, all assessors, including those employed by RTOs, are required to be competent in the following units of competence:

- ASR1 Conduct assessment in accordance with established assessment procedure and
- ASR2 Plan and review assessment.

These units of competence are included within the PPMICS. There are other units of competence that support the workplace assessment function contained within the PPMICS. They are:

- ASR3 Develop assessment tools
- ASR4 Design the assessment system
- ASR5 Establish the assessment system
- ASR6 Manage the assessment system.

All of these PPMICS are consistent with the requirements of and have been drawn from the *Competency Standards for Assessors (1995)*.

Where the Evidence Guides of the PPMICS indicate a requirement for workplace assessment, RTOs are required to ensure that qualified assessors are competent in those PPMICS and have either recent or current operational experience of those competencies with the exception of those assessors leading 'panel assessment' as outlined in Section B2 Using Qualified Assessors of this Assessment Guideline.

Meeting Assessor Competencies

There are a range of ways in which proposed workplace assessors can meet the requirements of the above mentioned assessor competencies. In general, assessors undertaking assessments within RTOs for the purposes of recognition against the PPMICS will undertake Training Programs that meet the requirements of the PPMICS ASR1 and ASR2.

Successful completion of the Training Programs will be sufficient evidence of competence against ASR1 and ASR2. Where appropriate, proposed workplace assessors will be able to be recognised as competent against ASR1 and ASR2 where they can demonstrate that they are able to meet the requirements of ASR1 and ASR2 as a result of workplace experience

Determination as to the competence of proposed workplace assessors will be made in accordance with the provisions of Section A3 Assessment Pathways of this Assessment Guideline.

B2 - Using Qualified Assessors

As detailed above, all assessors undertaking assessment against the PPMICS are required to be competent against the competency standards ASR1 and ASR2. This section of the Assessment Guideline outlines how people who are competent in those competencies can be used for assessing competence.

Single Assessor

Although there is some movement to more collective processes of assessment in the industry, most assessments involve a single qualified assessor. It is required that where there is only one workplace assessor undertaking the assessment that the assessor be competent in ASR1 and ASR2 (or their national equivalents), be competent in the PPMICS that they are assessing.

Panel Assessment

It is expected that within the Pulp and Paper Manufacturing Industry that some assessments undertaken in the workplace will involve panels of people. This may occur regardless of the mix of competencies that the people involved in the panel may possess. Where the lead assessor of a panel of people undertaking the assessment has not been assessed as competent in the PPMICS being assessed, one or more members of the assessment panel are required to have been assessed as competent in those competencies and to have current operational experience in those competencies.

Where panel assessment occurs, the panel members leading the assessment is required to be competent in the PPMICS units of competence ASR1 and ASR2 regardless of other members of the panel who may be competent in those competency standards.

External Assessment

Where the Evidence Guides of the PPMICS indicate a requirement for demonstration of competence in the workplace, RTOs must ensure that a qualified assessor who meets the requirements of Section B1 - Assessor Qualifications, conducts the assessment.

External validation of assessment undertaken in the workplace is appropriate where related to statutory or regulatory recognition and licensing purposes and the relevant statutory or regulatory authority recognises the assessments of a non-workplace assessor operating through the RTO for the purposes of granting recognition or licences.

Section C - Guidelines for Developing Assessment Instruments

The following guidelines have been agreed by the industry as appropriate for the development of Assessment Instruments. The industry will develop generic Assessment Instruments in 1997 but recognises that industry organisations and especially RTOs may desire to develop their own Assessment Instruments. It is likely that such development of Assessment Instruments would be for the purpose of rendering the Assessment Instruments more relevant to one or more industry enterprises and their particular context.

RTOs are required to meet the following requirements when developing Assessment Instruments.

Relationship to PPMICS

All Assessment Instruments developed will meet the requirements of the PPMICS and will be drafted to ensure that the requirements of the Evidence Guides, Performance Criteria and Range of Variables are met. This will be achieved by the developers of Assessment Instruments:

- ensuring that each of the individual requirements of each Evidence Guide has at least one assessment task, activity or form of evidence directly related to it;
- mapping each of the individual assessment tasks, activities or forms of evidence to the Performance Criteria to ensure that each Performance Criteria has at least one form of evidence to support it;
- ensuring that each of the individual assessment tasks, activities or forms of evidence is consistent with some or all of the variables contained within the Range of Variables statement of the relevant PPMICS;

Relationship to Industry Enterprise Context

All Assessment Instruments will meet the requirements of the industry enterprise that supports them and will be consistent with the industry's operational contexts. These require the developers of Assessment Instruments to:

- ensure that all Assessment Instruments are gender neutral;
- the assessment tasks, activities and forms of evidence will be designed so as not to limit assessment opportunities of persons of any gender, age or cultural background;
- ensuring that a variety of languages used within an industry organisation do not restrict access to assessment. This can be achieved by consideration of the use of panel assessment processes where this would enable language barriers to be removed or reduced;
- take into account the context of the industry enterprise that supports the Assessment Instruments. Specifically by recognising the substantial role that workplace documents can play in determining precise performance requirements and in gathering evidence of performance. Such documents include manufacturer's instructions for the operation of machinery and plant, customer specifications and other product information, legislative and regulatory requirements relating to safety and environmental conformance, quality assurance documentation and the comprehensive training documentation available from most industry organisations;
- ensuring that each Assessment Instrument incorporates appropriate arrangements for preparation and conduct of assessments. This is particularly important for those PPMICS that might involve disruption to production processes, that may take a considerable period of time or that occur over a large geographic area. Such arrangements might include:
 - arranging 'cover' for assessment candidates who may be drawn away from their production work,

- checking production schedules to ensure that production activities appropriate to the PPMICS to be assessed are scheduled at the time of the assessment,
- arranging venues and space within the production environment in which assessment might occur,
- alerting other employees to the assessment being undertaken,
- strategies for limiting the disruption to ongoing production activities;
- indicate when assessments should cease because compulsory assessment requirements have not been met. This would specifically occur in the case of critical occupational health and safety and environmental issues being raised.

Integrated Assessment Instruments

It is expected that industry generic Assessment Instruments will include a range of integrated Assessment Instruments to ensure that PPMICS that are directly related to one another through workplace application are assessed as they are applied. It is critical that developers of Assessment Instruments ensure:

- that integration of assessment occurs as a minimum for the core units of the PPMICS making up each AQF level;
- that consideration of integrated assessment of other PPMICS occurs where appropriate. The appropriateness of integration of PPMICS can be determined by the developers of Assessment Instruments based on:
 - the advice of one or more industry enterprises as to the relationship between the PPMICS in the workplace and
 - the amount of consistency of evidence requirements within the Evidence Guides of the relevant PPMICS;
- that the AQF levels of the PPMICS being assessed through the integrated Assessment Instrument are taken into account when developing the assessment tasks, activities and forms of evidence and that the specific methodologies used meet the requirements of each AQF level;
- that each of the assessment tasks, activities and forms of evidence legitimately encompasses the requirements of all of the PPMICS units of competence that it is proposed will be combined in the integrated Assessment Instruments;
- that any integrated Assessment Instruments detail the preparation requirements for the assessment to occur and whether there is a requirement for assessors to have any additional competencies (especially those that might be drawn from PPMICS ASR3-6).

Assessment Methods

The developers of Assessment Instruments are required to detail within each Assessment Instrument the proposed methodologies to be utilised for assessment. Developers of Assessment Instruments must ensure:

- the incorporation of direct and observable evidence gathering methods in the workplace as the principle means by which assessment will occur in each of the Assessment Instruments;
- that notwithstanding the industry preference for observed assessment methods, where appropriate, the other means by which direct evidence gathering might occur are indicated. The industry is aware of the limitations of directly observed assessment (especially for events that occur only irregularly or that take a considerable period of time to complete) and supports assessment methods that ensure that evidence of a similar nature is gathered in more effective ways. In particular, the developers of Assessment Instruments should consider assessment methods that provide evidence of workplace performance. These may include:
 - gathering work related information that effectively details performance,
 - simulations of required work performance, including detailed 'walk throughs' of production processes, where these are required to be followed in the PPMICS units of competence;

- the incorporation of indirect methods of gathering evidence into each Assessment Instrument, where this is consistent with the requirements of the relevant PPMICS and assists in reducing the costs of assessment activities. Such methods of gathering evidence may include:
 - interviewing other workers and supervisors about specific work performances,
 - examining the reports of other workers and supervisors and those people within the organisation who have contact with production work in the industry but whose principle roles are in occupational health and safety, quality assurance, environmental compliance or other areas of relevance in which the person is expert,
 - examining the products and outcomes of work or formal reports of work outcomes where these are available. Such information might include production log books, organisational production statistics and quality reports,
 - the completion of agreed practical projects by assessment candidates where this is consistent with the requirements of the relevant PPMICS. It is expected that this evidence gathering method will be most effective as an additional evidence gathering method for integrated assessments incorporating PPMICS that involve production improvement and problem solving activities;
- that supplementary methods of gathering evidence are incorporated where there are instances in which direct and indirect forms of evidence gathering may not provide sufficient information for valid assessment outcomes to be guaranteed. Such instances might be included for PPMICS where it is possible that assessee exercise the competencies without direct involvement with other employees or where direct evidence is unavailable or unlikely to be available because of the nature of the evidence to be gathered. An example is instances in which evidence is required of responses to a range of critical incidents. Supplementary evidence gathering methods might include any or combinations of:
 - asking questions about the production activities undertaken and/or to confirm that required underpinning knowledge is held by the assessment candidate,
 - the completion of tests (written or oral) where these are directly related to the knowledge requirements contained within the Evidence Guides of the relevant PPMICS,
 - the results of self-assessments undertaken by the candidate for assessment,
 - the provision by candidates for assessment of portfolios of work detailing performance of the requirements of the relevant PPMICS about which other evidence could not be gathered. This option should include a requirement for the establishment of the portfolio to be directed and assisted by a qualified assessor,
 - presentations and participation in processes of prepared explanation where these are appropriate to both the relevant PPMICS and the communication skills required of and held by the candidate for assessment.

All Assessment Instruments will be structured to ensure their relevance to the PPMICS to which they relate and that they do not introduce additional or unrelated performance requirements or delete required performance requirements.

Processes for the Development of Assessment Instruments

The developers of Assessment Instruments are required to utilise development processes that assure the quality of the Assessment Instruments. These processes are required to include the participation of industry technical experts, including those who are competent in assessment as set out in Section B1 Assessor Qualifications of this Assessment Guideline.

To assure quality, developers of Assessment Instruments are required to:

- ensure that all development staff are competent against at least PPMICS ASR1-6;

- validate the Assessment Instruments with the industry organisation/s with whom it is expected the Assessment Instruments will be utilised.

In addition, developers of Assessment Instruments may choose to:

- seek the advice of the FAFPESC Ltd ITAC as to the applicability of the Assessment Instruments;
- seek the advice of other organisations listed in Section E Sources of Information on Assessment in this Assessment Guideline.

Format of Assessment Instruments

Developers of Assessment Instruments will format the Assessment Instruments that they develop to conform with the following:

SECTION HEADING	DESCRIPTION
Title	Identifies title of assessment instrument
Unit(s) of competence	Identifies the PPMICS unit(s) that are the benchmarks for the assessment materials, including the code number of the unit(s)
Conditions and contexts for assessment	Identifies conditions under which assessment can be conducted based on information from range of variables, evidence guides, relevant AQF and Key Competencies levels
Instructions for assessors	Informs assessor about specific assessment methods applying to the Assessment Instrument, conditions of assessment and specific assessment preparation, conduct and review arrangements
Direct observation checklist	Checklist or other list for outcomes of observations of performance and other forms of evidence gathering applicable to each Assessment Instrument
Other evidence gathering methods	Assessor instructions on in what circumstances and how to gather indirect and supplementary evidence. Indirect evidence may be specified and supplementary evidence indicated
Record of assessment outcomes	Identifies way in which outcomes of different evidence gathering techniques, in each Assessment Instrument, are recorded
Reference Documentation	Identifies specific (where known) and general reference material required to support the specific evidence gathering techniques included in each Assessment Instrument

Customisation of Assessment Instruments

Assessment Instruments developed to meet the requirements of the PPMICS (including any generic, industry developed Assessment Instruments) may be customised only within the conditions set out in this section of this Assessment Guideline.

Maintenance and Review of Assessment Instruments

Ongoing maintenance and review of Assessment Instruments that are used within the industry will occur by any RTO using industry recognised, non-generic Assessment Instruments incorporating them into their maintenance processes and shall be reviewed by the RTO at least every two years.

Section D - Guidelines for Conducting Assessments

The following guidelines have been agreed by the industry as appropriate for undertaking assessments. It is recognised that the precise nature of assessment undertaken in the industry will vary to meet the workplace contexts and the individual skills and needs of both assessors and candidates for assessment.

All assessments will be conducted in the workplace or in institutional settings that accurately recreate the requirements and conditions of the workplace. Where a single assessment is conducted for more than one PPMICS, it is expected that assessment occur in the workplace because of the difficulty in replicating all of the conditions that might apply to multiple units of competence.

Regardless of whether the assessment occurs in the workplace or in some instances in an institutional context, the following guidance is recommended. In general, the conduct of assessments will occur within the requirements set out in PPMICS ASR1-3. A key principle of the conduct of assessments is that all assessment activities are transparent and open to scrutiny by the RTO, the industry enterprise, the assessment candidate and the ITAC.

Specifically, RTOs are required to ensure that the conduct of assessment includes:

- confirmation that all agreed enterprise processes have been concluded (including any periods of consolidation following a period of training);
- confirmation with the assessment candidate of the purpose of the assessment, the PPMICS being assessed, the Assessment Instruments being used in the assessment, the performance requirements for the assessment (assessment candidates must be provided with the relevant PPMICS and Assessment Instruments) and the assessment processes;
- preparation of the evidence to be gathered by examining the relevant PPMICS performance criteria in relation to the Assessment Instrument tasks, activities and forms of evidence and the Range of Variables forming the context of the assessment;
- preparation of the processes and procedures required for the assessment, including the following:
 - equipment/resources (based on Range of Variables),
 - arrangement of the assessment venue,
 - arrangement of participants in the assessment (especially where panel assessment processes are being utilised);
- confirmation of the assessment candidate's readiness for assessment, including where appropriate, an indication from the candidate as to their self-assessment and the time and place for the assessment;
- gathering of evidence specified in the Assessment Instrument, including the gathering of indirect and where required, supplementary evidence;
- making of the assessment decision by examination of the gathered evidence against the requirements of the Assessment Instrument based on the relevant PPMICS, especially the Performance Criteria, Evidence Guide and Range of Variables;
- consideration of evidence provided by others in the workplace, including, peers and relevant supervisors and managers;
- recording of assessment results;
- provision of feedback to the assessment candidate, especially where the assessment outcome is that the candidate is 'not yet competent';
- arranging of post assessment counselling where required, including the description of the appeals process;
- provision of formal assessment reports and records to all appropriate persons and agencies;

- operation of appeal and re-assessment processes in accordance with the RTO's requirements and consistent with the requirements of Section A6 Appeal and Re-assessment Processes of this Assessment Guideline;
- certification of competence by the RTO;
- a review of the assessment processes and procedures and the methodologies employed and the provision of any proposed amendments by the assessor to the RTO and where appropriate by the RTO to FAFPESC Ltd for consideration by the Pulp and Paper ITAC.

Section E - Sources of Information on Assessment

From time to time, RTOs, industry organisations and assessors will require additional information to assist them in the conduct of assessments. This section of the Assessment Guideline details the known and available sources of information and assistance on assessment.

Documents

The following documents are available to assist those involved in assessments.

Competency Standards for Assessment (1995)

Pulp and Paper Manufacturing Industry Competency Standards - PPMICS (1997)

- Units ASR1 to ASR6 for the purposes of assessor requirements
- Units TRN1 to TRN7 for the purposes of trainer requirements
- Other Units for the purposes of determining assessment requirements

The PPMICS are available from FAFPESC Ltd

Certificate II in Pulp and Papermaking Technology

Certificate II in Pulp and Paper Manufacturing

Certificate IV in Pulp and Paper Technology

- Training Programs with a range of assessment resources available

These resources are available from Australian Training Products Limited

Organisations

The following organisations can provide assistance to those involved in assessments.

Forest and Forest Products Employment Skills Company (FAFPESC) Limited

PO Box 307

Nunawading VIC 3131

Ph: 03 9894 2411

Fax: 03 9878 0850

Elizabeth Cheong

Executive Officer

WA Primary Industries Training Council

277-279 Great Eastern Highway

Belmont WA 6104

Mr. David Hullet

South Australian Light Manufacturing Industry Training Board

18 Sutton Terrace

Marleston SA 5033

Ms. Christine Offord

NSW Forest Industries Training Board

41 Leabons Lanes

Seven Hills NSW 2147

Mr. Derek Bendall
Tasmanian Forest Industries Training Board
PO Box 2146
Launceston TAS 7250

Mr. John Versluis
Forest Industries Training and Education Consortium
PO Box 90
Roma Street
Brisbane QLD 4003

Pulp and Paper Industry Training Advisory Committee (ITAC)
c/- FAFPESC Ltd

Workplace Assessors and Trainers Competency Standards Body