



Australian Government

Department of Education, Employment and Workplace Relations

TAACMQ503B Lead and conduct training and/or assessment evaluations

Release: 1

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Modification History

Not applicable.

Unit Descriptor

This unit specifies the competency required to lead and conduct training and/or assessment evaluations.

Application of the Unit

Evaluation represents a critical function that forms part of the quality management of the training and/or assessment services provided by a **training and/or assessment organisation** (refer to the Range Statement for a definition). Evaluation can be carried out as a separate and complete activity focusing on an area of risk or need.

Evaluation is also an integral part of many work activities and therefore forms part of the competency of many units represented in the **TAA04 Training and Assessment Training Package**.

In this unit, evaluation represents a discrete competency carried out across a specific area of the organisations training and/or assessment services. Examples might include evaluation of the delivery and assessment for a whole Training Package, or for qualification/s within a Training Package or for a program area, or an evaluation of system components such as evaluation of the training records management system or assessment system.

Evaluation of training and/or assessment services/systems in this context is a systematic and objective process measured against specified criteria using established evaluation methods. The focus of the evaluation may include aspects such as risk, quality/quality improvement, professionalism, efficiency, client satisfaction and compliance with legal requirements. It may take the form of an audit (compliance evaluation), self-assessment process, benchmarking or client-focused evaluation. Evaluation is a critical component of registration requirements under the Australian Quality Training Framework (AQTF).

This unit is designed to address the competency of evaluation of training and/or assessment services and systems by both internal and external evaluators. It is particularly applicable where evaluation/auditing forms only part of a persons work responsibilities.

Where auditing is the main work function, the required competencies are addressed in the following units in the **BSB01 Business Services Training Package**:

BSBAUD501A Initiate a quality audit

BSBAUD502A Prepare to lead a quality audit

BSBAUD503A Lead a quality audit

BSBAUD504A Report on a quality audit.

This unit applies to persons in a training and/or assessment leadership, coordination, consultancy or management position.

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Not applicable.

Employability Skills Information

This unit contains employability skills.

Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.

Performance criteria describe the performance needed to demonstrate achievement of the element. Where **bold italicised** text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.

Elements and Performance Criteria

Elements and Performance Criteria

Element	Performance Criteria
1 Identify the basis for the evaluation	1.1 The purpose, objectives and scope of the evaluation are determined and confirmed with relevant persons
	1.2 Previous relevant evaluations are accessed and reviewed, where appropriate
	1.3 Relevant framework and criteria for conducting the evaluation are identified and interpreted
	1.4 Appropriate evaluation models/methods are considered and selected in accordance with purpose, scope and operating context, and appropriate instruments are developed
2 Plan evaluation of training and/or assessment services/system	2.1 Specific organisational documentation/information required for the evaluation is sourced and collated
	2.2 Persons to be involved in the evaluation process are determined, consulted and roles and responsibilities

- are confirmed
- 2.3 **Resources** to perform the evaluation are determined
 - 2.4 A schedule is drawn up outlining timing of the evaluation process
 - 2.5 **A communication strategy** is developed to inform all parties impacted by the evaluation
 - 2.6 A **risk analysis** of factors/issues impacting on evaluation process/outcomes is undertaken
 - 2.7 An **evaluation plan** is written, documented and approved by relevant personnel, where required
- 3 **Conduct evaluation of training and/or assessment services/systems**
 - 3.1 Specific organisational documentation/ information relevant to the evaluation focus is analysed in accordance with evaluation criteria, and **key points** are noted
 - 3.2 Relevant persons are interviewed using interview skills/questioning techniques to clarify points and to obtain further relevant information
 - 3.3 Training and/or assessment processes and operating systems are observed to confirm documentary and interview-based evaluation evidence
 - 3.4 Communication and interpersonal skills are used to maintain a **professional focus**
 - 3.5 Records and notes of all evaluation proceedings are documented
 - 4 **Determine and report evaluation outcomes**
 - 4.1 Records/notes of evaluation process are analysed and information is synthesised to provide the basis for determining evaluation outcomes
 - 4.2 Identified issues are considered and further information is collected, where required
 - 4.3 Evaluation outcomes are determined
 - 4.4 Final report is prepared and filed in accordance with evaluation policy and procedures
 - 4.5 Results of the evaluation outcomes are

communicated to the target audience in a systematic and timely manner

4.6 Follow-up actions are instigated, where relevant

Required Skills and Knowledge

Not applicable.

Evidence Guide

Evidence Guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

Overview of Assessment

To demonstrate competency against this unit candidates must be able to provide evidence that they have planned and conducted an internal evaluation of a discrete area of service delivery and/or a system component.

The evaluation to be used as evidence must contain the basis for the evaluation, all planning information and documentation relating to the evaluation, and details of the conduct of the evaluation, leading to a sound and objective judgement. Evidence must also contain a report of evaluation outcomes.

Evidence Requirements

Required knowledge includes:

state/territory and Commonwealth legislation, codes of practice and standards, relevant to quality internal auditing, for example:

AQTF Evidence Guide for Registered Training Organisations and Auditors

auditor code of ethics

quality management and quality assurance

Training Packages and accredited courses, and what comprises quality training and assessment services

how training and/or assessment organisations operate

requirements of AS3911:2 and its relationship to conducting audits under the AQTF

compliance with quality management requirements e.g. ISO 9001 2000, Total Quality Management (TQM)

terminology relating to quality evaluation processes

evaluation models/methods e.g. The Kirkpatrick Approach

records management systems of the organisation

other relevant policy, legislation, codes of practice and national standards including Commonwealth and state/territory legislation, for example:

plagiarism

Training Packages/competency standards/other associated criteria

copyright and privacy laws

security of information and confidentiality requirements

duty of care as it relates to coordinating personnel and learning

the industrial relations system, industry/workplace relations, and industrial awards/enterprise agreements

anti-discrimination including equal opportunity, racial vilification and disability discrimination

vocational education and training systems

OHS relating to planning and conducting an evaluation, including:

sources of information on OHS as it applies to the training and/or assessment organisation

risks that should be addressed by a training and/or assessment organisation

legislative requirements for OHS record keeping and reporting requirements

OHS obligations of the training and/or assessment organisation, the trainer/facilitator, assessor, learner and candidate

requirements for consultation under OHS legislation

Required skills and attributes include:

language and literacy skills to:

- interpret AQTF requirements
- develop a quality evaluation plan
- develop a communication strategy
- develop resources to support the evaluation process
- communicate with key stakeholders
- produce and maintain documentation

analysis and interpretation skills to:

- evaluate organisational information management systems, policies and procedures
- select relevant evaluation information and documentation
- identify potential and/or current non-compliance
- access and interpret organisation's standards and values
- analyse records/notes of the evaluation process

research and evaluation skills to evaluate validation processes, and determine and implement improvements to these processes

learning, using and understanding electronic technology

decision making skills, based on evidence

a range of interpersonal and communication skills, including:

- negotiating
- questioning
- listening
- investigative
- diagnostic and analytical

Products that could be used as evidence include:

a completed evaluation plan

documentation developed and used to support the evaluation process e.g. checklist, evaluation observation form

communication strategy

documented risk analysis

records and notes of all evaluation proceedings

final evaluation report

Processes that could be used as evidence include:

how and what organisational information and documentation was gathered and accessed

how and why specific framework and criteria were identified for conducting the evaluation

how evaluation processes and methods were selected and implemented

how training and/or assessment processes were observed

Resource implications for assessment include:

access to previous evaluation reports or outcomes

access to workplace documentation

The collection of quality evidence requires that:

assessment must address the scope of this unit and reflect all components of the unit i.e. the Elements, Performance Criteria, Range Statement, Evidence Guide, Employability Skills

a range of appropriate assessment methods/evidence gathering techniques is used to determine competency

evidence must be gathered in the workplace whenever possible. Where no workplace is available, a simulated workplace must be provided

the evidence collected must relate to a number of performances assessed at different points in time and in a learning and assessment pathway these must be separated by further learning and practice

assessment meets the rules of evidence

a judgement of competency should only be

Specific evidence requirements must include:

made when the assessor is confident that the required outcomes of the unit have been achieved and that consistent performance has been demonstrated

the implemented evaluation plan, covering:
evaluation scope, objectives and outcomes
evaluation schedules/timelines

evaluation processes for gaining evidence
evaluation methods for collecting evidence
feedback and reporting strategies and timelines

contingency plans

reporting procedures including a final report to the chief executive officer/managing director and/or other managers on the training and/or assessment organisation's compliance with the standards for review and ongoing improvement

confidentiality requirements

communication strategy

risk analysis

Integrated assessment means that:

this unit can be assessed alone or as part of an integrated assessment activity involving relevant units in the **TAA04 Training and Assessment Training Package**. Suggested units include but are not limited to:

TAACMQ501B Develop training and/or assessment organisational policies and procedures

TAAASS501B Lead and coordinate assessment systems and services.

Range Statement

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. **Bold italicised** wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

Training and/or assessment organisation refers to:

a Registered Training Organisation (RTO), i.e. an organisation registered to provide recognised training and assessment services; includes TAFE institutes, private commercial colleges/ companies, enterprises, community organisations, group training companies and schools

an organisation working in a partnership arrangement with an RTO to provide recognised training and assessment services

an organisation that provides non-recognised training and assessment services

Purpose and objectives may be to:

evaluate outcomes of a learning or assessment process or product

determine or trial new processes/products

ensure the training and/or assessment management system is operating in accordance with legal/organisational requirements

establish client satisfaction

demonstrate compliance requirements under the AQTF

meet other quality systems requirements

improve training and/or assessment systems and services

ensure learning/assessment strategies and programs are relevant to focus and client needs

determine resource needs

Scope of the evaluation may be the:

whole of training and/or assessment organisation

specific training and/or assessment services

specific training and/or assessment products

specific aspects of training and/or assessment systems

partner organisation arrangements

Relevant persons may include:

senior personnel, for example:
chief executive officer/managing director
other managers

trainers/facilitators/teachers/practitioners
assessors
program managers/training coordinators
product developers/instructional designers
managers/supervisors
specialist trainers/facilitators
information technology support
administration support

stakeholders/clients

personnel responsible for monitoring the training and/or assessment organisation's services

users of training information such as finance personnel, human resource personnel, employers

contract manager

national reporting and recording authorities
e.g. AVETMISS, AQTF

State Training Authority (STA)

private/government funding bodies

union/employee representatives

Framework and criteria may include:

AQTF

Australian Quality Standards e.g. AS/NZS ISO 9001:2000 quality assurance model

Australian Business Excellence Framework (ABEF)

organisational standards/framework

Evaluation models/methods may include:

examining organisation's documents and systems, such as:

policies and procedures

student and staff handbooks

relevant components of business plans

trainer/facilitator and assessor qualifications

learning and assessment strategies

examining training/assessment records

examining a sample of student files

analysing resources for delivery and assessment including assessment tools

questioning appropriate personnel to further explore evidence

conducting interviews with management, trainers/ facilitators, assessors, learners, personnel and stakeholders

observing training and/or assessment

services including delivery, assessment practice, learning and/or assessment activities, practicum or supervised teaching/facilitation

determining information flows

completing self-assessment checklist

The Kirkpatrick Approach, for example:

reaction

learning

behaviour

results

survey instruments, for example:

Delphi

questionnaires

diaries

logs

diagnostics

Specific organisational documentation/information may include:

previous evaluation

reports/records/documentation

organisational policies, procedures and guidelines

organisational goals, objectives, plans, systems and processes

relevant components of business plans

learner records

trainer/facilitator and assessor qualifications

assessment tools and assessment strategies

learners/candidate outcomes/results and completion dates

enrolment details, including general learner information

traineeship/apprenticeship records

information management system

requirements and components, including recording and reporting outcomes

written partnership agreements (where relevant)
quality assurance and/or procedures manuals
access and equity principles and practices
ethical standards
collaborative/partnership arrangements
OHS policies, procedures and programs
quality and continuous improvement processes and standards
defined resource parameters
certification systems and documentation
promotional/marketing materials

Resources may include:

documentation to support the evaluation, for example:

current AQTF checklists and tools
evaluation recording templates/checklists and observation checklists/
questionnaires
briefing documents for evaluation team/relevant persons
briefing documents for personnel participating in the evaluation

physical resources, for example:

appropriate interview room/s
appropriate meeting venue

electronic equipment used for recording and reporting requirements

materials/stationery/equipment to support the evaluation processes

Communication strategy may include:	<ul style="list-style-type: none">identification of organisation's communication and reporting channelsmethods for the dissemination and promotion of the evaluation, and evaluation methods and processes to persons and personnelidentification of external communication and networks that can be used as part of the evaluation processregular reporting meetings with persons with specific responsibilities in all areas of the evaluation processprocedures for keeping relevant persons and personnel regularly informed of the evaluation processmethods and timelines for the evaluation processreporting requirements and closure for the evaluation process
Risk analysis may include:	<ul style="list-style-type: none">identification of potential risks and consequent impact on individuals and the training and/or assessment organisationconsideration of the consequence of adverse performancestrategies to manage identified risks and potential consequences
An evaluation plan must include:	<ul style="list-style-type: none">evaluation scope, objectives and outcomesevaluation schedules/timelinesevaluation processes for gaining evidenceevaluation methods for collecting evidencefeedback and reporting strategies and timelinescontingency plansreporting procedures including a final report to the chief executive officer/managing director and/or other managersconfidentiality requirementsresource requirements
Key points may include:	<ul style="list-style-type: none">issues requiring clarification

Professional focus incorporates:

- discrepancies in organisational documentation
- strengths
- areas of compliance/non-compliance
- being clear about the purpose, objectives and scope of the evaluation
- remaining objective throughout the evaluation process
- maintaining focus throughout the evaluation

Unit Sector(s)

Not applicable.

Competency Field

Coordination, Management and Quality