TAACMQ503B Lead and conduct training and/or assessment evaluations
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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

<table>
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<tr>
<th>Element</th>
<th>Performance Criteria</th>
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| 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

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:

- 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 criteriamay 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:

- Identification of organisation’s communication and reporting channels
- Methods for the dissemination and promotion of the evaluation, and evaluation methods and processes to persons and personnel
- Identification of external communication and networks that can be used as part of the evaluation process
- Regular reporting meetings with persons with specific responsibilities in all areas of the evaluation process
- Procedures for keeping relevant persons and personnel regularly informed of the evaluation process
- Methods and timelines for the evaluation process
- Reporting requirements and closure for the evaluation process

Risk analysis may include:

- Identification of potential risks and consequent impact on individuals and the training and/or assessment organisation
- Consideration of the consequence of adverse performance
- Strategies to manage identified risks and potential consequences

An evaluation plan must include:

- 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
- Confidentiality requirements
- Resource requirements

Key points may include:

- Issues requiring clarification
discrepancies in organisational documentation
strengths
areas of compliance/non-compliance

**Professional focus incorporates:**
- 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