



**Assessment Tool Development** 

Version 1.0 Produced 11 March 2022

## **Purpose**

The Validation Report Form is used to document all quality reviews and validation undertaken on all Compliant Learning Resources' assessment tools.

This tool aims to ensure the assessment tool:

- assesses all knowledge and skills of the relevant unit(s) of competency
- assesses knowledge and skills in accordance with the Principles of Assessment (Table 1.8-1, Clause 1.8, Standards for RTOs 2015) and Rules of Evidence. (Table 1.8-2, Clause 1.8, Standards for RTOs 2015)

Additionally, all developers at Compliant Learning Resources are required to refer to this tool throughout the assessment tool development process to ensure they are guided by the quality checkpoints outlined in this tool.

### **Assessment Tool Information**

Unit Code	HLTWHS002	Date submitted for validation	11 February 2022
Unit Title	Follow safe work practices for direct client care (Release 2)	Assessment tool validated by	Diane Panopio
Assessment tool developed by	Raoul Jimenez	Validation completed on	31 March 2022

All the following documents must be submitted to the validator:

- Assessment tools (Candidate instructions, assessor marking guide, associated assessment forms and templates)
- Assessment Mapping (AMT.xlsx)

# No. of Gaps Identified

Total number of requirements						
Performance Criteria	Foundation Skills	Knowledge Evidence	Performance Evidence	Assessment Conditions	Total	
18	1	19	7	2	47	

Gaps identified					
Performance Criteria	Foundation Skills	Knowledge Evidence	Performance Evidence	Assessment Conditions	Total
0	0	5	0	0	5

No. of critical issues identified	No. of moderate issues identified	No. of minor issues identified
0	6	4

# **Knowledge Assessment**

### **Candidate Instructions**

	CRITERIA	Addressed?	Comments
1.	Clear instructions are provided to the candidate.	⊠ YES	
		□ NO	
2.	Questions are written in a manner that enables the candidate to demonstrate or perform the verb in the Knowledge Evidence (KE), where applicable.	⊠ YES	
	For example, if the KE is 'Explain Concept A,' the question asks the candidate to <u>explain</u> and not to <u>list</u> or <u>identify</u> .	□NO	
3.	The required number of responses is specified, where applicable.	⊠ YES	
	For example, 'Identify the five principles of,' 'List three techniques for'	□ NO	
4.	A clear outline of what constitutes a satisfactory response or performance is provided to	⊠ YES	
	the candidate.	□ NO	
5.	Instructions are presented in the correct sequence, i.e. instructions are written step-by- step to enable the candidate to satisfactorily answer the question.	⊠ YES	
	What must the candidate do first, next, and so on	□NO	
6.	Clear and concise language is used and appropriate to the AQF level.	⊠ YES	
0.	oreal and concise language is used and appropriate to the AQL level.	□NO	

	CRITERIA	Addressed?	Comments
7.	Spaces for responses (answer fields) are provided and organised to cover all	⊠ YES	
	requirements of the question, including the number of required responses if applicable.	□NO	
0	Consequence (consequence fields) and labelled assessable	⊠ YES	
8.	Spaces for responses (answer fields) are labelled correctly.	□NO	
9.	No double-barreled questions/instructions, i.e. questions ask for only one aspect of the		
	Knowledge Evidence.	⊠ YES	
	Example of double-barreled questions: Describe A and B, Explain when and how, Explain the purpose and application of	□ NO	
10.	If the question asks for more than one response, there are separate spaces or answer	⊠ YES	
	fields provided for different responses.	□ NO	
11.	Where the Knowledge Evidence requires reference to organisational resources, organisational policies and procedures, the candidate is referred to either:		
	<ul> <li>Resources available at the candidate's workplace/organisation,</li> </ul>	⊠ YES	
	<ul> <li>Resources available through the candidate's training organisation, or</li> </ul>	□NO	
	<ul> <li>Resources provided through a simulated environment.</li> </ul>		
10	External links if any are working and directing properly	⊠ YES	
12.	External links, if any, are working and directing properly.	□ NO	

### **Assessor Instructions**

	CRITERIA	Addressed?	Comments
1.	Each question is correctly and accurately mapped to the relevant Knowledge Evidence (KE), including an indication of whether it fully or partially (p) meets the Knowledge Evidence.	⊠ YES □ NO	
2.	Each question is mapped to the relevant section(s) in the Learner Guide/Learning Resource.	⊠ YES	
3.	The marking guide is consistent with the candidate instruction/question. This includes the verb used, a number of required responses, terminologies used, and the specific aspect of Knowledge Evidence covered.  For example, if the question instructs the candidate to 'List three techniques for', the marking guide also says, 'The candidate must list three techniques' (and not 'provide two	⊠ YES	
4.	strategies for'	 ⊠ YES	
	These include mandatory statements, such as: 'For a satisfactory performance, the candidate's response must include three of the following'	□NO	
5.	A level of flexibility for assessment is provided through statements such as 'if the candidate provided other responses, this is still acceptable provided that their responses are' or 'wording may slightly vary.'	⊠ YES □ NO	Knowledge Assessment Question 20 marking guide does not include consideration of other responses, i.e. other sources of infection [description of infectious diseases] in a home-based care environment/does not include a general description of satisfactory responses. (addressed during sign off)

	CRITERIA	Addressed?	Comments
6.	Benchmark answers along with sample or model answers sufficiently address the relevant aspect of the Knowledge Evidence.	⊠ YES □ NO	Benchmarks answers for some Knowledge Assessment Questions do not align with the instructions. Some are lacking in context. (addressed during sign off)
7.	Additional instructions are provided in the marking guide for instances where the assessor needs to refer to external documents, e.g. legislation specific to the candidate's state or territory, relevant resources specific to the candidate's industry, or responses sourced online, where applicable.		
	E.g.	⊠ YFS	
	The assessor must refer to the legislation specific to the candidate's state or territory. Model answers below are from the WHS Act 2011 (Qld.).	□ NO	
	The assessor must access the link provided by the candidate to verify whether the source is reliable, current, and relevant.		
	The assessor must review the candidate's responses against the organisational policies and procedures provided through the simulated environment (Section 3, pages 25 – 26).		

# **Practical Assessment**

#### **Candidate Instructions**

CRITERIA	Addressed?	Comments
Clear instructions and guidance are provided to the candidate.	⊠ YES	
	□NO	

	CRITERIA	Addressed?	Comments
2.	The practical tasks clearly instruct the candidate to demonstrate or perform the verb of the practical requirements (Performance Criteria, Performance Evidence, Foundation Skills)	⊠ YES	
	E.g. If the requirement is 'Develop a plan,' the task instructs the candidate to <u>develop</u> and not to 'describe the parts' nor 'access and review' a plan.	□ NO	
3.	The practical tasks provide guidance for the candidate to produce or perform the	⊠ YES	
	requirement to a satisfactory level.	□NO	
4.	The required number of outputs, e.g. the number of responses and submissions required, how many resources to be accessed or the number of people to be consulted, how many times something must be demonstrated, are explicitly stated, where applicable.	⊠ YES	
	E.g. Provide care for two children and two toddlers, submit three feedback forms, consult with the supervisor and one colleague, etc.	□ NO	
5	A clear outline of what constitutes satisfactory performance is provided to the candidate.	⊠ YES	
J.	A clear outline of what constitutes satisfactory performance is provided to the candidate.	□NO	
6.	Instructions are written in the correct and logical sequence, i.e. step-by-step instructions are provided to the candidate to satisfactorily complete the task.	⊠ YES	
	What must the candidate do first, next, and so on, e.g. consult with stakeholders first, then draft, review, and revise the plan	□NO	
7.	The candidate has been informed of all the resources required to complete the practical	⊠ YES	
	assessments, e.g. a workplace (or a similar environment), policies and procedures, workplace supervisor, etc.	□NO	

	CRITERIA	Addressed?	Comments
8.	Clear and concise language is used and appropriate to the AQF level.	⊠ YES	
0.		□NO	
9.	Templates for submissions or spaces for answers are provided either:		
	<ul> <li>Through the simulated environment, e.g. links to an intranet site.</li> </ul>	⊠ YES	
	<ul> <li>In the workbook (for written responses).</li> </ul>	□NO	
	<ul> <li>Along with the workbook (for templates and forms that are submitted separately)</li> </ul>		
10.	Where templates, forms, and resources are to be accessed online, links are provided and working and directing properly.	⊠ YES	
		□NO	
11.	The instructions explicitly state the evidence format required for the task, whether the candidate is required to:		
	<ul> <li>record their responses in the workbook,</li> </ul>	⊠ YES	
	<ul> <li>complete or produce a product or document (and if templates or forms are to be used)</li> </ul>	□NO	
	<ul> <li>demonstrate or perform a task while being observed – and whether this is to be directly observed or recorded.</li> </ul>		
12.	For <b>output-based tasks</b> where the candidate is required to produce and submit an output	⊠ YES	
	(e.g. reports, project plans, analysis, etc.), clear guidance is provided on how they can produce the required output to a satisfactory level.		
	For example, the report or plan must cover the following	□NO	

	CRITERIA	Addressed?	Comments
13.	For <b>observation-based tasks</b> where the candidate is required to perform/demonstrate something while being observed, clear guidance is provided on how they can perform or	⊠ YES	
	demonstrate the task to a satisfactory level.	□ NO	
14.	For <b>simulated/case study</b> tasks, all organisational resources required to complete the assessment have been provided through the simulated assessment.	⊠ YES	
	These include case study scenarios, simulated policies and procedures, simulated employee and client records, simulated organisational charts, where applicable, etc.	□ NO	
15.	For <b>simulated/case study</b> tasks, the resources the candidate needs to access (or the training organisation must organise access to) have been listed.	⊠ YES	
	These include volunteers to participate in role play-based assessments, equipment, e.g. fire extinguisher, first aid kit, where applicable, etc.	□ NO	
16.	For <b>simulated/case study</b> tasks, role-play participants are sufficiently briefed about their		There are no briefing documents for the case
	role in the activity. These include specific cues, scripts, or information and details they need to provide during the activity.	⊠ YES	study tasks. (addressed during sign off)
	IMPORTANT: The candidate must never be given access to these volunteer/participants briefing documents.	□ NO	
17.	Where supervisor declarations and other third-party sign-off are required, the supervisor	⊠ YES	
	has been clearly informed on what they are declaring or what they are signing off on and instructed on how they are to provide the declaration and sign-off.	□ NO	

#### **Assessor Instructions**

	CRITERIA	Addressed?	Comments
1.	Each practical task is correctly and accurately mapped to the relevant practical requirement (PC, FS, PE), including an indication of whether it fully or partially (p) meets	⊠ YES	There were some requirements missing
	the unit requirement.	□ NO	specific mappings (addressed during sign off)
2.	Instructions on what to do <b>before, during,</b> and <b>after</b> the practical assessment tasks are	⊠ YES	
	provided to the assessor.	□ NO	
3.	The marking guide is consistent with the candidate instructions. This includes:		
	<ul> <li>The evidence to be submitted.</li> </ul>		
	<ul> <li>The format of the evidence required.</li> </ul>	⊠ YES	
	<ul> <li>Number of responses or submissions required.</li> </ul>		
	For example, if the candidate is instructed to develop two policies and procedures documents with each document covering A, B, and C, the marking guide must state 'the candidate must submit two policies and procedures documents. Each document must cover A, B, and C.'	□ NO	
4.	Explicit statements and descriptions of what constitutes a satisfactory response or performance are provided in the assessor marking guide.		
	These include mandatory statements, such as:	⊠ YES	
	'For a satisfactory performance, the candidate's response must include three of the following'	□NO	
	'For a satisfactory performance, the candidate's submission must include the following'		
5.	A level of flexibility for assessment is provided through statements such as 'if the candidate provided other responses, this is still acceptable provided that their responses	⊠ YES	
	are' or 'submissions will vary depending on the information available in their organisation/workplace.'	□NO	

	CRITERIA	Addressed? Comments
6.	For <b>output-based tasks</b> where the candidate is required to produce and submit an output (e.g. reports, project plans, analysis, etc.), specific benchmarks or criteria describing what a satisfactory output looks like are provided to the assessor.  For example, 'the report or plan includes the following information', 'the report uses plain English', 'the report has no grammatical errors,' etc.	⊠ YES □ NO
7.	For <b>simulated/case study output-based tasks</b> where the candidate is required to produce and submit an output (e.g. reports, project plans, analysis, etc.) in a simulated environment, benchmarked versions of a template/form are provided.  For example, financial reports completed for a case study/simulated business incident reports completed for an incident described in a case study scenario.	⊠ YES □ NO
8.	Benchmarked versions of a template/form are provided along with the assessor guide or through links provided to the assessor.  IMPORTANT: The candidate must never be given access to the assessor versions of templates and forms.	⊠ YES □ NO
9.	For <b>observation-based tasks</b> where the candidate is required to perform/demonstrate something while being observed, specific benchmarks or criteria how the task is to be performed or demonstrated satisfactorily.  For example, 'the candidate uses <u>active listening</u> during the consultation, including <u>paraphrasing</u> , <u>summarising</u> , etc.'	⊠ YES □ NO

CRITERIA	Addressed?	Comments
<ol><li>Benchmarks for observation-based tasks are explicit and observable actions and behaviour.</li></ol>		
For example:		
<ul> <li>'The candidate accesses a physical copy of the staff handbook,' instead of 'the candidate reviews the organisation's policies and procedures.'</li> </ul>	⊠ YES	
<ul> <li>'The candidate asks the client what their goals, needs, and preferences,' instead of 'the candidate consults with the client.'</li> </ul>	□NO	
'The candidate visually inspects the floors for tripping hazards,' instead of 'the candidate conducts a safety inspection.'		
11. Where the candidate is required to submit <b>supplementary documents</b> , such as copies and policies they followed while completing the task, other workplace documents they used as references to produce a written report, clear explanations on what these supplementary submissions are, their relevance in the assessment, and what the assessor is supposed to do with these documents.	⊠ YES □ NO	
12. Explicit instructions are provided to the assessor for reviewing and verifying supervisor declarations and third-party signoffs. For example, the verification must be done through a phone call, where the supervisor providing the declaration must have necessary qualifications, the assessor must check the supervisor's qualifications, etc.	⊠ YES □ NO	

# **Validation Report**

## **Principles of Assessment**

	Principle of Validity		
	CRITERIA	Addressed?	Actions Required
1.	The tool, as a whole, represents the full range of skills and knowledge specified within the unit(s) of competency, including:	⊠ YES	
	<ul><li>Performance Criteria (PC)</li></ul>	□ NO	
	<ul><li>Foundation Skills (FS)</li></ul>		
	<ul> <li>Performance Evidence (PE)</li> </ul>		
	<ul><li>Knowledge Evidence (KE)</li></ul>		
	<ul> <li>Assessment Conditions (AC)</li> </ul>		
2.	The tool has been designed to assess a variety of evidence over time	⊠ YES	
	and contexts (i.e., predictive validity)	□ NO	
3.	• • • • • • • • • • • • • • • • • • • •	⊠ YES	
	Level (AQF) level for the unit of competency or qualification being assessed.	□ NO	
4.	, ,	⊠ YES	
	conditions/performance evidence have been addressed in the assessment tool, e.g. "must include", etc.	□ NO	
5.	3	⊠ YES	
	requirements, e.g. Mandated assessments, Tax Practitioner Board requirements, supervised assessment, vocational placement requirements, etc.	□ NO	

	Principle of Reliability		
	CRITERIA	Addressed?	Actions Required
1.	The tool consistently provides similar outcomes regardless of the	⊠ YES	
	person being assessed or the person assessing.	□ NO	
2.	The tool enables multiple assessors to provide the same type of	⊠ YES	
	judgment when marking responses from the same candidate.	□ NO	

	Principle of Flexibility		
	CRITERIA	Addressed?	Actions Required
1.	The tool allows the assessment to be completed in the workplace or in a simulated environment, except for unit(s) requiring skills to be demonstrated in a real workplace.	⊠ YES □ NO	
2.	The tool includes instructions and guidance for contextualisation.  For example, how a workplace task is done may vary across different organisations. The assessor must then ensure that the relevant candidate instructions and benchmarks are updated and contextualised to the organisational procedures where the candidate is undertaking the assessment.	⊠ YES □ NO	
3.	The tool includes instructions and guidance for any reasonable adjustments that may be made without compromising the satisfactory level of performance required from the candidate, as required in the unit requirements and assessment requirements.	⊠ YES □ NO	

	Principle of Fairness		
	CRITERIA	Addressed?	Actions Required
1.	The candidate understands and agrees to undertake the assessment  Addressed via the provision of the Candidate Declaration and  Assessment Workbook Cover Sheet (or similar) as well as assessment  briefing to be conducted by the assessor prior to the assessment.	⊠ YES □ NO	
2.	The candidate is provided with resources (or they have been informed about the resources they need) and clear instructions to enable them to satisfactorily complete the assessments.	⊠ YES □ NO	
3.	The tool does not over assess the candidate. These are assessments that require the candidate to complete or perform/demonstrate tasks that are above and beyond what is required in the unit requirements and assessment requirements.	⊠ YES □ NO	

#### **Rules of Evidence**

VALIDITY: The assessor is assured that the learner has the skills, knowledge, and attributes as described in the module or unit of competency and associated assessment requirements.

	unements.		
	CRITERIA	Addressed?	Actions Required
1.	Assessment tool facilitates gathering evidence of the candidate's knowledge and skills in relation to the following:		
	<ul> <li>Performance Criteria (PC)</li> </ul>		
	<ul><li>Foundation Skills (FS)</li></ul>	⊠ YES	
	<ul> <li>Performance Evidence (PE)</li> </ul>	□NO	
	<ul> <li>Knowledge Evidence (KE)</li> </ul>		
	in an environment that meets the Assessment Conditions (AC) of the unit.		
2.	Assessment evidence-gathering methods are appropriate to what is being assessed.		
	<ul> <li>Practical skills are demonstrated and observed, i.e. asking a candidate how they do something is not a demonstration of them doing it, and vice versa</li> </ul>		
	<ul> <li>Practical skills involved producing an output/product, e.g. written reports, project plans, financial reports, etc.</li> </ul>	⊠ YES	
	<ul> <li>Knowledge evidence is <u>explicitly</u> assessed through knowledge assessments or questioning and not implicitly addressed through practical assessments.</li> </ul>	□NO	
	Knowledge evidence may be integrated into the practical assessment; however, they must still be assessed through valid methods, e.g. questioning after they have demonstrated or performed something.		

SUFFICIENCY: The assessor is assured that the quality, quantity, and relevance of the assessment evidence enables a judgement to be made of a learner's competency.

	CRITERIA	Addressed?	Actions Required
1.	Evidence gathered meets the <b>quality requirements</b> set out in the unit of competency and associated assessment requirements.		
	E.g.  What is a sufficient project plan? How are project plans satisfactorily and sufficiently accomplished in the real workplace?  What is a sufficient Work Health and Safety Incident Report? How are Work Health and Safety Incident Reports satisfactorily and sufficiently accomplished in the real workplace?	⊠ YES □ NO	
2.	Evidence gathered meets the <b>quantity requirements</b> set out in the unit of competency and associated assessment requirements.  E.g. The number of times a skill must be demonstrated, how many financial reports the candidate is required to submit, how many clients or customers the candidate needs to assist.	⊠ YES □ NO	
3.	Evidence gathered is relevant to the unit of competency and associated assessment requirements.  E.g.  If the unit is about the management of project time, the information contained in the 'project plan' is relevant to project timeframes and schedules (and should not be about the management of project costs).  Performance criteria are addressed within the context of the elements.  Evidence gathered is relevant to the unit's workplace application.	⊠ YES □ NO	

AUTI	AUTHENTICITY: The assessor is assured that the evidence presented for assessment is the learner's own work.		
	CRITERIA	Addressed?	Actions Required
	The assessor is able to determine that the evidence submitted is the candidate's own work.		
E	E.g.		
	<ul> <li>Submissions indicate they are the work of the candidate (e.g. document completed by)</li> </ul>	⊠ YES	
	<ul> <li>The candidate is required to answer questions in their own words</li> </ul>	□ NO	
	<ul> <li>Requiring supervisor declarations and third-party sign-off,</li> </ul>		
	<ul> <li>Requiring the candidate to submit a photo or video recording as evidence or requiring them to be directly observed by the assessor.</li> </ul>		
	nstructions and guidance are provided to the assessor to confirm that the evidence submitted is genuine and is the candidate's own work.	⊠ YES	
	E.g. Additional instructions for the assessor to call and verify with the candidate's workplace supervisor or other third-party personnel, etc.	□ NO	

CURRENCY: The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

	CRITERIA	Addressed?	Actions Required
1.	Assessments address knowledge and skills from current units of	⊠ YES	
	competency and not from superseded ones.	□ NO	
2.	,		
	and standards.		
	E.g. use of up-to-date business technology and software (what is currently used in the relevant industry), references to current legislation, regulations, industry and workplace standards, etc.	□ NO	

### Non-compliances or Gaps Identified

Unit requirements and assessment requirements	Description of non-compliance or gap
KE1.0	Validity Gap: State/territory legislation and how it impacts on industry standards are not addressed.
	Validity Gap: The instruction does not address state/territory legislation and how it impacts on codes of practice. From what I understand, relationship is not equivalent to impact.
	<b>Sufficiency Gap:</b> To test the candidate's knowledge and understanding of their state/territory WHS Codes of Practice, it is better to add another column in the answer field that requires the candidate to explain what the WHS codes of practice are for.
KE1.2	Validity Gap: Unit requirement and assessment requirement not addressed in the benchmark/sample answer.

Unit requirements and assessment requirements	Description of non-compliance or gap
KE2.4	Validity Gap: specifies specific hazards such as sharps, radiation. There is no safety symbol for sharps
KE4.4	Flexibility Gap: Marking guide must include consideration of other responses, i.e. other sources of infection [description of infectious diseases] in a home-based care environment or include a general description of satisfactory responses
KE4.5	Validity Gap: The developer requires the candidate to provide to practices to minimise injury, but does not include the context of the parent KE. There are practices to minimise injury, but not necessarily in the context of a home-based environment.

Add more rows as needed.

## **Suggestions for Improving the Tool**

Recommendations/suggestions	Summary of rectifications
Update the mapping for the identified requirements in the Workplace Assessments	Updated the mapping following comments in the AMT
Separate the case study into two: one for Lucy and one for Robert	<ul> <li>Separated the scenarios into two case study tasks</li> <li>Added briefing documents</li> </ul>
If the subcriteria will still depend on the actual information to be discussed, then better if the sub-items are text in the grey box so that it's obvious that they're also just model answers and should be further contextualised	Addressed; See assessment forms
Fix minor and moderate issues	Addressed and replied to comments
Address gaps as suggested	Addressed and replied to comments

# Sign-off

Actions from this validation implemented by	Jose Raoul Jimenez
Date actions were completed	30 March 2022

By signing below, I confirm that I have reviewed the rectifications completed in the assessment tool and confirm that all issues identified in this validation report form are now sufficiently addressed.	
Final review done by	Diane Panopio
Date final review was completed	31 March 2022

End of Document