

BOOK 2

RECOGNITION OF ASSESSMENT APPLICANT'S KIT

ON ASSESSING &
REFERRING CLIENTS



N.A.D.A.

Non Government Alcohol and Other Drug Treatment Workers Training and Workplace Assessment Resource Package for "Assessing and Referring Clients"

© NSW Department of Education and Training (DET) 2001

All rights reserved. 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 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. Outside these guidelines, all material is subject to copyright under the Copyright Act 1968 (Commonwealth) and permission must be obtained in writing from the NSW Department of Education and Training.

Disclaimer

The views expressed in this work do not necessarily represent the views of the NSW Department of Education and Training. The NSW Department of Education and Training does not give warranty nor accept any liability in relation to the content of this work.

Acknowledgements

Project Consultant/Resource Development
Lesley Hohnen, "Success Focus"

Steering Committee

Claire Cappe -DET Larry Pierce- NADA Cecelia Gore- CEIDA
Peter Dwyer-TAFE Lyn Roberts - MTAR

Industry Reference Group

Manager and staff of:

- MTAR
- BADFS
- St John of God
- SWAP
- WESDARC

Design & desktop publishing

Donna Crotty and Charlotte Wood

Project Steering Committee Acknowledgment

This work has been produced initially with the assistance of funding provided by NSW Health, the NSW Department of Education and Training, Training Development Unit, through the Enterprise Training Program advice from the Project Steering Committee.

Further copies of this resource are available from

Organisation: NADA
Address: Elizabeth Towers, Suite 1, Level 1, 418A Elizabeth St, Surry Hills 2010
Tel: 02 9281 4781
Fax: 02 9281 6204
Email: admin@nada.org.au

TABLE OF CONTENTS

GLOSSARY	2
INTRODUCTION	3
How do you use the kit ?	3
How long should it take you ?	3
What happens after the kit ?	4
WHAT IS EVIDENCE?	4
A portfolio	4
Observation of skill demonstration	5
Simulation	5
Case studies	6
Oral questions	6
Written questions	6
WHAT IS TO FOLLOW?	7
Task 1: Assessing the needs and status of the client	8
Task 2: Important issues in assessment	12
Task 3: Case management	14
Task 4: Reviewing progress with clients	16
Task 5: Referring clients	18
WHAT HAPPENS NEXT?	19
REFERENCES	20

Glossary

AOD	Alcohol and other drug.
Assessment	Making a judgment from the evidence collected and deciding whether it satisfies the competency standard.
CSHI	Community Service and Health Industry.
Competency standard	Describes what a competent worker should be able to do in his/her particular job role.
Competency-based assessment	Deciding whether the worker's performance in an assessment procedure meets the competency standard criteria.
Competency-based training	Training based on the competency standards.
ITABs	Industrial Training Advisory Bodies – the national and state bodies for each industry. The drug and alcohol field is covered by the Community Services and Health ITAB (one national and one state body) which coordinate implementation of training reform, e.g. the devising of the competency standards.
Module	A specific section of learning, which can be completed in itself, that may deal with a section of a competency.
Recognition of prior learning (RPL)	The acknowledgment of skills and knowledge obtained through formal training (industry and education), work experience and life experience. The main focus of RPL is the competencies of these experiences, not how, when or where they have been learnt.
Recognised training organisations (RTOs)	Educational or training organisations (e.g. TAFE) whose training courses have been accredited by the ITAB.
Staff appraisal	A system of assessing the worker's progress at certain intervals.

INTRODUCTION

Welcome to the recognition kit! This kit is primarily for workers. It is a self-assessment kit, so you can use it to assess your competency at assessing and referring clients. Before you begin this kit it is recommended that you read *Book 1: Agency Handbook*. This way you will gain an understanding of the whole process involved in using this package of resources. The *Agency Handbook* explains terminology such as ‘competencies’, ‘competency-based training’ and ‘workplace assessment’.

HOW DO YOU USE THE KIT ?

By now you will have had discussions with your manager/workplace supervisor about the process involved in working through the kits. If not, make time to do so.

Here is how to proceed:

1. Read through the whole kit first, just to gain an understanding of the process.
2. Go through the kit slowly. At each section, against the ‘evidence’ column, indicate with a tick that you consider yourself either ‘competent’ in this area or you ‘need to learn more’.

‘Competent’ means you feel confident that you could demonstrate sufficient evidence for a workplace assessor (this could be your manager or supervisor) that you have that skill. Types of evidence you can use are explained later in the kit. There is a space at the bottom of each page for any comments or questions you might like to discuss later with your workplace supervisor.
3. Once you have completed the kit, debrief with your manager/ workplace supervisor (discuss any problems, feelings thoughts or worries you have on doing the kit). You may wish to go through the kit with them. Some people underestimate their skills and your supervisor might like to discuss these areas.

How long should it take you ?

The whole process should not take you more than 2 hours.

What happens after the kit ?

- If there are areas in which you feel you need to learn more refer to the appropriate section in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*.
- If you feel you are competent in all areas, you may wish to be assessed by your manager or a qualified workplace assessor. For this you may need to provide certain evidence of your competency. You can discuss and negotiate the evidence required with your supervisor.
- If you are assessed by your manager, this may be part of a staff appraisal process. It is best that you negotiate this with your manager and make sure that you gain what you need from an assessment. Any assessment needs to be a two-way process.
- If you wish to have formal accreditation for your assessment you will need to ask your manager to arrange for a qualified workplace assessor to come from a registered training organisation to do this. You need to think about and discuss the gains there might be for you in doing this with your manager.

WHAT IS EVIDENCE?

There are several ways to present evidence of your competency to a workplace assessor .

A portfolio

A portfolio is a presentation of documented evidence of a worker's competency. It is probably the most often-used way of collecting evidence in the community service industry, as it is often difficult to observe people doing their work. The information in the portfolio may take some time for you to collect, and this will have to be negotiated between employee and the manager. All information must be authenticated.

The portfolio can include:

- documentation of study completed at a recognised training authority in the area being assessed – e.g. certificates, diplomas, statements of results etc;
- letters of evidence or references from employers, people you have worked with (paid or unpaid), community groups in which you have been involved;
- examples of your work – this could include notes or reports about workplace activities.

For this particular guide, work examples could include:

- completed client assessment forms (carried out with the worker interviewing the client);
- client case-management plans (carried out with the client, preferably following the lines of the technique in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*);
- referral lists/guides that you have developed yourself;
- reports, referral letters other official documentation you have prepared with or about the client for the agency.

These articles can be actual documents, but if so the client's name, address, etc must be removed or covered for ethical reasons of confidentiality.

You could also present documentation you have completed through doing the exercises in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients* as evidence.

Observation of skill demonstration

This involves the assessor observing performance (either real or simulated) and, if appropriate, checking the product (e.g. assessment form) produced by you during the demonstration. Performance may be observed in a structured manner or unobtrusively through direct or indirect methods.

It is not appropriate for an outside assessor to observe a real situation of a worker interaction with an existing client; therefore, a simulated exercise is more likely.

Simulation

A simulation is a situation in which you can be asked to reproduce a normal workplace performance. Simulations are common in circumstances where it is unethical to observe workers with actual clients. Due to the nature of our work in CSHI, permission should be sought from the client for any observation. Otherwise, issues of confidentiality are breached.

Simulation can consist of two workers carrying out a role-play in front of the assessor, or a video or tape-recording of the two workers in the role-play.

The assessor would be observing the list of items in this guide under the appropriate section.

Case studies

A case study can be based on written information and/or practical experience in a simulated or actual workplace. It provides you with opportunities to demonstrate your problem-solving and decision-making skills, and your flexibility in applying underpinning knowledge to new contexts.

Things that could be presented include case-management plans for individual or groups of clients.

Oral questions

By asking oral questions, the assessor can test your communication skills at the same time as authenticating the knowledge that underpins performance. One advantage of oral questioning is that you can seek clarification from the assessor when necessary. This is not possible with written or computer-based questions.

Written questions

Written questions may take a number of forms, such as:

- multiple choice – a question or incomplete statement following by four or five options from which you select the correct one;
- short answer – a question with a predetermined answer that varies from one word to, at most, two or three sentences.

WHAT IS TO FOLLOW?

The skills and knowledge required for assessing and referring clients has been broken down into five task areas. The task areas have the same titles as in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*, so if you find something you do not understand it will be easy to look it up there.

Instructions

In each section put a tick next to either "I am competent" or "I need to learn more", depending on how you gauge your ability .

If you put a tick in the "competent" column you need to feel confident that you can provide the evidence of your knowledge and skills at the same standard listed in these sections.

There is space left at the end of each section for you to place questions or comments to discuss later with your supervisor.

Assessment criteria is just the general statement about the particular skill or area of knowledge that is required, and relates back to the performance criteria in the competency standard in this case CHCAOD8.

Evidence is a more detailed breakdown of all the skills and knowledge required to meet the assessment criteria.

Task 1: Assessing the needs and status of the client

NOTE: Task 1 is large, as it the beginning of your relationship with clients. It requires important skills and knowledge.

Assessment criteria	Evidence	I am competent at this	I need to learn more
Describe the aims, events and processes associated with client assessment.	<p>I can:</p> <ul style="list-style-type: none"> • describe the purpose of a client assessment; • explain the function of client assessment in treatment; • describe how to carry out an assessment giving details of the process and procedure of assessing a client; • describe the difference between an intake and a comprehensive assessment; • describe the principles of client-centredness and rapport-building; • describe a range of cultural contexts which may influence the assessment; • describe harm minimisation principles; • describe how the client's 'stage of change' will affect the assessment. 		

If you need to learn more, refer to Unit 1 in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*.

In *Book 4: Workplace Assessment Guide on Assessing & Referring Clients* a workplace assessor would ask you a series of oral questions to establish your competency in this knowledge-based section. The questions are in *Book 4, Task 1*. You can examine them thoroughly before undergoing any assessment.

Your notes and comments:

Task 1: Assessing the needs and status of the client

Assessment criteria	Evidence	I am competent at this	I need to learn more
Identify client's reason for seeking help through discussion with the client and gathering other relevant information	I can: <ul style="list-style-type: none"> • establish rapport with clients through the use of basic counselling skills; • determine readiness for change (stages of change model); • establish immediate needs of the client, e.g. physical, social financial and legal; • determine level of risk of deliberate self-harm behaviours and/or harm to others; • explain the level of risk associated with AOD use including the risk of exposure to blood-borne diseases, e.g. HIV, Hep C. 		

If you need to learn more, refer to Unit 1 in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*.

In *Book 4: Workplace Assessment Guide on Assessing & Referring Clients* a workplace assessor would ask you to demonstrate your competency in this skill-based section by way of a simulation exercise. You can discuss with your manager later how and when you can do this.

Your notes and comments:

Task 1: Assessing the needs and status of the client

Assessment criteria	Evidence	I am competent at this	I need to learn more
Explain the parameters of confidentiality and appropriate policies/procedures to the client.	<p>I can:</p> <ul style="list-style-type: none"> • explain to the client my organisation's policies on reporting and confidentiality; • explain to the client the legal and organisational requirements for client registration, allocation – for example, where the information I collect from them will go or be stored. 		
Establish client's drug use history, including health and welfare history.	<p>I can:</p> <ul style="list-style-type: none"> • take a client's history, collecting relevant information on: <ul style="list-style-type: none"> - name, age, gender; - presenting problem/need; - drug use history; - social and legal history; - current status, e.g. housing; - agency ability to cater for client's needs; - mental health issues; - other issues affecting client. 		

If you need to learn more, refer to Unit 1 in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*.

In *Book 4: Workplace Assessment Guide on Assessing & Referring Clients* a workplace assessor would ask you to demonstrate your competency in this skill-based section by way of a simulation exercise. You can discuss with your manager later how and when you can do this.

Your notes and comments:

Task 1: Assessing the needs and status of the client

Assessment criteria	Evidence	I am competent at this	I need to learn more
Assess the current status of the client using standardised alcohol and other drug screens and from discussion with the client.	I can: use AOD screens such as <ul style="list-style-type: none"> • Audit • SADQ-C • SODQ 		
Provide appropriate feedback on assessment to the client.	I can: <ul style="list-style-type: none"> • present information on the assessment to the client in a non-judgmental manner; • identify motivation for change and recognise ambivalence; • support and assist any motivation for change . 		
Discuss the appropriate use of an interpreter.	I can: <ul style="list-style-type: none"> • explain the process of how to contact and arrange the use of a qualified interpreter if required; • work appropriately with an interpreter either by phone or in person. 		

If you need to learn more, refer to Unit 1 in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*.

In *Book 4: Workplace Assessment Guide on Assessing & Referring Clients* a workplace assessor would ask you to demonstrate your competency in this skill-based section by way of a simulation exercise. You can discuss with your manager later how and when you can do this.

Your notes and comments:

Task 2: Important issues in assessment

Assessment criteria	Evidence	I am competent at this	I need to learn more
Recognise possible conditions, e.g. ARBD, mental illness, sexual assault, domestic violence that may affect the client's needs and treatment.	I can: identify some of the possible signs and symptoms of <ul style="list-style-type: none"> • ARBD • mental illness • sexual assault • domestic violence 		
Discuss the difference between major mental illnesses and a range of emotional issues including distress and anxiety.	I can: <ul style="list-style-type: none"> • demonstrate knowledge and skills required to work with clients with mental health and AOD issues; • name referral sources for assessment and treatment of all of these conditions. 		
Identify self-harm indicators and suicide risk.	I can: <ul style="list-style-type: none"> • name some of the high-risk groups for suicide risk; • name some of the verbal, behavioural and situational indicators of self-harm and suicide. 		

If you need to learn more, refer to Unit 2 in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*.

In *Book 4: Workplace Assessment Guide on Assessing & Referring Clients* a workplace assessor would ask you to demonstrate your competency in this knowledge based section by way of oral questions. The questions are in *Book 4, Task 2*. You can examine them thoroughly before undergoing any assessment.

Your notes and comments:

Task 2: Important issues in assessment

Assessment criteria	Evidence	I am competent at this	I need to learn more
Describe the relationship between alcohol and other drug use and mental health.	I can: <ul style="list-style-type: none"> define dual diagnosis; describe the symptoms of a range of mental illnesses. 		
Discuss the social issues surrounding drug use by clients with mental health issues.	I can: describe the impediments to treatment for clients with dual diagnosis because of the different philosophies and roles of the two health areas.		
Identify and discuss the range and availability of mental health agencies.	I can: name referral agencies for clients with mental health issues.		
Identify organisational policies and procedures for working with clients with both alcohol and other drug and mental health issues	I can: explain my agency's policies on working with clients with mental health issues.		

If you need to learn more, refer to Unit 2 in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*.

In *Book 4: Workplace Assessment Guide on Assessing & Referring Clients* a workplace assessor would ask you to demonstrate your competency in this knowledge-based section by way of oral questions. The questions are in *Book 4, Task 2*. You can examine them thoroughly before undergoing any assessment.

Your notes and comments:

Task 3: Case management

Assessment criteria	Evidence	I am competent at this	I need to learn more
Describe the process of goal-setting with clients.	<p>I can:</p> <ul style="list-style-type: none"> explain the definition of goals to the client, and the importance of goals in helping to solve problems; ask key questions of the client to assist them in developing their goals. 		
Describe the process for assisting clients to develop strategies to meet agreed goals.	<p>I can:</p> <p>explain to the client the process of developing strategies and work with them on this process through:</p> <ul style="list-style-type: none"> brainstorming; how to choose the best strategies. 		
Outline the problems associated with developing plans and the strategies to reduce these.	<p>I can:</p> <ul style="list-style-type: none"> explain ambivalence and resistance to using the strategies to the client; work with the client to help them reduce resistance and increase motivation. 		

If you need to learn more, refer to Unit 3 in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*.

In *Book 4: Workplace Assessment Guide on Assessing & Referring Clients* a workplace assessor would ask you to demonstrate your competency in this skill-based section by way of a portfolio of case management plans on clients.

Your notes and comments:

Task 3: Case management

Assessment criteria	Evidence	I am competent at this	I need to learn more
Develop treatment options that match the client.	I can: <ul style="list-style-type: none"> • provide relevant information to the client on AOD and related issues in accordance with their chosen goals and strategies, e.g. the process of detoxification or appropriate referral; • develop with the client treatment plans options that match their goals; • assist them in writing a contract for themselves including: <ul style="list-style-type: none"> - goals - strategies - a time frame. 		
Integrate relapse prevention strategies into proposed options.	I can: <ul style="list-style-type: none"> • discuss with the client the issue of relapse; • explain methods of relapse-prevention training; • develop relapse-prevention strategies with the client; • explain to the client the incorporation of these in their plan and contract. 		

If you need to learn more, refer to Unit 3 in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*.

In *Book 4: Workplace Assessment Guide on Assessing & Referring Clients* a workplace assessor would ask you to demonstrate your competency in this skill-based section by way of a portfolio.

Your notes and comments:

Task 4: Reviewing progress with clients

Assessment criteria	Evidence	I am competent at this	I need to learn more
Review client's progress regularly against negotiated goals and action plans.	I can: review goals and action plans with clients in accordance with agency's regulations.		
Negotiate revised action plans and timelines.	I can: describe procedures for revising action plans and timelines with clients.		
Negotiate with the client their exit from the program and provide support in accordance with organisational policies and available resources.	I can: demonstrate the procedure at the agency where I work for client support after they leave the program.		
Identify the particular requirements of the organisation for maintaining client records.	I can: demonstrate skills for record-keeping in accordance with my agency's regulations.		
Explain the legal consequences of report-writing for worker and organisation.	I can: demonstrate legal knowledge appropriate to my job description and its relationship to report-writing.		
Identify and demonstrate the nature of report-writing (legal/court reports, employment referral, own and other organisations).	I can: demonstrate report-writing skills appropriate to my job role.		

Task 4: Reviewing progress with clients

Assessment criteria	Evidence	I am competent at this	I need to learn more
Review and document outcomes of client work against care plans in accordance with organisational policies and available resources.	I can: demonstrate ongoing client work within established care plans which have been appropriately documented.		
Discuss outcomes with client and appropriate persons inside and outside the organisation, and document in accordance with organisational policies and procedures.	I can: demonstrate ongoing client work has been discussed and documented with agency and clinical supervisor.		

If you need to learn more, refer to Unit 4 in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*.

In *Book 4: Workplace Assessment Guide on Assessing & Referring Clients* a workplace assessor would ask you to demonstrate your competency in this skill-based section by way of a portfolio of review of client's progress and/or any reports, client records you have written.

Your notes and comments:

Task 5: Referring clients

Assessment criteria	Evidence	I am competent at this	I need to learn more
Identify a range of services that can meet specific needs of the client group.	I can: list an updated network of services that are specific to AOD and related areas that use client referral in my agency. Examples of services that need to be demonstrated: <ul style="list-style-type: none"> - detoxification units; - inpatient and outpatient counselling; - self help groups; - proclaimed place; - rehabilitation; - residential. 		
Check client's experience with services and confirm details.	I can: demonstrate interaction with client regarding referral services.		
Discuss the suitability of other services with client.	I can: demonstrate the suitability of services checked against client's expressed goals and care plans.		

Task 5: Referring clients

Assessment criteria	Evidence	I am competent at this	I need to learn more
Support client to make contact with relevant services.	I can: <ul style="list-style-type: none"> assist the client in making an appointment with relevant services; accompany client if appropriate. 		
Provide follow-up in accordance with organisational policies and available resources.	I can: demonstrate follow-up of clients when appropriate, according to agency guidelines.		
Discuss organisational policies and procedures for working with other related organisations .	I can: outline my agency's policies and procedures when clients are referred.		

If you need to learn more, refer to Unit 5 in *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*.

In *Book 4: Workplace Assessment Guide on Assessing & Referring Clients* a workplace assessor would ask you to demonstrate your competency by way of oral questions and a referral index. The questions are in *Book 4, Task 5*. You can examine them thoroughly before undergoing any assessment.

Your notes and comments:

WHAT HAPPENS NEXT?

Congratulations, you made it through the kit!

Were you surprised how much you knew? If there are some areas you feel you need to brush up on, you can read and gain this knowledge from *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients*. However, firstly debrief with your supervisor and check with them whether perhaps you are working in areas that you have forgotten involve these skills; you may already be competent at them.

If you wish to prepare for a workplace assessment, here is a summary of the evidence you require:

Task 1: Assess the needs and status of the client

Suggested evidence is oral questions on purpose and procedure of assessment; possible portfolio of client assessments conducted by interviewing the client; observation by the workplace assessor of you carrying out a simulation of a client assessment interview and a feedback session.

Task 2: Important issues in assessment

Oral questions on signs and symptoms of these issues; portfolio of referral agencies.

Task 3: Case management

Portfolio on case management plans with clients indicating development of goals, strategies, contracts and action plans.

Task 4: Review progress with clients

Portfolio on client documentation kept or prepared by you, including reports, letters, other formal documentation.

Task 5: Refer clients

Oral questions on procedure and role of the worker and client; portfolio on referral agencies.

REFERENCES

Alcohol and Other Drug. National Competency Standards. Final Draft.
1997. Community Services and Health Training, Australia

Hohnen,L. Greene,D. *A Guide to National Competencies Workplace
Assessment and Training* for Alcohol and Other Drug, Non Government
Agencies

Training the wave of the future- A Guide to Workplace Assessment CHC99.
Commonwealth Services and Health Training Australia Ltd. Australian
National Training Authority. Melbourne Victoria.

A Workplace Assessment Participants' Manual. NSW TAFE Commission-
Curriculum, Participants' manual and Trainer's Guide/Resources.