BOOK 4

WORKPLACE ASSESSMENT GUIDE

ON ASSESSING & REFERRING CLIENTS

NEW SOUTH WALES DEPARTMENT OF EDUCATION AND TRAINING

N.A.D.A.

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

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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 workplace assessment guide! If you have not already done so, read *Book 1: Agency Handbook on Assessing & Referring Clients* before you begin on this kit. This will give you an overall understanding of competency standards, and how they fit into workplace assessment and training. This guide is aimed at providing information and support for managers and supervisors. Workers should also read this guide to gain an understanding of workplace assessment, their rights and how they can contribute to the process. This is to ensure that fairness and equity is maintained in the process.

SECTION 1

In this guide, Section 1 gives you general information on workplace assessment and how to conduct the process in your workplace. It gives you information on how to develop workplace assessment and the appropriate guidelines to follow.

SECTION 2

Section 2 is the workplace assessment 'evidence guide' and provides information on how to use it . This evidence guide has been developed around Department of Training and Assessment (DET) self-directed learner guide, ***Assessment and Referral.***

You have also been issued with a workplace version of this in the resource package; *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients.*

By using this workplace evidence guide you can understand the process and procedure of workplace assessment and perhaps later develop similar ones around other workplace skills that you would like to assess.

SECTION 1: WORKPLACE ASSESSMENT

What is workplace assessment?

Workplace assessment is a formal system of assessing workers' competency in their job role, against competency standards. The workplace assessor collects evidence from the employee/candidate and judges whether they are competent to carry out a task. **The way to collect evidence is listed in the section on assessment methods.** Although the system is a formal one, employees can be involved in the development of workplace assessment tools and they always need to be fully aware and informed of the whole process.

What is the role of the manager/ supervisor in this workplace assessment?

Generally speaking, in workplace assessment the manager's role is to prepare your own form of workplace assessment tools based on the competency standards. How to do this is to follow. The manager also needs to support and prepare the employee through the various stages of assessment. As formal training and assessment in the workplace is very new in this field the employee will require a number of things from the manager:

- **Support,** encouragement and reassurance to overcome fears about being assessed. Including them in the preparation process will also help to empower them and give an understanding of assessment.
- **Time** to prepare and learn. This will need to be worked out beforehand so other work does not interfere. If you are using the resources made available to you, employees should be given the opportunity to complete *Book 2: Recognition of Assessment Applicant's Kit on Assessing & Referring Clients* and *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients* if necessary, and then prepare for assessment.
- **Help** in preparing the appropriate evidence for assessment.
- **Debriefing** discussions when required along the different stages.
- **Knowledge** that this process has advantages for them despite any fears they may have. These advantages are listed next.

ADVANTAGES FOR THE EMPLOYEE IN WORKPLACE ASSESSMENT

- They are able to see and acknowledge the skills they already have in this area.
- Where they feel they need more learning they can gain this in the workplace through arrangements with the manager.
- By arrangement with an RTO they can be assessed by an independent assessor and gain some form of accreditation.
- They can receive ongoing support from their manager regarding their professional development.

ADVANTAGES FOR THE AGENCY AND MANAGER/AGENCY SUPERVISOR

- Recognition of staff's present abilities against national competency standards.
- Emphasising ongoing training for existing staff.
- Training and assessment occur in the workplace.
- Qualified staff in line with national competency standards.

STEPS INVOLVED IN A WORKPLACE ASSESSMENT

The following is set out to give you an understanding of the process in developing workplace assessment if you intend to use this procedure yourself for professional development of staff.

Planning the assessment

- Manager or supervisor acting as workplace assessor obtains a copy of the **relevant competency standards.** Availability details are on page 8.
- Workplace assessor develops appropriate assessment tools (e.g. observation, interview questions, tests etc.). This has been done for you in this package in relation to assessing and referring clients. They can be used as examples if you wish to develop your own in other areas of your employees' work.
- Assessor negotiates the collection of evidence with the worker.

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Preparing the worker

Everyone feels some level of anxiety about being assessed and it is paramount that before conducting any assessment managers/ workplace assessors should:

- put the candidate at ease and ask their needs in being assessed;
- clearly explain the purpose/s of the assessment;
- clearly explain the performance measures and assessment methods to be used;
- seek feedback regarding the candidate's understanding of the process and any of your instructions;
- clearly explain the appeal process (explained later in this document).

▼

Conducting the assessment

- The assessment environment needs to be fair, appropriate and non-threatening.
- Appropriate communication skills must be used throughout the assessment.
- Feedback should be given during assessment when appropriate.
- Assessment events can be used as a learning exercise in themselves.

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Concluding the assessment

- Decisions are based on the evidence collected.
- Appropriate feedback is given to the worker.
- Results are recorded.

PLANNING THE ASSESSMENT

A copy of the National Competency Standards for Alcohol and Other Drugs Work is available from:

Community Services and Health Training Australia
Level 6, 1 Oxford St Darlinghurst NSW 2010
TEL: 02 92633589, FAX: 0292633599.

A manager first must decide what they are going to assess.

As the assessor you should find the appropriate competency standard for the task. From here you need to design an assessment task to meet the performance criteria of that unit of competency. This obviously involves managers gaining a good understanding of the national competency standards and then relating them to their workplace.

Holistic assessment

If you are planning to develop a form of workplace assessment, it is suggested that you use an integrated approach. In other words assessment should translate knowledge, understanding, problem-solving, technical skills, attitudes and ethics into events.

Wherever possible, assessments in the workplace should cover several competencies, elements or learning outcomes and reflect the 'real' nature of work.

Principles of competency-based assessment

Whether you choose to assess your employees yourself or employ a qualified assessor to formally assess them, the workplace assessment procedure is the same.

The following points must be considered in all workplace assessment.

Validity

Assessment must be accurate and meaningful to the work.

Ways to ensure this:

- assessors are competent at using the appropriate assessment;
- strategies are appropriate to the field of work;
- assessment is relevant to the competency standard;
- sufficient evidence is collected.

Reliability

Assessment events must be consistent regardless of the assessor, e.g.:

- an assessment event is administered in the same way for each worker/candidate;
- instructions to candidates are clear, consistent and unambiguous.

Fairness

Nobody should be disadvantaged by the assessment procedures or methods, regardless of age, gender, disability, ethnic or social background or language barriers.

To make sure it is fair:

- candidates are consulted on assessment purpose, methods and procedures;
- information feedback is provided and sought throughout the assessment process;
- challenges and appeals are accessible to all candidates.

Reasonable adjustment

Reasonable adjustments are made to ensure that the individual with a disability is not presented with artificial barriers when demonstrating achievement of competency and learning outcomes.

The appeal process

If the assessment is part of a staff appraisal or learning contract between a manager and employees, the appeal process will need to be worked out at the agency. If a formal assessment is taking place by a qualified assessor from a RTO, each RTO will have set rules on an appeal process. The employee must be fully aware of them before beginning the assessment.

Other issues

- The candidate should have access to any of the records taken during assessment.
- The candidate should be given constructive feedback on the assessment, including information on areas where they are competent and also where they require more training or development.

Relevant regulation and legislation

Equal opportunity

- Reasonable adjustment must be made to the assessment for candidates with special needs and disabilities.
- Literacy levels must be checked.

Enterprise policy

- Relevant stakeholders (management committee, funding body etc) should be advised of assessment and arrangements.
- Assessment should not unnecessarily disrupt normal service to clients.

ASSESSMENT METHODS

This is a list of the ways candidates are assessed in the workplace. They are listed in the order most appropriate for this trial.

Portfolio

A portfolio is a presentation of documented evidence of a candidate'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 a while for people to collect and this will have to be negotiated between employee and the manager. All information needs to be authenticated.

The portfolio can include:

- documentation of completed study recognised training authority in the area being assessed, e.g. certificates, diplomas, statements of results etc.
- letters of evidence or references from:
  1. employers
  2. people they have worked with (paid or unpaid)
  3. community groups in which they have been involved;
- examples of their 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 developed by the candidate;
  - reports, referral letters other official documentation the candidate has prepared with or about the client for the agency.

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

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

Observation of skill demonstration

This involves the assessor observing the worker's performance (either real or simulated). 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 candidate's interaction with an existing client; therefore, a simulated exercise is more likely.

Simulation

During a simulation, the candidate is asked to demonstrate normal workplace performance. Simulations are common in circumstances where it is unethical to observe candidates with actual clients. Due to the nature of our work in CSHI permission should be sought from the client for any observation. Otherwise, confidentiality is breached.

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

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

Case studies

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

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

Oral questions

By asking the candidate oral questions, the assessor can test the candidate's communication skills at the same time as authenticating the knowledge that underpins performance. One advantage of oral questioning is that the candidate can seek clarification from the assessor when necessary. This is not possible with written or computer-based questions. In this book there are several elements where the assessor needs to ask oral questions because there maybe no other feasible way of assessing the candidate's competency.

Written questions

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

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

PREPARING THE CANDIDATE

It is best if you have included the worker all along in the development process. This way, the assessment is just part of their training and you can work this out together. However, to be sure, check the worker's understanding of the following before any assessment begins:

- the competency standards to be assessed;
- the purpose behind assessment (e.g. to identify future training needs);
- the assessment methods to be used (e.g. examining a portfolio of documents of 'prior learning' and present work);
- the time and place of assessment;
- they feel that the environment for assessment follows all the principles mentioned previously (i.e. validity, reliability, fairness);
- they agree (verbally or in writing) to the assessment arrangements.

The appeal process

The candidate needs to know:

- how they appeal against a perceived unsatisfactory result;
- to whom they can appeal;
- the time period available for that appeal;
- the process for repeating the assessment.

CONDUCTING THE ASSESSMENT

Communication skills

Just as communication with clients needs to be very considered, so does communication with workers during a workplace assessment.

The same principles apply:

Open questions

These make people think and give more than a 'yes' or 'no' answer.

Effective Listening

Active and reflecting listening to check on understanding is always appropriate.

Observation of non-verbal communication

Being aware of your own body language, keeping it open and interested is important, as is being conscious of the candidate's non-verbal behaviour and what that indicates.

Informative feedback

This should be provided as soon as practicable afterwards, or during the assessment if appropriate.

Assessment events can be used as learning in itself even if the person being assessed is competent. It can lead to discussion about the next stage of learning.

CONCLUDING THE ASSESSMENT

Managers need to make a judgment about whether they think the employee is competent from the evidence presented. If the assessor has followed the procedure outlined and developed a good rapport with the worker/candidate and involved them in the process, this should be an easier task. Even if there is insufficient evidence, this can be explained and a opportunity for further training to meet this gap established.

Appropriate feedback

Full consideration of the employee needs to be taken when giving feedback. Workplace assessors need to ensure privacy and confidentiality for the employee.

Feedback may be given verbally or in writing depending on the circumstances. Often it is given verbally and this followed with written confirmation of the results.

In giving feedback it is good to encourage responsibility in the candidate for their assessment. Open questions might include:

- *Where do you feel you displayed competency in the assessment?*
- *Where do you feel you were not as competent?*
- *What would you change in your performance if you had your time over again?*
- *What are the areas in which you feel you need to learn more?*

Many candidates are aware of where they have been competent and where they have not. If they acknowledge this themselves, there is usually more acceptance of a ‘not yet competent’ result.

If the candidate is ‘competent’, still discuss with them the next area of learning and assessment.

If the person is judged to be ‘not yet competent’ they should be given positive reinforcement for those areas in which they have done well and constructive feedback in areas where they need to learn more. They should be given information on how and when they could be re-assessed.

A person should know exactly why they have not reached competence. Discussion can be based on how they can improve their skills to the level required.

Recording the results

Proper records on the assessment process and the result must be kept.

The records should include:

- the employee's name;
- the workplace assessor's name;
- the purpose of the assessment;
- the competencies being assessed;
- the date of assessment
- the evidence collected
- the results of assessment
- whether any follow-up advice is required or given.

Note: For this assessment you can do this in the back of this guide.

SECTION 2: THE WORKPLACE EVIDENCE GUIDE

What is the workplace evidence guide?

Following is a workplace evidence guide which has been designed so that you can assess workers' competency in assessing and referring clients.

In other words, **the planning stage of workplace assessment has been done for you**. You as a manager just need to prepare the worker/ candidate, and conduct the assessment if you wish. Remember, every employee can be different. Some of your employees may have already studied this subject area at a recognised training organisation and can supply you with a certificate to verify this. Some employees who have examined these resources and are fully qualified still like to use them for revision. Others may have other documented evidence of competency. They should be able to tell you from their self assessment by using *Book 2: Recognition of Assessment Applicant's Kit on Assessing & Referring Clients* where they feel competent and demonstrate this accordingly.

Using the evidence guide with other guides and kits

If you are feeling a bit overwhelmed at this point with all this information, here is a quick revisit of the steps involved before using the evidence guide.

Step 1:
Both manager and employee read *Book 1: Agency Handbook on Assessing & Referring Clients.*

Step 2: Employee completes *Book 2: Recognition of Assessment Applicant's Kit on Assessing & Referring Clients.*

This will give them the opportunity to self-assess their ability in assessing and referring clients.

Step 3: Employee fills in any learning gaps using *Book 3: Self-Directed Learner's Guide on Assessing & Referring Clients.*

Step 4: Both manager and employee examine *Book 4: Workplace Assessment Kit on Assessing & Referring Clients* – this kit – to establish assessment needs. Discuss the pros and cons of assessment for each of you and work out a plan to benefit both.

Step 5: Employee completes assessment either, with the manager or with a qualified workplace assessor from a registered training organisation. As manager you will need to arrange this if required.

NOTE: Assessment of the employee should not take place until they have completed the learning and feel ready to present themselves for assessment.

Of course, managers can give them encouragement, time and support to complete the learning in a mutually agreed framework. In other words, a learning contract.

If the manager and the employee are working together with these kits, it is important that the manager make sure that the employee is fully aware of what is required of them before any formal assessment takes place, whether this is part of a learning contract or with a qualified assessor. A qualified assessor will also brief the employee, to ensure fairness and enhance the transparency of the assessment process.

EXPLANATION OF TERMS

Expected performance

This is a description of the expected performance of the employee on each task. The workplace assessment evidence guide has been broken up in to five task areas in which the candidate must achieve competency. It is set out in great detail to cover all the important aspects of assessing and referring clients in order to meet the competency standard. It also enables the assessor to know exactly what needs to be observed as evidence.

Task

An overall description of what is required.

Critical aspects

A description of the things the candidate/worker needs to achieve in order to be considered competent.

Grading

Grading is as follows:

1= competent	**2= not yet competent**	**3= not assessed**

Specific criteria to be assessed	1	2	3	Comments

The assessor must mark either '1', '2' or '3' in the box provided, according to your judgment of the employee's performance.

1 = competent

They have basically covered what has been listed, especially the critical aspects. They have provided the appropriate evidence.

2= not yet competent

They have not provided the evidence to satisfy the criteria.

3 = not assessed

Sometimes, some aspects will not be assessed. This does not mean the employee is not competent; merely that you may assess this later.

USING THE GUIDE

Here is an list of suggested evidence on which to base a rating of candidate competency.

Task 1: Assess the needs and status of the client

- oral questions about the purpose and procedure of assessment;
- candidate portfolio of client assessments conducted by interviewing the client;
- candidate 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 (questions listed in this guide);
- portfolio of referral agencies.

Task 3: Case management

- portfolio of case management plans with clients, indicating development of goals, strategies, contracts and action plans.

Task 4: Review progress with clients

- portfolio of client documentation kept or prepared by the candidate – reports, letters formal documentation

Task 5: Refer clients

- oral questions on procedure and role of the worker and client (questions listed in the guide);
- portfolio of referral agencies.

Once you have this evidence you can rate 1, 2 or 3 against the appropriate section to indicate competency and give suitable feedback to the candidate.

Task 1: Assess the needs and status of the client

Describe the aims, events and processes associated with client assessment.

Expected performance

A workplace assessor would be looking for the specific criteria to be assessed in particular the critical aspects. Use the **oral questions** on the next page to assess this knowledge.

1= competent	2= not yet competent	3= not assessed

Specific criteria to be assessed	1	2	3	Comments
The candidate is able to describe the purpose and function and the procedure to be followed in a client assessment. This may include describing: • different procedures of an intake and comprehensive assessment; • social and cultural issues that affect the assessment; • major content areas of a comprehensive assessment; • impact of the client's 'stage of change' on the assessment; • how to work with an interpreter; • a feedback session after the assessment.				
Critical aspects: The candidate should: • describe client-centeredness and the importance of respecting client's individuality; • discuss how they would take into consideration client's gender, race, ethnicity, sexual preference .				

Task 1: Oral questions

Assess by satisfactory response to five of these questions.

Other questions may be asked by the assessor but a note of these should be made in the space provided.

1= competent	2= not yet competent	3= not assessed
Mark against each question		

Questions	1	2	3	Comment
1. Explain the purpose and function of an intake and comprehensive assessment.				
2. Describe how you would prepare before conducting an assessment.				
3. List some of the essential information you need to give the client, e.g. issues about confidentiality.				
4. Explain how you would maintain rapport with the client during an assessment.				
5. Explain how you would take into account the social and cultural background of the client when you conduct an interview.				
6. Describe the 'stages of change model' and how it will assist you in assessing a client.				
7. Explain the principles of 'harm minimisation' and how it will affect the assessment.				
8. Discuss the process for working with an interpreter.				
9. Describe the important principles in giving feedback on an assessment.				
Other questions				**Comments**

Expected Performance

Demonstrate client assessment

In this section the candidate to **demonstrates their skill by simulation exercise.** Obviously time is important, so a set limit of perhaps 15-20 minutes to indicate the basic skills listed. In a real situation these would take over an hour. For the purpose of assessment you will view only a condensed version. This will need to be worked out with the candidate. An alternative is a video of a demonstration. Verification from the manager that they have witnessed these skills is also appropriate.

1= competent	2= not yet competent	3= not assessed

Specific criteria to be assessed	1	2	3	Comments
The candidate demonstrates a comprehensive client assessment. The candidate should: • identify client's reason for seeking help, through discussion with the client and gathering other relevant information; • explain issues of confidentiality and appropriate policies/ procedures; • establish client's drug use history, including health and welfare history; • establish client's current state using standardised alcohol and other drug screens.				
Critical aspects: The candidate should: • establish rapport with client using basic counselling skills; • determine client's 'readiness for change'; • establish immediate needs (e.g. physical, social, financial and legal) at intake level; • take a comprehensive client history; • determine the level of self-harm/or harm to others.				

Expected performance

Demonstrate a feedback session

In this section the workplace assessor the candidate **demonstrates their skill by simulation exercise.** Obviously time is important and so a set limit of perhaps 15 minutes to indicate the basic skills listed. An alternative is a video of a demonstration.

1= competent	2= not yet competent	3= not assessed

Specific criteria to be assessed	1	2	3	Comments
The candidate is able to demonstrate how they able to feedback essential information to the client about the assessment. This may include: • summary of the issues; • client's perception; • interview's perception; • client's goals; • choice of possible intervention strategies.				
Critical aspects: The candidate should: • present information in a quiet, empathetic, non-judgmental manner; • after giving information, seek client's response; • avoid scare tactics; • acknowledge that ambivalence may exist when any change in behaviour is being discussed.				

Task 2: Recognise possible conditions

These include ARBD (alcohol-related brain damage), mental illness, sexual assault and domestic violence that may affect the client's needs and treatment.

Expected performance

The workplace assessor would be asking the oral questions to indicate the specific criteria listed.

1= competent	2= not yet competent	3= not assessed

Specific criteria to be assessed	1	2	3	Comments
The candidate is able to demonstrate how they identify in the client the possible conditions of ARBD, mental illness, sexual assault and domestic violence. This should include: • signs and symptoms of the above listed conditions; • the relationship between these conditions and AOD use; • referral sources for these conditions.				
Critical aspects: The candidate should: • identify their agency's policies and procedures for working with people with mental illness, ARBD, domestic violence and sexual assault; • discuss the signs and symptoms of major mental illnesses, ARBD, domestic violence and sexual assault.				

Task 2: Oral questions

1= competent	2= not yet competent	3= not assessed

Questions	1	2	3	Comment
1. Define the term 'dual diagnosis'. 2. Describe some of the signs and symptoms of at least two major mental illnesses. 3. Describe some of the important issues that affect people with dual diagnosis, e.g. availability of treatment facilities. 4. Name some mental health agencies you can refer clients to. 5. List the high risk groups for suicide. 6. Describe some of the verbal, behavioural and situational indicators of suicide risk. 7. Describe how to assess the risks of suicide in a client. 8. Explain intervention techniques for clients who are at risk of suicide.				

Task 2: Oral questions (continued)

1= competent	2= not yet competent	3= not assessed

Questions	1	2	3	Comment
1. Define alcohol-related brain damage (ARBD). 2. Describe the signs and symptoms of ARBD. 3. Name referral agencies for the client with ARBD. 4. Define domestic violence. 5. Why is it relevant to the AOD field? 6. What are the needs of the survivors of domestic violence ? 7. Define sexual assault. 8. Why is it relevant to the AOD field ? 9. What are some of the myths about sexual assault? 10. Name some of the sexual assault referral agencies for clients.				

Other questions		Comments

Task 3: Case management

Provide services to meet clients' needs by developing a case plan.

Expected performance

The candidate can provide evidence in the form of a **portfolio of case plans** on clients. Probably at least three different case plans would be appropriate. The case plan must be adequate to cover the specific criteria and the critical aspects.

1= competent	2= not yet competent	3= not assessed

Specific criteria to be assessed	1	2	3	Comments
The candidate is able to demonstrate the development of case plans with clients. This will include: • negotiating with the client the development of goals; • the development of action plans to meet these goals through discussion on strategies; • discussion on how 'ambivalence' can affect movement towards change and how to deal with this.				
Critical aspects: The candidate should: • maintain rapport with the client; • introduce the problem-solving technique (goals, strategies etc.) to the client; • avoids moving too far ahead of client; • give information to client on treatment options and seek responses; • avoid giving advice.				

Task 4: Review progress with clients

Expected performance

The candidate can provide evidence in the form of **a portfolio of reviews on clients.** Probably at least three different ones would be appropriate. The review must be adequate to cover the specific criteria and the critical aspects.

1= competent	2= not yet competent	3= not assessed

Specific criteria to be assessed	1	2	3	Comments
The candidate will be able to demonstrate the review of progress with a client This includes: • reviewing client's progress regularly against negotiated goals and action plans; • negotiating revised action plans and timelines; • negotiating with the client their exit from the program and providing support within agency's policies; • maintaining client records according to agency policies; • explaining the legal parameters for report-writing; • ensuring that discussions with client and any other appropriate person are documented.				
Critical aspects: The candidate should: • maintain a non-judgmental approach with clients in all documents; • maintain client records and reports according to the general rules of record-keeping.				

Task 5: Refer clients

Expected performance

Oral questions to ask the candidate to satisfy the specific criteria and critical aspects appear overleaf. A **referral index** prepared by the employee is also part of the assessment.

1= competent	2= not yet competent	3= not assessed

Specific criteria to be assessed	1	2	3	Comments
The candidate will be able to demonstrate how to refer a client appropriately. This will include: • identifying the issues for the client, the worker and the referral agency in the process of referral; • identifying a range of services that can meet the specific needs of the client group; • discussing service suitability with the client; • supporting client to contact relevant services; • checking and confirming client's experience with services; • providing follow-up as per agency's policies; • discussing own agency's referral policies for working with other organisations or individuals.				
Critical aspects: • evidence of up-to-date list of referral agencies; • supporting client through possible distress during referral process; • networking with other agencies and knowledge of their procedures.				

Task 5: Oral questions

1= competent	2= not yet competent	3= not assessed

Questions	1	2	3	Comment
1. Can you show a referral index (that you have prepared yourself) of referral agencies that cover AOD and related services? 2. How do you interact with these services? 3. How do you check suitability of services against client's goals? 4. How do you assist the client with making an appointment with a referral service ? 5. What is your agency's policy on following up clients after referral? 6. What is your agency's policy when clients are referred to you?				
Other questions				**Comments**

Record of assessment

On the following pages is a formal record of assessment. A copy can be given to the candidate to indicate that they have completed a workplace assessment which is equivalent to DET module *3260B Assessment and Referral*.

Record of assessment

Candidate ____

Program ____

Assessor ______________________ Date______________________

Result on Task 1______________________

2______________________

3______________________

4______________________

5______________________

Comments by the assessor

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Comments by the candidate

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Assessment details

Task I	**Assess the needs and status of the client**
Purpose of assessment	To verify competence in knowledge and skills in assessing the needs of a client.
Types of evidence	1. Oral questions on the purpose and procedure of assessment. 2. Possible candidate's portfolio of client assessments conducted by interviewing the client. 3. Observation by the workplace assessor of the employee carrying out a simulation of a client assessment interview and a feedback session.
Venue of assessment	
Date and time of assessment	
Estimated duration of assessment	
Assessor's signature	
Candidate's signature	

Task 2	**Important issues in assessment – demonstrate knowledge and skills required to work with clients with mental health and other AOD issues.**
Purpose of assessment	To verify competence in knowledge and skills on mental health and other issues relevant to assessing an AOD client.
Types of evidence	1. Oral questions on signs and symptoms of these issues. 2. Portfolio of referral agencies session.
Venue of assessment	
Date and time of assessment	
Estimated duration of assessment	
Assessor's signature	
Candidate's signature	

Task 3	Case management
Purpose of assessment	To verify competence in developing case management plans with clients.
Types of evidence	Portfolio on case management plans with clients indicating development of goals, strategies, contracts and action plans.
Venue of assessment	
Date and time of assessment	
Estimated duration of assessment	
Assessor's signature	
Candidate's signature	

Task 4	Review progress with clients.
Purpose of assessment	To verify competence in ongoing client work and maintaining records, other documentation and writing reports.
Types of evidence	Portfolio on client documentation kept or prepared by the candidate – reports, letters, other formal documentation.
Venue of assessment	
Date and time of assessment	
Estimated duration of assessment	
Assessor's signature	
Candidate's signature	

Task 5	**Refer clients**
Purpose of assessment	To verify competence in skills and knowledge of the procedure of referring clients.
Types of evidence	1. Oral questions on procedure and the role of the worker and client. 2. Portfolio on referral agencies.
Venue of assessment	
Date and time of assessment	
Estimated duration of assessment	
Assessor's signature	
Candidate's signature	

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