

Accredited Assessor Guide

Conditions of accreditation as an assessor for high risk work licence



NTWorkSafe

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Introduction

The Work Health and Safety (National Uniform Legislation) Regulations 2011 (the WHS Regulations); recognise that certain activities carried out by workers are particularly high risk. This means that specific training and licencing requirements apply. For Health and Safety reasons, it is important that appropriately trained and licensed workers only carry out these activities.

The most important part of the licensing process is the training and assessment that high-risk work licence (HRWL) applicants receive to ensure they can perform the high-risk work duties safely in the workplace. This means that special requirements apply. Allowing a poorly trained worker to become licensed to perform high-risk work can lead to catastrophic outcomes for workers, employers and the community.

NT WorkSafe must ensure that the individuals and training organisations that assess applicants for licences to perform high-risk work do so properly and to the required standards. This document sets out the conditions on which NT WorkSafe may authorise an accredited assessor to carry out high-risk work licence assessments within the Northern Territory (NT).

The conditions of accreditation as an assessor for high-risk work licence (the conditions), is issued in accordance with Regulation 121 of the WHS Regulations. The regulator may amend, add or revoke any of these conditions by supplying a written copy of the amended conditions to an accredited assessor's last known place of business or residence or by sending an electronic copy to the most recent email address provided to NT WorkSafe.

In accordance with section 45 of the Work Health and Safety (National Uniform Legislation) Act 2011 (the WHS Act), high-risk work licence accredited assessors are required to comply with these conditions.

Failure to conduct yourself in accordance with these conditions constitutes an offence, which carries a maximum penalty of \$20,000 for an individual or \$100,000 for a body corporate.

The regulator may also suspend or cancel your accreditation if you:

- Are no longer qualified (e.g. no longer hold a valid HRWL).
- Are unable to conduct assessments competently.
- Are unable to comply with these conditions.
- Provide false or misleading information.
- Fail to give information upon request.

You must therefore be familiar with the conditions and understand the requirements before conducting assessments or undertaking assessment administrative requirements.

If you require further clarification on any of the matters referred to in this document, please contact the NT WorkSafe Licensing and Advisory Services team by phoning 1800 019 115 or via email ntworksafe@nt.gov.au.

Condition 1 - General Requirements of an assessor

The authorised accredited assessors must maintain NT WorkSafe requirements, qualifications, vocational competencies and current industry skills and knowledge to carry out assessment in the NT.

Before conducting any assessments within the NT, you must:

1. Be accredited by NT WorkSafe for the class/es of licence that you are assessing. An application must be made to NT WorkSafe and must be made in the manner and on the form required by the regulator, in accordance with Regulation 116 of the *Work Health and Safety (National Uniform Legislation) Regulations 2011*.
2. Formally align with a Registered Training Organisation (RTO), with the proposed classes listed on scope. The relevant form must be completed by the RTO or yourself, and submitted to NT WorkSafe with the initial application form. Forms are available at www.worksafe.nt.gov.au

You will not be authorised to carry out assessments until NT WorkSafe provides you with written confirmation of your authorisation. Upon confirmation of accreditation, NT WorkSafe will issue you an accreditation certificate and a high-risk work licence accredited assessor card that is valid for three (3) years, subject to renewal, unless cancelled earlier. This document must be kept and made available for inspection under the WHS Act.

1.1 Assessor accreditation

Accreditation by NT WorkSafe only permits you to conduct assessments within the NT. Once you are authorised to conduct assessment within the NT, you must:

1. Continue to hold a current HRWL for all class/es of high-risk work, which you assess.
2. Maintain the qualifications, vocational competencies and current industry skills and knowledge to carry out assessments in the Northern Territory.
3. When conducting assessments or undertaking assessment administrative tasks you must comply with the requirements of the applicable unit of competency (UOC), the mandated National Assessment Instrument (NAI) issued by Safe Work Australia and any RTO requirements.
4. Notify NT WorkSafe as soon as you become aware of your accreditation documents being lost, stolen or destroyed and you must notify if your accreditation as an assessor for any class of high-risk work is suspended or cancelled in any other state of Australia.
5. Notify NT WorkSafe of any changes to your personal details within 14 days after becoming aware of the change, including changes to an aligned RTO.
6. An assessor must keep all allocated assessment books safe and secure, the books can only be used and completed by the assessor, and the books must remain under the control of the assessor at all times.

1.2 Renewal accreditation

To be eligible for renewal, an assessor must:

1. Conduct nine (9) assessments in any of their accredited class/es, per three (3) year accreditation period, unless otherwise agreed upon with NT WorkSafe prior to renewal.

1.3 Surrender or expiry of accreditation

In the event of the surrender or expiry of accreditation, an assessor must within 21 days:

1. Securely return to NT WorkSafe
 - a) any unused assessment books; and
 - b) any partially used assessment books, and
 - c) their accredited Assessor photo ID card; and
2. Destroy all hard copies and/or delete all soft copies of any assessor and candidate NAIs; and
3. Advise NT WorkSafe in writing that the above has occurred.

Condition 2 - RTO Affiliation

Registered training organisations (RTOs) deliver nationally recognised training in the vocational education and training (VET) sector. To deliver this training, an RTO needs to be approved by The Australian Skills Quality Authority (ASQA). RTOs do not conduct high-risk work licence (HRWL) assessments, instead they arrange for accredited assessors to do so on their behalf.

As an accredited assessor, you must:

1. Conduct assessments through an RTO in which you are affiliated.
2. Conduct assessments through an RTO with the high risk work licences class/es on scope.
3. Carry out assessments until NT WorkSafe confirms you affiliation with an RTO.
4. If your affiliation ceases with an RTO, you must notify NT WorkSafe within 14 days via email: ntworksafe@nt.gov.au.

Condition 3 - Assessment processes

As an accredited assessor, you must conduct yourself diligently, efficiently, honestly, impartially and with integrity. Unethical or improper behaviours or any form of corruption is not acceptable and must immediately be reported to NT WorkSafe Licensing and Advisory Services team by phoning 1800 019 115 or via email ntworksafe@nt.gov.au.

3.1 Before commencing an assessment

1. Assessors must carry out assessments safely, professionally, consistently and in accordance with the high risk work (HRW) Assessment Instructions – Guide for Assessors from ASQA and the relevant assessment instrument.
2. Assessors must keep true, accurate and complete records, including:
 - a. records of all Statement of Attainment's (SOA) issued by you to candidates; and
 - b. high-risk work assessment records, and in the case of remote transfer a record of the transfer.
3. Assessors must give and/or send the affiliated RTO the completed high-risk work assessment records within 72 hours of completing the high-risk work assessment.
4. Assessors must ensure that assessments are not affected by bias, collusion or undue influence, including:

- a. ensuring that gifts, benefits, favours or bribes (other than the cost of the assessment) are not sought or accepted by any person involved in an assessment.
 - b. assessors must avoid conflicts of interest between themselves and candidates, including immediate relatives, RTO employees, contractors, business partners and friends.
 - c. if a conflict cannot be avoided, the accredited assessor must notify the affiliated RTO and NT WorkSafe upon becoming aware; and assessors must as soon as reasonably practicable, report any attempt to unduly influence an assessment to NT WorkSafe at ntworksafe@nt.gov.au, including what occurred, the time, location, persons involved and what was said or done.
 - d. assessors must not assess persons under the age of 18 years or a candidate who cannot speak and/or complete the assessment in the English language.
5. Assessors must verify the candidate's identity prior to commencement of an assessment against the original, accepted photo identification on application, which includes as a minimum full name and date of birth.

3.2 During an assessment

1. Assessors must be present during each component of the assessment, being knowledge, calculations and performance, and appropriately supervise all candidates being assessed and any candidates who are present but not engaged in assessment.
2. Assessors must only use an assistant who holds the relevant HRWL and the assistant must not be the person who trained the candidate in the class of HRW being assessed. For example, the assistant operating a 60 tonne slewing mobile crane (C6) for a dogging assessment must hold a C6 HRWL and must not be the person who trained the candidate in the call of dogging.
3. Assessors must ensure you are using the most relevant and current version of the NAI for the HRWL class you are assessing.
4. Assessors must immediately stop the assessment if you deem that a work practice is being undertaken unsafely or poses an immediate risk to a person's health or safety.
5. An assessor, or the assessor's assistant, must not assist a candidate in any part of an assessment including:
 - a. asking leading questions during a knowledge question clarification process; or
 - b. providing the answer to one or more questions during the assessment; or
 - c. prompting a candidate during a performance assessment.

3.3 During the calculation and knowledge assessments

1. During the calculation and knowledge assessments, the Assessor must:
 - a) conduct a full knowledge assessment and full calculations assessment as a closed book exam in the manner prescribed by the relevant NAI and guide for assessors (and never as an oral assessment for calculations).
 - b) provide candidates with a copy of the candidate version of the relevant NAI immediately prior to that component being assessed.
 - c) ensure candidates are not able to copy or view another candidate's workings or answers.
 - d) ensure candidates do not use electronic devices or other technology including, but not limited to phones, computers, tables and smart watches to assist them.

- e) ensure candidates do not have access to reference materials or items that contain answers or formulas, or any other documents relating to an assessment during the knowledge and calculation component(s) of an assessment.
2. When marking a written assessment the assessor must:
 - a) mark each answer as either correct or incorrect; and
 - b) only mark an answer correct if the answer contains all of the relevant requirements of the model answers in the relevant NAI; and
 - c) mark an answer incorrect if it requires, but does not include, a unit of weight or measurement.
 3. Assessors must seek clarification or further information from a candidate if an original answer is partly correct or unclear, and, if so, you must:
 - a. record any such clarification or further information; in the candidates own words, in the incorrect answers clarification page.
 - b. write a "V" in the tick box to indicate that clarification or further information has been provided.
 - c. ensure you and the candidate initial all clarifications recorded on the assessment; and
 - d. ensure verbal clarification is conducted where other candidates cannot hear.
 4. When an oral assessment of knowledge is conducted, you must:
 - a. write, "oral assessment conducted" at the top of the first page of the knowledge assessment.
 - b. conduct the oral assessment in a location where other candidates (or other unauthorised persons) cannot hear.
 - c. read the questions out to the candidate as written in the knowledge assessment instrument; and
 - d. immediately write down each of the candidate's responses, in the candidates own words.
 - e. the candidate must sign each page of the oral assessment.

3.4 Conducting a performance assessment

1. Before commencing a performance assessment, an assessor must:
 - a. inspect the plant and equipment to be used in the assessment, and satisfy yourself that everything necessary is present, has been regularly and properly maintained and is safe. If you deem the equipment unsafe, you must not proceed with the assessment.
 - b. confirm the plant and equipment meet the requirement of the applicable assessment instrument.
 - c. if an assistant is required (dogging, rigging, scaffolding or crane operations), confirm the assistant holds a licence for the relevant class which they have held for at least two (2) years.
 - d. not conduct a performance assessment at the same time as a calculations assessment or knowledge assessment.
2. Assessor's must also:
 - a. conduct a full performance assessment in the prescribed manner as set out in the relevant NAI and the guide for assessors.

- b. conduct a performance assessment one candidate at a time, except in cases where the NAI allows for teams of candidates.
- c. supervise and conduct a performance assessment in a manner that does not allow other candidates to obtain an unfair advantage or influence the candidate undertaking the assessment.
- d. only assess a candidate as competent if they individually demonstrate their competence in each prescribed element or task (this includes reassessment). In the case of rigging or scaffolding, this requires each candidate to “swap” roles to demonstrate each requirement.
- e. use a separate performance assessment checklist for each candidate’s assessment, including candidates undertaking a reassessment. You must mark each item on the performance assessment checklist with a tick (if correct), a cross (if incorrect) or N/A (if not applicable) (if permitted by the applicable NAI), during the assessment.

3.5 Marking assessments

1. When marking the knowledge and calculations assessments, the assessor must:
 - a. mark assessment components on the day of the assessment and as soon as practicable after the assessment has been completed.
 - b. commence marking the knowledge and calculations assessment of candidates who have finished these assessment components before all candidates have finished, but the assessor must be in the same room and supervise any candidates that are still completing the assessment component.
 - c. only deem a candidate competent for each written assessment component where the candidate has answered the required NAI knowledge and/or calculations questions correctly.
 - d. only mark a candidate’s knowledge assessment answer as correct if it is comparable to the acceptable answers provided in the assessor version of the NAI.
 - e. only mark a candidate’s calculation assessment answer as correct if the candidate:
 - i. answer is the same as the acceptable answers provided in the assessor version of the NAI; and
 - ii. has shown the formula used and the correct metric unit for weight or measurement.
2. For knowledge assessments, assessors:
 - a. may only ask a candidate questions to clarify any responses that are not answered completely, or clearly articulated at the end of the assessment.
 - b. must not seek clarification for answers, which are clearly incorrect.
 - c. during clarification, the assessor or candidate must not cross out the candidate’s original answer. The assessor must note in the margin that verbal clarification was sought for that specific question.
3. For the performance component, an Assessor must:
 - a. only mark a candidate as competent if the candidate satisfactorily performs all tasks to the required standard per the relevant NAI.
4. At the conclusion of an assessment, you must immediately issue the candidate with an assessment report and ensure:

- a. the assessment report is completed accurately in each section for the candidate for whom a full HRWL assessment (being the knowledge, applicable calculations, and performance assessment components) was completed in the NT.
- b. you do not enter any details on the assessment report until a candidate has completed the full assessment, except for entering the candidate's name and the details of another person where that person is assisting the assessor with the assessment.

Condition 4 - Post assessment administration

1. When completing post assessment administration, you must:
 - a) securely store, protected from theft, unauthorised alteration, fire or flood, the HRW assessment reports for each assessment until you return them to the authorised RTO.
 - b) keep track of all paper assessment reports issued by you, keeping them secure and making the authorised RTO aware of their status and location until you return them.
 - c) keep each candidate's personal information, including personal details, health information and assessment outcomes, confidential except:
 - i. in providing assessment outcomes and records to the authorised RTO;
 - ii. with the candidate's consent;
 - iii. as required by NT WorkSafe or another regulator; or
 - iv. as required by law
 - d) ensure that all training assessment records are kept and made available for review if requested for a period of not less than two years. In addition, you should ensure that copies of all training records and assessment records are provided to the aligned RTO on whose behalf the assessment was conducted.
2. NAIs must remain secure and confidential. You must ensure:
 - a) the assessor version NAIs provided to you are not distributed or shared with any other person or made available through any other means, including hardcopy, verbally or electronic; and
 - b) the candidate version of the NAIs are only provided to candidates at the commencement of the assessment and to be collected immediately after the assessment is completed.

Condition 5 - Record keeping

1. When record keeping you must:
 - a) comply with any request from NT WorkSafe for information (within the time NT WorkSafe specifies) including, but not limited to:
 - i. records in your possession.
 - ii. queries about assessments or your manner of conducting them; or
 - iii. audits or inspections during an assessment.
 - b) assist with any reasonable request by NT WorkSafe in relation to assessments.
 - c) submit a half-yearly activity report, which summarises the assessments conducted during that period, and shall be in the format provided by NT WorkSafe
 - i. 1 January to 30 June by no later than 31 July, and
 - ii. 1 July to 31 December by no later than 31 January.

Condition 6 – Notification of changes

1. As an accredited Assessor, you must notify:
 - a) NT WorkSafe and your RTO as soon as you become aware that you have breached these conditions.
 - b) NT WorkSafe if your home or postal address, telephone, email or other contact details have changed.
 - c) NT WorkSafe and your affiliated RTO if there is a significant change in your capability to carry out assessments, such as;
 - i. you are found guilty of a crime liable to punishment by imprisonment.
 - ii. you are found guilty of an offence of dishonesty.
 - iii. you lose or fail to renew your HRWL for any relevant class, or
 - iv. you become bankrupt.
 - d) NT WorkSafe if your status as a HRWL Assessor in any other Australian jurisdiction changes for any reason.