

Best Practice

Assessing
competence





The Assessment Process

- O
- R
- C
- E





The Assessment Process

- 0





The Assessment Process

- Objectives



What are your objectives of performing a FIT & Proper Assessment?

- Confirmation that they can perform the Certification Function
- An ambassador of your culture
- A champion of your firms values
- An advocate of quality
- An exemplar of customer service
- Use as a risk management tool?
- Use as a marketing, recruitment and motivational tool?
- Use to enhance consumer confidence?

What success measures will you have in place for each objective?





The Assessment Process

- O
- Record
- C
- E



4

Methods of Assessment

- T
- O
- A
- D



4

Methods of Assessment

- TEST
- OBSERVE
- ASK QUESTIONS
- DATA



TESTS

- Ensure questions are clear
- Pilot short questions
- Consider multiple choice
- Be clear about pass marks & consequences
- Content to be tested must be current
- Authenticity





OBSERVATION





Opinion

Fact or Opinion?

- He led the client in his questioning.
- He told the client to cancel the existing policy.
- He was very creative in his sales approach.
- In front of the client he analysed the information very thoroughly.
- He answered the money objection with the appropriate sales aid.
- The Adviser pointed out that April was a good month for pension planning.



What do I record?

- Things you are pleased with
- Things that could have gone better
- Words, tone and customer reaction



4

Methods of Assessment

- T
- O
- **ASK QUESTIONS**
- D



Ask Questions

- Criteria Based Interview Questions
- Supplementary questions at the end of an observation



4

Methods of Assessment

- TEST
- OBSERVE
- ASK QUESTIONS
- **DATA**



Key performance indicators

Quantitative indicators that can be presented with a number.

Qualitative indicators that can't be presented as a number.

Leading indicators that can predict the outcome of a process

Lagging indicators that present the success or failure post hoc

Input indicators that measure the amount of resources consumed during the generation of the outcome

Process indicators that represent the efficiency or the productivity of the process

Output indicators that reflect the outcome or results of the process activities

Practical indicators that interface with existing firm processes.

Directional indicators specifying whether or not a firm is getting better.

Actionable indicators are sufficiently in a firm's control to effect change.

Financial indicators used in performance measurement



Types of evidence

- Primary Direct
- Real work completed by the individual being assessed



Types of evidence

- Supporting Direct
- Completed by the individual being assessed but not real/actual work





Types of evidence

- Supporting Direct
- Information about the individual being assessed





The Assessment Process

- Objectives
- Record
- **Classify**
- E





Classifying Evidence





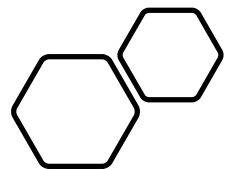
The Assessment Process

- Objectives
- Record
- Classify
- **Evaluate**





Evaluate



The Rules of Assessment



TRANSPARENCY



VALIDITY



RELIABILITY

You must ensure that the person who conducts the assessment is competent to do so





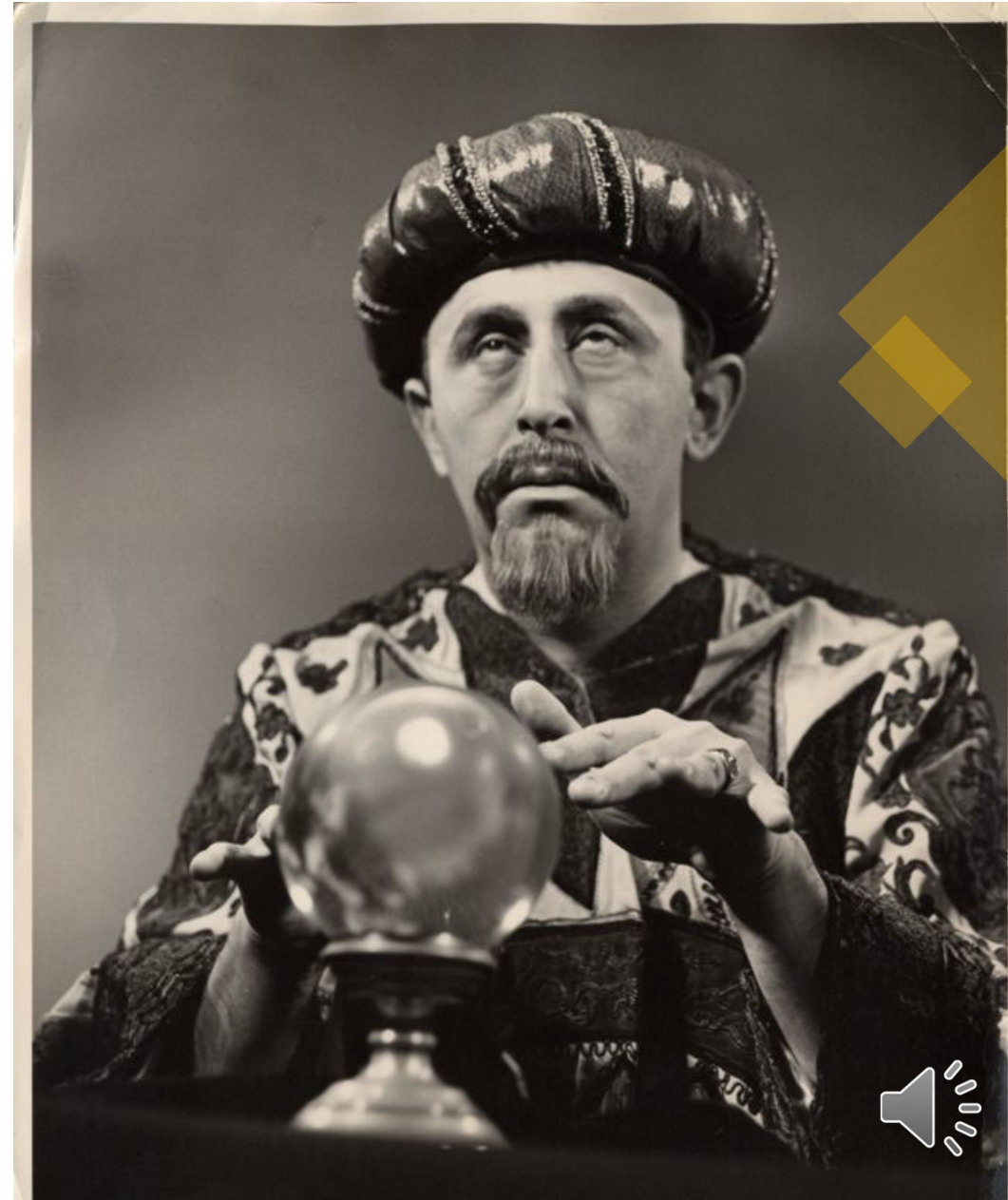
Assessment Traps

- What is your favourite colour?



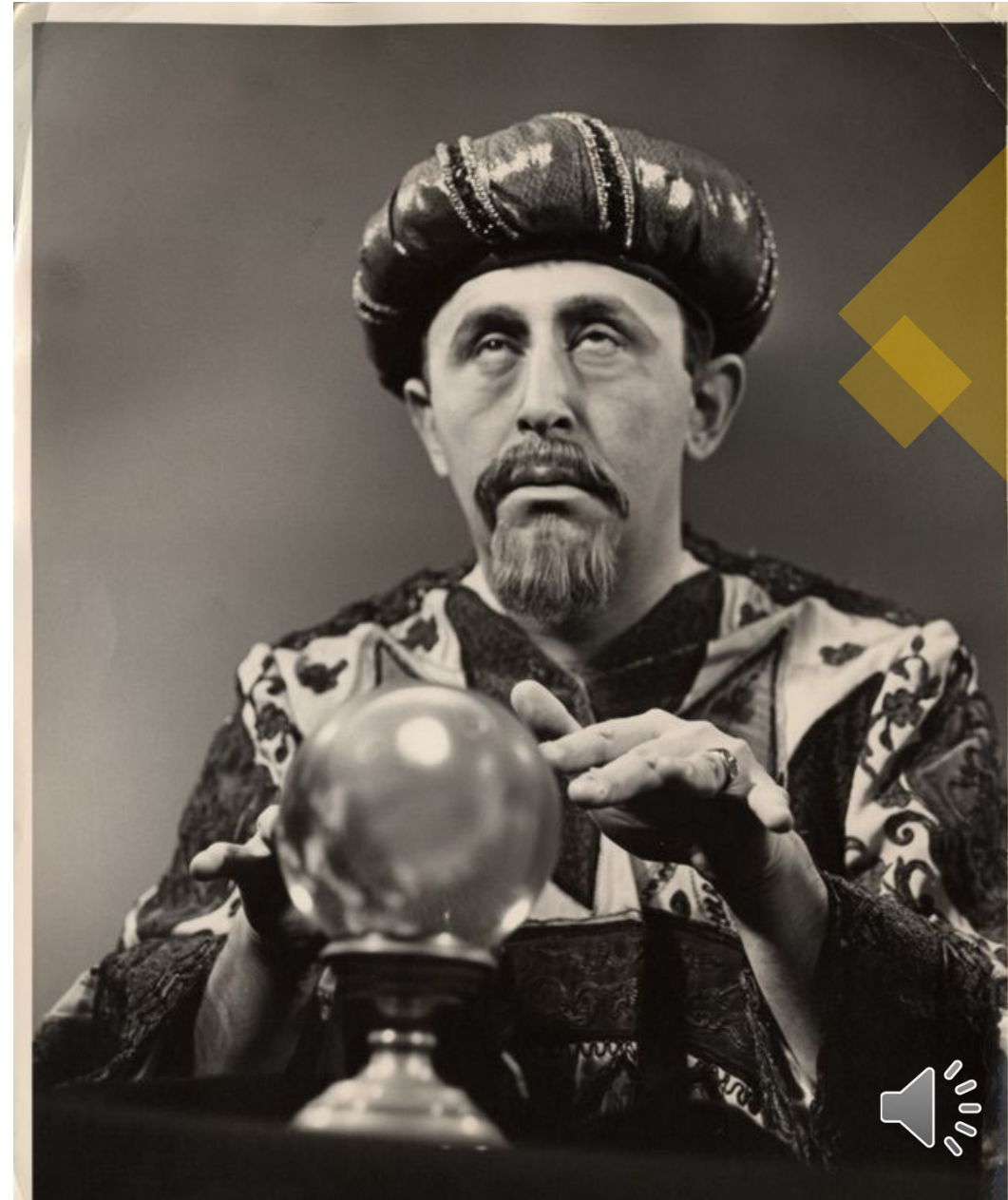
Assessment Traps

- What is your favourite colour?
- Write down the name of a piece of furniture



Assessment Traps

- What is your favourite colour?
- Write down the name of a piece of furniture
- Select a number between one and five





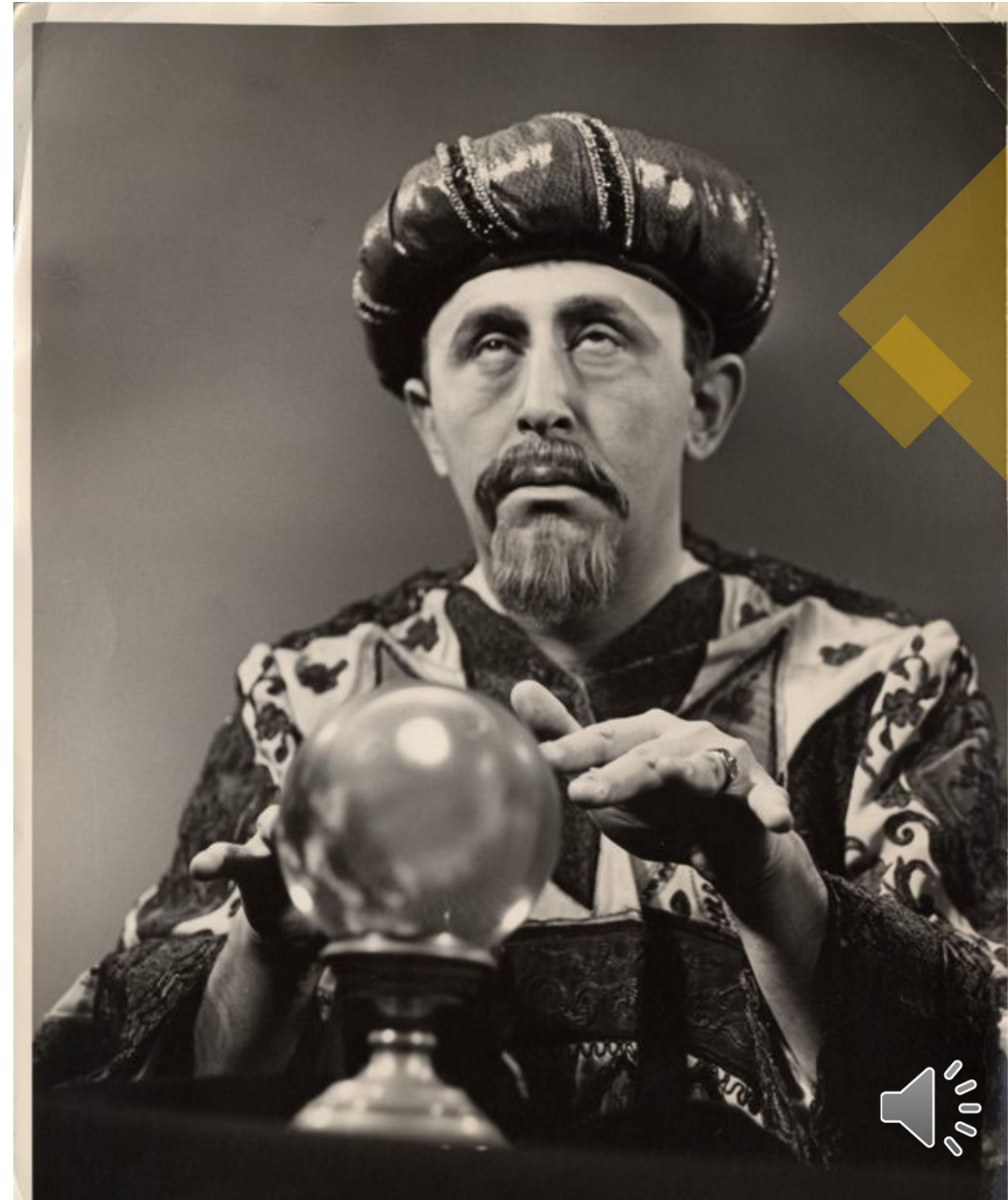
Assessment Traps

- What is your favourite colour?
- Write down the name of a piece of furniture
- Select a number between one and five
- What is your favourite type of flower?

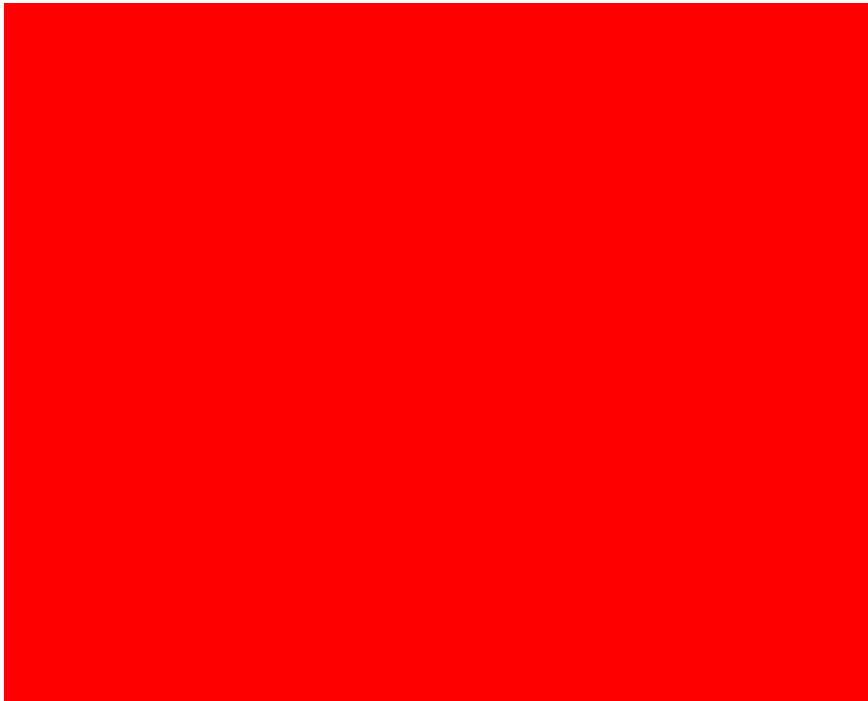


Assessment Traps

- What is your favourite colour?
- Write down the name of a piece of furniture
- Select a number between one and five
- What is your favourite type of flower?
- Name an animal you will find in a zoo



Assessment Traps



Assessment Traps



Assessment Traps



Assessment Traps



Assessment Traps



Assessment Traps

Halo

- Get on well
- Think they are a good performer
- Minor indiscretions overlooked
- Narrow fails pass

Horns

- Think that they are struggling
- Look for mistakes to fail them
- Minor mistakes marked down

Approach each assessment with an open mind and no pre-conceived outcome



Assessment Traps – Hawthorne Effect

- When a person is being assessed and they know that they are being assessed their performance changes





The next time
you drive your car



Learning stepladder

- Unconsciously incompetent
- Consciously incompetent
- Consciously competent
- Unconsciously incompetent



Assessment Traps - Paradigms



Assessment Traps - Paradigms



Assessment Traps - Paradigms



Assessment Traps - Paradigms





Paradigm Shift

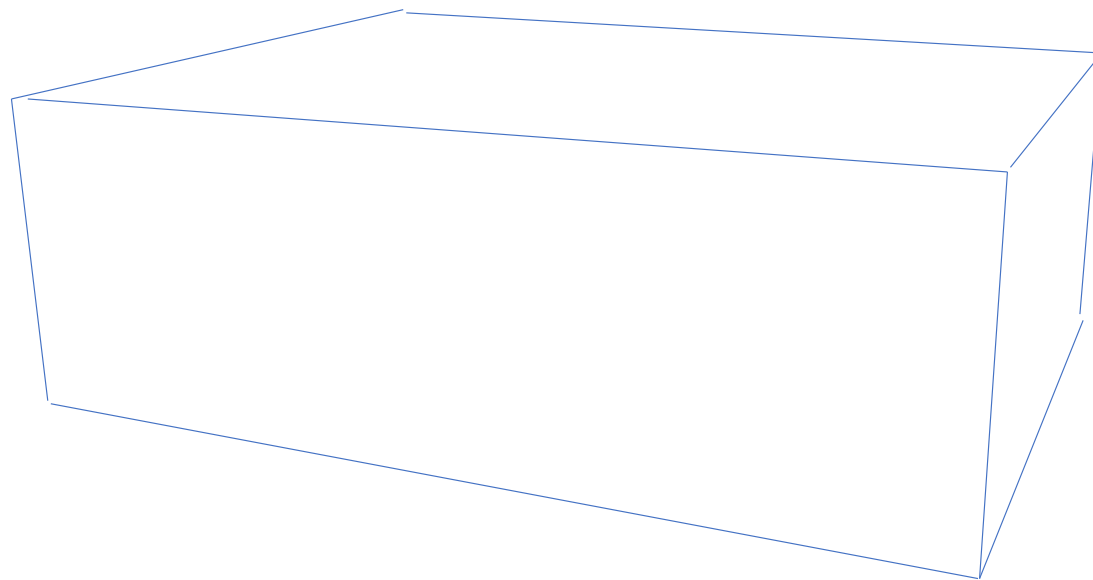




Paradigm Shift



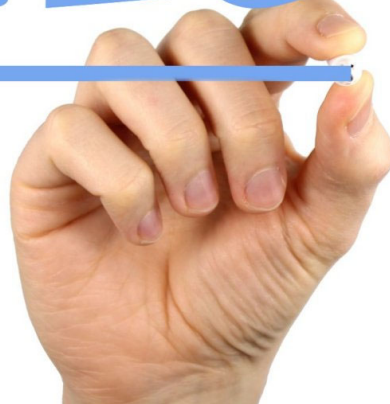
Portfolio of Evidence



The rules of evidence

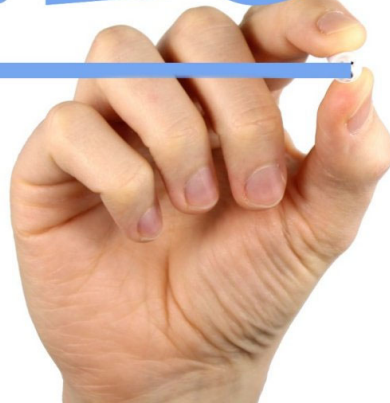
- Sufficiency

RULES



The rules of evidence

RULES

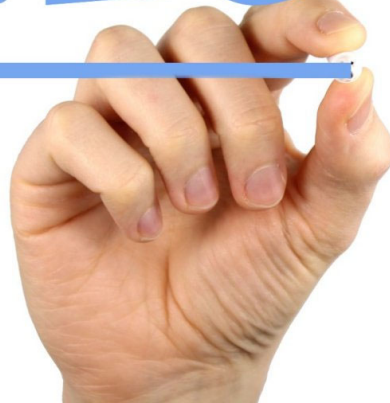


- Sufficiency
- Objectivity



The rules of evidence

RULES



- Sufficiency
- Objectivity
- Clarity



The rules of evidence

RULES



- Sufficiency
- Objectivity
- Clarity
- Currency



The rules of evidence

RULES

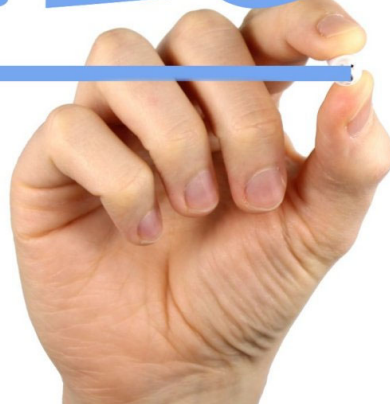


- Sufficiency
- Objectivity
- Clarity
- Currency
- **Validity**



The rules of evidence

RULES

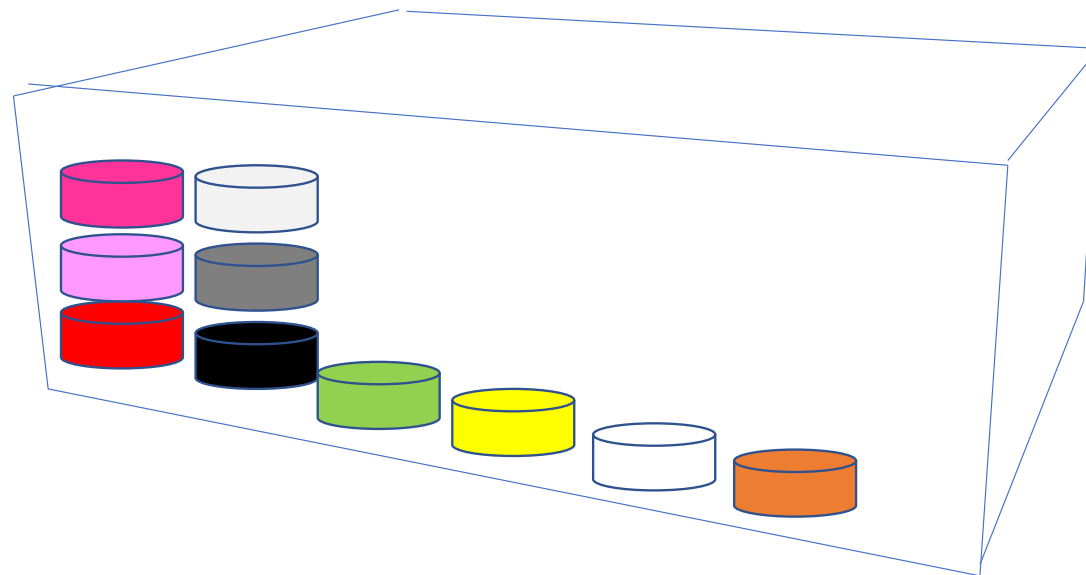


- Sufficiency
- Objectivity
- Clarity
- Currency
- Validity
- **Authenticity**



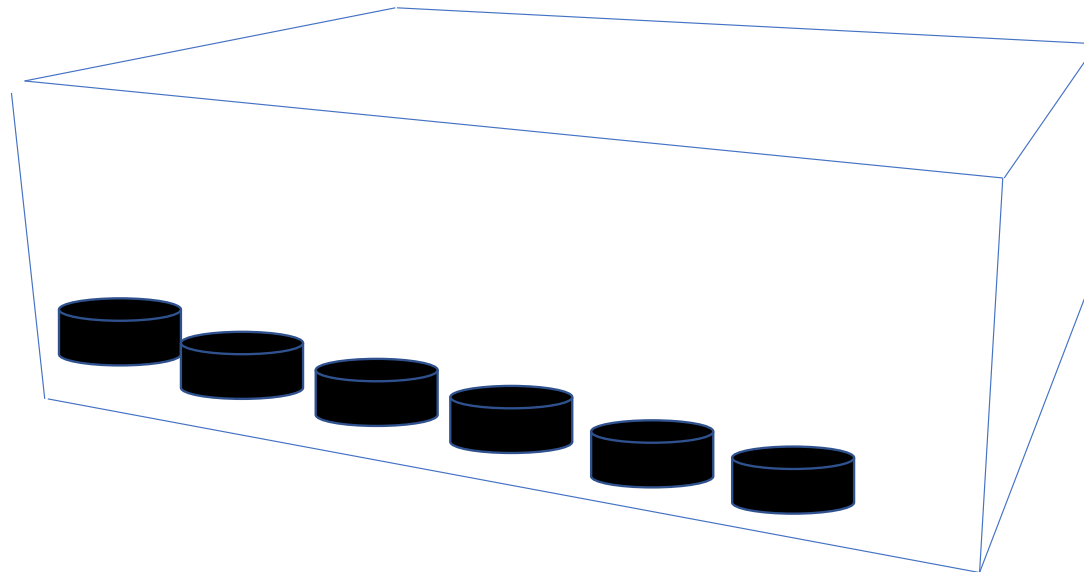
Portfolio of Evidence

Use a variety of evidence to build your portfolio.



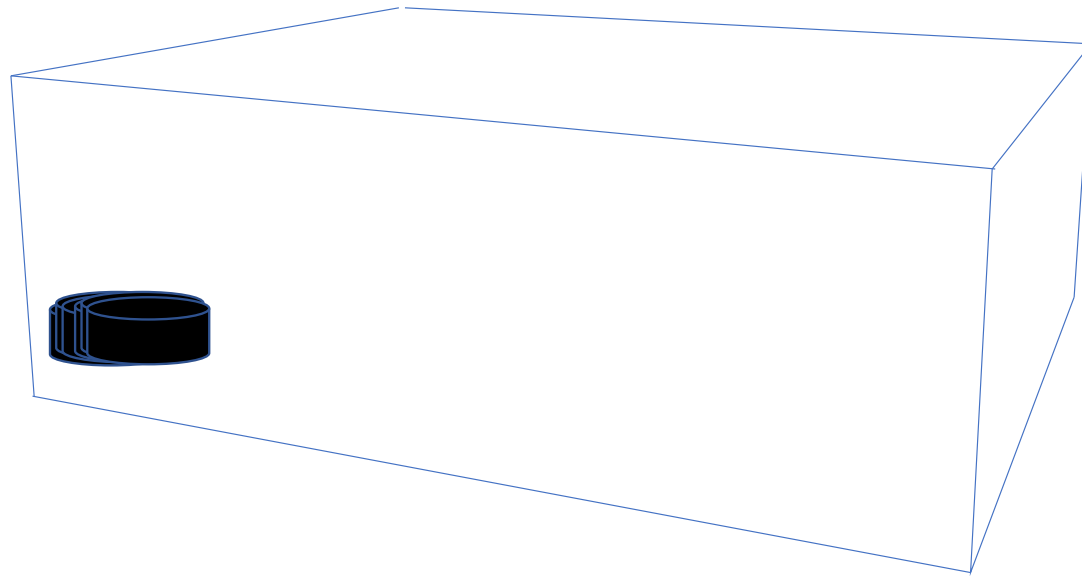
Portfolio of Evidence

Do not fill the portfolio with evidence of the same thing time and time again.



Portfolio of Evidence

It ends up looking like this



Characteristics of an activity manager

- Will focus on completing activities and form filling.
- Forms completed will include just about sufficient detail
- Supervision is more of a routine – when things are done
- Tasks will often be completed at the last minute
- No real thought given to why a case is reviewed or observed
- The amount of checking is governed by the minimum requirements
- They manage their checking to help ensure beneficial outcomes



Characteristics of a competence manager

- Thinks and acts in terms of overall competence
- Plans evidence against risks and competence profile
- Undertakes more than minimum sampling
- Varies routines to avoid predictability
- Deals with problematic outcomes in their stride



Assessing Competence – Best Practice

