

TAAASS401A

Unit Descriptor

Application of the Unit

Plan and organise assessment

This unit specifies the competence required to plan and organise the assessment process in a competency-based assessment system

This unit addresses the competence of planning the assessment process and making the organisational arrangements which enable assessment to occur. It is applicable in both a learning and assessment pathway and an assessment only pathway.

- The critical focus of this unit is on developing an assessment plan that will be used to guide assessor/s in conducting competency-based assessments. The unit also covers contextualisation of the assessment benchmarks and assessment tools to address the environment in which assessment will take place and organising the human, material and physical resources needed to conduct the assessment.
- This competence applies to planning and organising an assessment process which may involve single or multiple candidates being assessed against individual or multiple unit/s of competency in a process that includes a number of assessment events or activities over time.
- The planning function in assessment is distinguished as a discrete activity and may be undertaken by the assessor responsible for assessing the candidates reflected in the assessment plan or by another person in the organisation.
- This competence may be applied in the context of an existing assessment strategy which documents the overall framework for assessment at a qualification level. In this context, the assessment plan adds further detail relating to the specific organisational arrangements for assessment/s against individual unit/s of competency.
- The competence of developing an assessment strategy is separately addressed in two other units of the TAA04 Training and Assessment Training Package: *TAADES501A Design and develop learning strategies* (in a learning and assessment pathway) and *TAAASS501A Lead and co-ordinate assessment systems and services* (in an assessment only pathway).
- The achievement of this unit includes interpretation of competency standards, (where competency standards are used as the benchmarks for assessment). *TAADES401A Use Training Packages to meet client needs* addresses this skill in depth.
- The competence specified in this unit is typically required by assessors, workplace supervisors with assessment planning responsibilities, trainers or other assessors responsible for planning assessment.

Unit Sector

Assessment

| ELEMENT | PERFORMANCE CRITERIA |
|----------------------------------|--|
| 1. Determine focus of assessment | <p>1.1 Candidate/s are identified/confirmed and the <i>purpose/s</i> and <i>context of assessment</i> are established/ confirmed with <i>relevant people</i> in accordance with <i>legal/organisational/ethical requirements</i></p> <p>1.2 The <i>assessment strategy</i> is accessed and used to guide the development of the assessment plan, where applicable</p> <p>1.3 The <i>benchmarks for assessment</i> are identified/confirmed and accessed</p> |
| 2. Prepare the assessment plan | <p>2.1 The assessment benchmarks are interpreted to determine the <i>evidence</i> and <i>types of evidence</i> needed to demonstrate competency in accordance with the <i>rules of evidence</i></p> <p>2.2 Where competency standards are used as benchmarks, <i>all component parts of the competency standards</i>, are addressed in defining and documenting the evidence to be collected</p> <p>2.3 Any <i>related documentation</i> to support planning the assessment process is accessed and interpreted</p> <p>2.4 <i>Assessment methods</i> and <i>assessment tools</i> are <i>selected/confirmed</i> which address the evidence to be collected in accordance with <i>the principles of assessment</i></p> <p>2.5 Specific <i>material and physical resources</i> required to collect evidence are identified and documented</p> <p>2.6 Roles and responsibilities of all people involved in the assessment process are clarified, agreed and documented</p> <p>2.7 Timelines and time periods for evidence collection are determined and all information to be included in the assessment plan is documented</p> <p>2.8 The assessment plan is confirmed with <i>relevant personnel</i></p> |

3. Contextualise and review assessment plan
 - 3.1 *Characteristics of the candidate/s* and any allowances for *reasonable adjustments and/or specific needs* are identified/clarified with relevant people and documented
 - 3.2 Where required, competency standards are *contextualised*, to reflect the operating environment in which assessment will occur, in accordance with *contextualisation guidelines*
 - 3.3 Selected assessment methods and assessment tools are examined and adjusted, where required, to ensure continuing applicability taking into account:
 - 3.4 any contextualisation of competency standards
 - 3.5 reasonable adjustment/s, where identified
 - 3.6 integration of assessment activities, where appropriate and practical
 - 3.7 capacity to support application for *recognition of current competence*
 - 3.8 Adjusted assessment tools are reviewed to ensure the specifications of the competency standards are still addressed
 - 3.9 The assessment plan is updated, as needed, to reflect ongoing contextualisation needs, any changes in organisational resource requirements or changes in response to the conduct of assessment
 - 3.10 Assessment plan/s are stored and retrieved in accordance with *assessment system policies and procedures* and legal/organisational/ethical requirements
4. Organise assessment arrangements
 - 4.1 Identified material and physical resource requirements are arranged in accordance with assessment system policies and procedures and legal/organisational/ethical requirements
 - 4.2 Any *specialist support* required for assessment is organised and arranged in accordance with organisational/ethical/legal requirements, where required
 - 4.3 Roles and responsibilities of all people involved in the assessment process are organised
 - 4.4 Effective *communication strategies* are established to encourage regular communication flow and feedback with relevant people involved in the assessment process
 - 4.5 Assessment record keeping and reporting arrangements are confirmed

KEY COMPETENCIES

| Key Competency | Example of Application | Performance Level |
|---|---|-------------------|
| Communicating ideas and information | confirming assessment arrangements with key stakeholders providing and receiving feedback reporting as per regulatory and organisational requirements | 2 |
| Collecting analysing and organising information | sourcing and locating information analysing documents and relevant information in developing the assessment plan | 2 |
| Planning and organising activities | developing a plan and timetable for assessment activities | 2 |
| Working with others and in teams | collaborating with peers, colleagues, supervisors and other relevant personnel to generate ideas, obtain advice and receive feedback about planning the assessment process | 2 |
| Using mathematical ideas and techniques | analysing the cost of resources and determining methods to improve cost/time efficiency | 2 |
| Solving problems | responding to the immediate assessment environment by contextualising, amending, reviewing assessment plan documentation maintaining effective relationships with key stakeholders | 2 |
| Using technology | making adjustments to assessment tools preparing/storing the assessment plan | 2 |

RANGE STATEMENT

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Purpose/s of assessment may include:

- recognise current existing competence of candidate/s
- determine if competence has been achieved following learning
- establish candidate/s progress towards achievement of competence
- determine language, literacy, numeracy needs of candidates/s
- certify competence through a Statement of Attainment
- establish progress towards a qualification
- determine training gaps of candidate/s
- measure work performance
- classify employees/support career progression
- meet organisational requirements for work - operate equipment/develop new skills
- licensing or regulatory requirements

Context of assessment may include:

- the environment in which the assessment will be carried out, including real work/simulation
- opportunities for collecting evidence in a number of situations
- who carries out the assessment
- relationships between competency standards and work activities in the candidate's workplace
- relationships between competency standards and learning activities
- auspicing and partnership arrangements
- the period of time during which the assessment takes place
- apportionment of costs/fees, if applicable
- quality assurance mechanisms
- individual unit or integrated approaches to competency assessment

Relevant people must include:

- the candidate/s
- the assessor/s responsible for conducting the assessment/s, which may be self or other assessors

Relevant people may include:

- the client, company or organisation
- team leaders, managers, supervisors
- delivery personnel
- technical/subject experts
- training and assessment coordinators
- industry regulators
- employee and employer representatives
- members of professional associations
- Commonwealth department official/Centrelink personnel/caseworker
- New Apprenticeship Centre (NAC) personnel

Legal/organisational/ethical requirements may include:

- assessment system policies and procedures
- assessment strategy requirement
- reporting, recording and retrieval systems for assessment
- quality assurance systems
- business and performance plans
- access and equity policies and procedures
- collaborative/partnership arrangements
- defined resource parameters
- mutual recognition arrangements
- industrial relations systems and processes, awards/enterprise agreements
- Australian Quality Training Framework (AQTF) standards on assessment
- registration scope
- human resources policies/procedures
- legal requirements including anti-discrimination, equal employment, job role/responsibilities/conditions
- relevant industry codes of practice
- confidentiality and privacy requirements
- OHS considerations, including:
 - ensuring OHS requirements are adhered to during the assessment process
 - identifying and reporting OHS hazards and concerns to relevant personnel

The assessment strategy may encompass:

- the identification of the competency standards forming the qualification and
- interpretation of the packaging rules of the qualification, where part of a Training Package
- interpretation of the competency standards as the benchmarks for assessment
- application of Training Package Assessment Guidelines, where part of a Training Package
- arrangements for recognition of existing competence (RCC/RPL), including provision of guidance and assistance to candidates in gathering and evaluating evidence
- determination of assessment methods for identified competency standards
- selection of assessment tools for identified competency standards
- organisational arrangements for assessment, including physical and human resources, roles and responsibilities and partnership arrangements (where relevant)
- nominated quality assurance mechanisms
- identified risk management strategies

Benchmark/s for assessment refers to:

- the criterion against which the candidate is assessed which, may be a competency standard/unit of competency, assessment criteria of course curricula, performance specifications, product specifications

Evidence is:

- material collected which, when matched against the specifications in the competency standards, provides proof of competency achievement

Types of evidence may include:

- direct, e.g. observation of work activities under real/simulated work conditions, examples of work products
- indirect, e.g. third party reports from a range of sources
- supplementary, e.g. question and answer, work records, training records, portfolios
- candidate gathered evidence
- assessor gathered evidence
- current/recent/historical
- combination of above

The rules of evidence guide the evidence collection process to ensure evidence is:

- valid, for example:
 - address the elements and Performance Criteria
 - reflect the skills and knowledge described in the relevant unit/s of competency
 - show application in the context described in the Range Statement
 - demonstrate performance skills and knowledge are applied in real/simulated workplace situations
- current, for example:
- demonstrate the candidate's current skills and knowledge
- comply with current standards
- sufficient, for example:
 - demonstrate competence over a period of time
 - demonstrate repeatable competence
- not inflate the language, literacy and numeracy requirements beyond those required in performing the work task
- authentic, for example:
 - be the work of the candidate
 - be corroborated/verified

All component parts of the competency standards refers to:

- Elements
- Performance Criteria
- Range Statement including advice on :
 - range of contexts/conditions to be met in assessment
 - aspects of the Performance Criteria that can be contextualised
 - information which adds definition to support assessment
 - links to knowledge and skills
 - underpinning language, literacy and numeracy requirements
- Evidence Guide requirements, including:
 - underpinning/required knowledge
 - underpinning/required skills and attributes
 - underpinning language, literacy and numeracy requirements
 - Key Competencies/generic skills
 - critical aspects of evidence to be considered/quality evidence requirements
 - concurrent assessment and interdependence of units
 - assessment methods/resources/context
- dimensions of competency, which include:
 - task skills
 - task management skills
 - contingency management skills
 - job role/environment skills

Related documentation may include:

- requirements set out in the Assessment Guidelines of the relevant Training Package/s
- information from the competency standards about the resources required for assessment, the assessment context, appropriate assessment methods
- assessment activities identified in accredited modules derived from the relevant competency standards
- assessment activities in Support Materials related to the relevant competency standards
- any requirements of OHS, legislation, codes of practice, standards and guidelines
- indicators and levels of competence of the National Reporting System
- organisational requirements for demonstration of work performance
- product specifications

Assessment methods are the particular techniques used to gather different types of evidence and may include:

- direct observation, for example:
 - real work/real time activities at the workplace
 - work activities in a simulated workplace environment
- structured assessment activities, for example:
 - simulation exercises/role-plays
 - projects
 - assignments
 - presentations
 - activity sheets
- questioning, for example:
 - written questions, e.g. on a computer
 - interviews
 - self-assessment
 - verbal questioning questionnaires
 - oral/written examinations (for higher AQF levels)
- portfolios, for example:
 - collections of work samples by the candidate
 - product with supporting documentation
 - historical evidence
 - journal/log book
 - information about life experience
- review of products, for example:
 - products as a result of a project
 - work samples/products
- third party feedback, for example:
 - testimonials/reports from employers/supervisors
 - evidence of training
 - authenticated prior achievements
 - interview with employer, supervisor, peers

- Assessment tools contain:
- the instruments developed from the selected assessment methods to be used for gathering evidence such as:
 - a profile of acceptable performance measures
 - templates/proformas
 - specific questions or activities
 - evidence/observation checklists
 - checklists for the evaluation of work samples
 - candidate self-assessment materials
 - the procedures, information and instructions for the assessor/candidate relating to the use of assessment instruments and assessment conditions
- Selected/confirmed means:
- selected on the basis that they are suitable and effective in collecting the evidence in light of the purpose and context
 - confirmed in accordance with the assessment strategy, where appropriate
- Principles of assessment are:
- validity
 - reliability
 - flexibility
 - fairness
- Material and physical resources may include:
- documents required for the assessors and candidates, including competency standards and assessment tools
 - plant and equipment
 - technology
 - personal protective equipment
 - venues for assessment
 - adaptive technologies
 - physical adjustments to assessment environment

Assessment plan is the overall planning document for the assessment process and may include:

- the purpose and aims of the assessment
- the context of assessment
- relevant competency standards to be used as the benchmarks for assessment
- other assessment information/documentation identified as relevant
- identified personnel
- identified assessment methods and assessment tools
- possibilities for clustering units of competency for assessment purposes
- identified OHS hazards, including assessed risks and control strategies
- material and/or physical resources required
- organisational arrangements for conducting assessment
- OHS reporting requirements
- any special assessment needs, e.g. personal protective equipment requirements
- outline of assessment milestones, time lines and target dates
- candidate self-assessment procedures
- connections to relevant organisational plans, policies and procedures

Relevant personnel may include:

- self in such contexts as one-person/small training and/or assessment organisation
- lead assessor
- training and/or assessment supervisor/coordinator
- training and/or assessment manager

Characteristics of the candidate/s may include:

- level of work experience
- level and experiences of previous learning and assessment
- motivation for assessment - personal/organisational
- English language, literacy and/or numeracy levels/needs
- physical impairment or disability involving hearing, vision, voice, mobility
- intellectual impairment or disability
- medical condition such as arthritis, epilepsy, diabetes, asthma that is not obvious but may impact on assessment
- differences in learning progress
- psychiatric or psychological disability
- religious and spiritual observances
- cultural background images/perceptions
- age
- gender

Reasonable adjustments and/or specific needs must not compromise the integrity of the competency standards and may include:

- adjustments to the assessment process taking into account candidate's language, literacy, numeracy requirements
- provision of personal support services, for example, reader, interpreter, attendant carer, scribe, member of community in attendance
- use of adaptive technology or special equipment
- flexible assessment sessions to allow for fatigue or administering of medication
- format of assessment materials, for example, in braille, first language, use of audiotape/videotape
- adjustments to the physical environment or venue
- revising proposed assessment methods/tools
- considerations relating to age and/or gender,
- considerations relating to cultural beliefs, traditional practices, religious observances

Contextualised means:

- to change the wording of some component parts of the competency standard to reflect the immediate operating environment

Contextualisation guidelines relate to:

- ANTA Guidelines on Training Package Contextualisation
- relevant Training Package contextualisation guidelines

Recognition of current competence is defined as:

- the process of assessment and formal recognition by an assessor of competence currently held by a candidate which has been gained through any combination of formal, informal training and education, work experience or real life experiences

Assessment system policies and procedures may include:

- candidate selection
- rationale and purpose of competency-based assessment
- assessment records/data management/information management
- recognition of current competency/recognition of prior learning/credit arrangements
- assessors - needs, qualifications, maintaining currency
- assessment reporting procedures
- assessment appeals
- candidate grievances/complaints
- validation
- evaluation/internal audit
- costs/resourcing
- access and equity/reasonable adjustment
- partnership arrangements
- links with human resource or industrial relations systems
- links with overall quality management system

Specialist support may include:

- assistance by third party - carer, interpreter
- development of online assessment activities
- support for remote or isolated candidates and/or assessors
- support from subject matter or safety experts
- advice from regulatory authorities
- assessment teams/panels
- support from lead assessors
- advice from policy development experts

Communication strategies may include:

- interviews (face-to-face or telephone)
- email, memos and correspondence
- meetings
- video conferencing/e-based learning
- focus groups

EVIDENCE GUIDE

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of assessment followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the TAA04 Training and Assessment Training Package.

To demonstrate competence against this unit candidates must be able to provide evidence that they have developed an assessment plan and organised the material resources and personnel to support the assessment process.

The evidence provided must describe how the purpose of assessment was identified; contain structured plans that detail the selection/confirmation of assessment methods and tools, and assessment environments; include appropriate communication strategies with relevant people regarding the assessment process; outline resource requirements and special assistance required throughout the assessment process; and include recording and reporting requirements.

Required knowledge includes:

- competency-based assessment: work focused, criterion referenced, standards-based, evidence-based
- the different purposes of assessment and different assessment contexts
- how to read and interpret the identified competency standards as the benchmarks for assessment
- how to contextualise competency standards within relevant guidelines
- the four principles of assessment and how they guide the assessment process
- what is evidence and different types of evidence
- the four rules of evidence and how they guide evidence collection
- different types of assessment methods, including suitability for collecting various types of evidence
- assessment tools and their purpose; different types of tools; relevance of different tools for specific evidence gathering opportunities
- different resource requirements for assessment and associated costs
- where to source other relevant assessment information and how to incorporate this into the plan
- the principles of inclusivity, and strategies for reasonable adjustment, without compromise to the competency standards
- sources and types of specialist support to candidates
- methodologies suitable for reviewing assessment tools
- the assessment system policies and procedures established by the industry and/or organisation
- risks and requirements associated with different assessment applications in various contexts, including:
 - capacities of assessors at higher AQF levels
 - when linked to licensing
 - legal implications of assessing competence
 - the relevant organisational/legal/ethical requirements

impacting on the planning and organisation of assessment, as set out in the Range Statement of the relevant competency standards

- other relevant policy, legislation, codes of practice and national standards including national Commonwealth and state/territory legislation for example:
 - copyright and privacy laws in terms of electronic technology
 - security of information
 - plagiarism
 - licensing requirements
 - anti-discrimination including equal opportunity, racial vilification and disability discrimination
 - workplace relations
 - industrial awards/enterprise agreements
- OHS responsibilities associated with planning and organising assessment, such as:
 - hazards commonly found, and preferred risk controls for the specific assessment environment
 - OHS procedures to be observed in the assessment process
 - safe use and maintenance of relevant equipment
 - sources of OHS information

Required skills and attributes include:

- cognitive interpretation skills to:
 - accurately interpret competency standards and other assessment documentation
 - identify opportunities for integrated competency assessment
 - contextualise competency standards to the operating assessment environment
 - sort information
- observation skills to:
 - assess the effectiveness of the organisation's assessment operations
 - identify where improvement to the assessment process can be made
- technology skills to:
 - use appropriate equipment and software to communicate effectively with others
- research and evaluation skills to:
 - obtain competency standards and other assessment information, assessment tools and other relevant assessment resources
 - research candidate characteristics and any reasonable adjustment needs
 - identify and confirm required material and physical resources
 - evaluate feedback, and determine and implement improvements to processes
 - make recommendations
- planning skills relating to formulation of the assessment plan
- organisational skills relating to organising resources required
- literacy skills to:
 - read and interpret relevant information to design and facilitate assessment and recognition processes
 - prepare required documentation and information for those involved in assessment processes
- communication skills to:
 - discuss assessment processes with clients and assessors
 - establish professional relationships and networks
 - sensitivity to access and equity considerations and candidate diversity
 - capacity to promote and implement equity, fairness, validity, reliability and flexibility in planning an assessment process

Products that could be used as evidence include:

- assessment plans
- modified/adjusted assessment tools to allow for specific needs
- contextualised competency standards
- documentation of consultations with clients and other stakeholders regarding the assessment purpose and context

Processes that could be used as evidence include:

- how competency standards and other documents were interpreted
- how assessment activities were scheduled
- how resources were identified and obtained
- how communication systems were used to include relevant stakeholders in the planning process
- how assistance was sought from individuals providing specialist support

Resource implications for assessment include:

- access to relevant Training Package/s
- access to assessment materials and tools
- access to other relevant assessment information
- access to suitable assessment venue/equipment
- workplace documentation
- cost/time considerations
- personnel requirements

The collection of quality evidence requires that:

- assessment must address the scope of this unit and reflect all components of the unit, i.e. the Elements, Performance Criteria, Range Statement, Evidence Requirements and Key Competencies
- a range of appropriate assessment methods/evidence gathering techniques is used to determine competency
- evidence must be gathered in the workplace whenever possible. Where no workplace is available, a simulated workplace must be provided
- the evidence collected must relate to a number of performances assessed at different points in time and in a learning and assessment pathway these must be separated by further learning and practice
- assessment meets the rules of evidence
- a judgement of competence should only be made when the assessor is confident that the required outcomes of the unit have been achieved and that consistent performance has been demonstrated

Specific evidence requirements must include:

- evidence of planning and organising the assessment process on a minimum of two occasions. The evidence collected must:
- address the provision of documented assessment plans
- cover a range of assessment events
- cater for a number of candidates
- relate to different competency standards or accredited curricula
- address recognition assessment
- involve the contextualisation of competency standards and the selected assessment tools, where required
- incorporate consideration of reasonable adjustment strategies
- include organisational arrangements

Integrated assessment means that:

- this unit can be assessed alone or as part of an integrated assessment activity involving relevant units in the TAA04 Training and Assessment Training Package. Suggested units include but are not limited to:
- *TAAASS402A Assess competence*
- *TAAASS403A Develop assessment tools*
- *TAAASS404A Participate in assessment validation*
- *TAADES401A Use Training Packages to meet client needs.*