TAAASS501A Lead and coordinate assessment systems and services

Unit Descriptor
This unit specifies the competence required to provide leadership in assessment and to coordinate assessment validation and appeals processes.

Application of the Unit
Assessment leadership and coordination involves a complex mix of extending own and others' expertise in assessment practice, guiding and leading assessors, monitoring assessment practice and taking responsibility for assessment validation and appeals processes.

- This competence also involves developing and/or confirming the assessment strategy for an assessment only pathway. In a learning and assessment pathway, the assessment strategy is determined as part of the learning strategy documentation. In that context, this vocational outcome is addressed in TAADES501A Design and develop learning strategies.
- This unit also includes coordinating and managing assessment across multiple sites, and managing partnership arrangements for assessment services. These performance outcomes may not be applicable in all workplace contexts, depending on the size, scope and needs of the training and/or assessment organisation.
- Where this unit is undertaken as a single unit outside of the TAA50104 Diploma of Training and Assessment, learners must demonstrate competence in the following pre-requisite units:
  - TAAASS401A Plan and organise assessment
  - TAAASS402A Assess competence
  - TAAASS403A Develop assessment tools
  - TAAASS404A Participate in assessment validation.
- Achievement of this unit requires high-level language, literacy skills and cognitive skills in planning, analysis, evaluation and synthesis. This unit also requires leadership skills.
- Related competence includes preparing/managing budgets/financial plans, records management, recruitment selection and performance management. These are addressed through a number of relevant imported units from the BSB01 Business Services Training Package. These are listed at the end of this unit for possible integrated assessment purposes.
- The competence specified in this unit is typically required by lead trainers/facilitators/teachers who assess, lead assessors, program/training and/or assessment coordinators, training managers and training consultants.

Unit Sector Assessment
<table>
<thead>
<tr>
<th>ELEMENT</th>
<th>PERFORMANCE CRITERIA</th>
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</table>
| 1. Develop and extend assessment expertise | 1.1 Relevant and current research on assessment is accessed, read and incorporated into own and others' assessment practice  
1.2 Opportunities to extend assessment expertise are sourced and accessed and new/extended assessment skills and knowledge are incorporated into own and others' assessment practice  
1.3 A range of assessment methods is demonstrated in assessment practice  
1.4 Cognitive skills are used to guide and support quality assessment practice and address issues in assessment practice  
1.5 Ethical standards underpin assessment practice  
1.6 Reflection is used to explore and extend expertise in assessment |
| 2. Lead assessment activities | 2.1 Assessment strategies are developed and confirmed in assessment only pathways  
2.2 Roles, responsibilities and accountabilities of relevant persons in assessment are discussed and confirmed  
2.3 AQTF and organisational requirements relating to the competence of assessors are confirmed and documented  
2.4 Where required, partnership arrangements are initiated and developed setting out identified roles, responsibilities and services to be provided  
2.5 Strategies for communication and networking are established and maintained with and between assessors  
2.6 Leadership skills are used to provide clear direction, advice and support to assessors  
2.7 Professional development needs and opportunities for assessors are identified and recommendations made to relevant personnel |
3. Monitor assessment practice

3.1 Assessment practice of assessors is systematically monitored in relation to:

3.2 how client/candidate needs are being met

3.3 how effectively and accurately the designated competency standards are being interpreted by assessors as the benchmarks for assessment

3.4 how the principles of assessment are being applied in assessment practice

3.5 assessors' application of assessment methods and assessment tools

3.6 how the rules of evidence are being applied in gathering evidence

3.7 whether assessment is being conducted in accord with the policies and procedures of the organisation's assessment system

3.8 whether organisational/legal/ethical requirements are being met

3.9 Individual facilitation techniques are used to guide and support assessors as they work and to improve assessment practice

3.10 Assessment records are analysed to ensure legal/organisational/ethical requirements are being met and appropriate advice is provided to improve record keeping arrangements where issues arise

4. Coordinate assessment validation activities

4.1 Assessment system policies and procedures relating to validation are accessed and interpreted, and validation is initiated in line with organisational/legal/ethical requirements

4.2 Risk assessment/analysis is undertaken to determine the purpose, focus and context of validation activities

4.3 Approaches to validation are considered and determined

4.4 Participants in validation are determined and/or confirmed, and materials and resources needed for validation activities are organised

4.5 Guidance and leadership is provided to direct and support participants throughout the validation process

4.6 Validation documentation is finalised and processed in accordance with assessment system/legal/organisational procedures and presented to relevant people, within an agreed timeframe

4.7 Recommendations from validation processes are identified and forwarded to the appropriate authority
5. Manage assessment appeals

5.1 Assessment system policies and procedures for assessment appeals are accessed and interpreted

5.2 Documented appeal claims are accessed, read and interpreted

5.3 Relevant parties to the appeal are interviewed, and negotiation skills are used to achieve resolution prior to formal appeal, where appropriate

5.4 Appeal panel is constituted and a timetable is set to hear unresolved claims

5.5 Guidance and leadership are provided to panel members and other parties during the appeal process to ensure fairness, equity, verity and relevance

5.6 All documentation relevant to the appeal process is checked for accuracy and completeness

5.7 Panel decision is confirmed and recorded in accordance with organisational policy and procedures, and outcomes are communicated to the parties
KEY COMPETENCIES

<table>
<thead>
<tr>
<th>Key Competency</th>
<th>Example of Application</th>
<th>Performance Level</th>
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</thead>
<tbody>
<tr>
<td>Communicating ideas and information</td>
<td>confirming assessment / recognition processes with stakeholders&lt;br&gt;listening to and translating feedback into future assessment / recognition processes</td>
<td>3</td>
</tr>
<tr>
<td>Collecting analysing and organising information</td>
<td>analysing documents and relevant information in validating assessment processes&lt;br&gt;analysing assessors' professional development requirements&lt;br&gt;identifying resource requirements</td>
<td>3</td>
</tr>
<tr>
<td>Planning and organising activities</td>
<td>developing a communication plan to ensure assessors at different locations can communicate effectively with each other&lt;br&gt;arranging professional development activities for self and others to maintain competence</td>
<td>3</td>
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<tr>
<td>Working with others and in teams</td>
<td>collaborating with peers, colleagues, supervisors and other relevant personnel to arrange validation processes to evaluate current assessment practices</td>
<td>3</td>
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<tr>
<td>Using mathematical ideas and techniques</td>
<td>analysing the cost of resources and determining methods to improve cost/time efficiency</td>
<td>2</td>
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<tr>
<td>Solving problems</td>
<td>arranging coaching or mentoring to further improve assessment processes&lt;br&gt;monitoring assessment practices and providing recommendations for future improvements</td>
<td>3</td>
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<tr>
<td>Using technology</td>
<td>disseminating information such as assessment tools to various stakeholders&lt;br&gt;systematically monitoring the assessment process&lt;br&gt;preparing and maintaining reports and records</td>
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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.

Opportunities include:

- networking through assessor networks, communities of practice and membership of representative organisations
- professional and staff development activities
- attending forums, conferences, workshops
- participating in projects
A range of assessment methods includes:

- simulations such as hypotheticals, problem-based exercises and simulated 'real world' scenarios
- structured aural / written questioning techniques, such as invitation, exploration, confirmation, investigation and reflection
- practical and theoretical tests
- workplace projects
- structured activities such as role-plays, presentations, completion of assessment activity sheets
- portfolios
- observation
- third party feedback
- product review

Cognitive skills may include:

- analysis skills
- synthesis skills
- interpretative skills
- planning skills
- evaluation skills
- problem solving skills
- critical thinking skills
- knowledge transfer skills

Issues may include:

- issues and concerns raised by assessors
- issues and concerns raised by candidates
- issues and concerns raised by others impacted by the assessment process
- assessment system policy and procedure issues
- organisational / legal / ethical issues

Ethical standards include:

- following assessment system organisational policies and procedures
- ensuring privacy / confidentiality
- demonstrating inclusiveness
- following AQTF standards relating to assessment
- ensuring assessment is guided by the principles of assessment and the rules of evidence
- using Code of Practice for Assessors
- duty of care under common law
- security of information
- confidentiality and privacy requirements

Reflection may include:

- asking critical questions about own ability, for example:
  - what worked
  - what did not work
  - how the session could be improved
  - reviewing records and journals
  - critically evaluating personal performance
Assessment strategies are documented frameworks to guide and structure assessment arrangements for a vocational education and training qualification and may include:

- the identification and interpretation of competency standards for assessment purposes
- the identification and interpretation of related assessment documentation for assessment purposes
- application of Training Package Assessment Guidelines
- arrangements for recognition of existing competence (RCC/RPL), including provision of guidance and assistance to candidates in gathering and evaluating own 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, team assessment and partnership arrangements (where relevant)
- nominated quality assurance mechanisms
- identified risk management strategies

Relevant persons may include:

- assessors in own organisation and on site
- assessors in own organisation operating in different site/s
- assessors of another organisation which is in partnership with own organisation
- personnel of own / another organisation who provide vocational / subject matter expertise and who work with the assessor/s in team assessments
- other personnel who assist the assessor in collecting evidence of candidate/s competence
- other personnel impacted by the assessment process

Partnership arrangements refers to:

- collaborative arrangements between a Registered Training Organisation (RTO) and other organisations including other RTOs which enable the partners to share for mutual benefit their resources, effort, time, costs, responsibility and expertise in the provision of training and/or assessment services. These arrangements are regulated by the AQTF Standards for Registered Training Organisations which requires a written agreement between the RTO and each organisation that provides training and/or assessment services on behalf of the RTO.
Leadership skills may include:

- techniques for initiating action and directing decision making
- strategies for presenting a confident, assured and unhesitant manner in response to challenging situations
- strategies for not accepting unreasonable expectations
- maintaining ethical practice and beliefs in the face of opposition
- modelling behavioural and personal presentation standards
- time management
- strategies for acknowledging and respecting the attitudes and beliefs of others
- techniques for promoting active and genuine participation

Client/candidate needs may include:

- clear information and advice on the assessment process
- contextualisation of assessment benchmarks and assessment tools to the assessment environment
- timeliness and recognition of readiness for assessment
- assessment tools that support integrated assessment
- advice, support and guidance from assessor/s on participation and role in the assessment process
- reasonable adjustment needs
- cultural sensitivity

Principles of assessment guide the assessment process and must address:

- validity
- reliability
- flexibility
- fairness
Assessment methods are the particular techniques used to gather evidence and may include:

- direct observation, for example:
- real work/real time activities at the workplace
- work activities in a simulated workplace environment
- structured activities, for example:
- simulation exercises/role-plays
- projects
- presentations
- activity sheets
- questioning, for example:
- written questions, for example, on a computer
- interviews
- self-assessment
- verbal questioning
- questionnaires
- oral or written examinations (applicable at higher AQF levels)
- portfolios, for example:
- collections of work samples compiled 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, peer

Assessment tools contain both the instruments and the procedures for gathering and interpreting evidence in accordance with designated assessment methods and may include:

- the instruments 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 the conditions for assessment

Rule of evidence include:

- validity of evidence
- sufficiency of evidence
- currency of evidence
- authenticity of evidence
Assessment system policies and procedures may include but are not limited to:

- candidate selection
- rational 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

Organisational/legal/ethical requirements may relate to:

- AQTF standards in assessment / registration
- Assessment specifications of Training Packages
- state or territory registering body requirements
- clauses defining assessment operations in award and enterprise agreements and relevant industrial arrangements
- confidentiality and privacy requirements
- relevant legislation from all levels of government that affect training and/or assessment operations
- occupational health and safety (OHS)
- environmental issues
- equal opportunity requirements
- industrial relations and anti-discrimination
- relevant industry codes of practice
- reporting procedures for assessment results
- certification procedures / requirements
- AQF Guidelines
- recording and reporting assessment results
- maintaining and retrieving assessment information
- quality assurance and/or procedures manuals
- goals, objectives, plans, systems and processes
- organisational policies / guidelines
- access and equity principles and practice
- ethical standards
- collaborative / partnership arrangements
- OHS policies, procedures and programs
- quality and continuous improvement processes and standards
- defined resource parameters
Individual facilitation techniques include coaching, mentoring, tutoring matching individuals one on one and may be used to:

- identify any gaps in assessor skills / competence
- explain legal / organisational / policy requirements
- clarify assessment issues
- provide encouragement and direction
- provide feedback / advice / guidance
- promote safety in assessment
- problem solve

Validation is:

- a process involving assessors working in collaboration to review, compare and evaluate their assessment process and their assessment outcomes, in relation to the same units of competency

Purpose, focus and context of validation activities may be:

- part of organisational quality assurance arrangements
- to address an identified area of risk in assessment practice and quality
- to demonstrate compliance with the AQTF Standards for Registered Training Organisations (RTOs)
- to provide evidence for external audit
- to provide evidence for internal audit
- to improve assessment practices
- to evaluate the quality of assessment tools
- to provide professional development
- to increase assessor confidence
- to determine whether different assessors using the same tools collect the same types and levels of evidence
- to determine whether different assessors interpret the same evidence similarly
- to determine whether assessment decisions reflect the rules of evidence

Approaches to validation may include:

- analysing and reviewing assessment tools
- analysing and reviewing collected evidence
- analysing and reviewing assessment decisions/records of assessment outcomes
- examining assessment records
- examining assessment systems
- discussing the assessment process, issues and difficulties in interpretation
- holding interviews with each other or with management, trainers/facilitators, candidates
- analysing client feedback
- observing assessment conduct
- using validation tools
- reviewing and interpreting Assessment Guidelines
- examining assessor qualifications
- analysing appeals processes
- recording evidence of validation processes and outcomes
Materials and resources for validation may include:

- relevant documented assessment strategy
- samples of assessment materials / tools
- copies of relevant competency standards, modules, Training Package Assessment Guidelines and course assessment requirements
- copies of organisational policies and procedures on validation
- copies of relevant AQTF standards
- copies of assessment records (in accord with confidentiality requirements)
- copies of client / candidate feedback
- determining time / availability for validation sessions
- technology requirements
- meeting room / space for conduct of validation
- copies of occupational health and safety policy, procedures and programs
- copy of quality and continuous improvement policies
- copy of equity policy and procedures

Validation documentation may include:

- report of validation process
- recommendations from validation process
- copies of materials / resources used in validation process
- version control documentation

Assessment appeals:

- is a process whereby the candidate, or other interested party, may dispute the assessment decision and seeks a formal review of the decision

Documentation relevant to the appeals process may include:

- candidate's claim for appeal
- documented information given to the candidate outlining assessment system, process and requirements
- records of assessor / meetings with the candidate, discussions and agreements on assessment process
- completed self-assessment tools
- completed assessment tools signed by assessor and/or other persons involved in collecting evidence
- supplementary documentation used as evidence by the candidate
- records of assessment outcomes
- assessor / candidate feedback reports
- records of appeal hearings
- records of appeal outcomes

Panel decision may include:

- confirmation of original assessment decision
- change in decision based on evidence presented
- reassessment of the candidate
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 undertaken continuous development of own assessment expertise; provided leadership, direction and support to other assessors, including role-modelling good assessment practice; monitored the work of assessors and taken responsibility for initiating, organising and facilitating assessment validation and appeals processes; accurately interpreted the organisation's quality assurance goals and strategies.

Required knowledge includes:

• competency-based assessment including:
  • vocational education and training as a competency-based system
  • assessment is criterion referenced / distinction to norm referenced assessment
  • criterion used in national VET is endorsed or accredited competency standards defining specifications for performance of work / work functions and skills / knowledge
  • reporting of competency-based assessment
  • competency standards as the basis of qualifications
  • the principles of competency-based assessment
  • the structure and application of competency standards
  • how to interpret competency standards and other related assessment information to determine the evidence needed to demonstrate competency including:
    • the components of competency
    • assessment of Key Competencies, dimensions of competency and OHS requirements
    • Training Package Assessment Guidelines
    • the qualification level of units
    • AQTF requirement for assessment
    • the organisation's assessment system policies and procedures
    • different assessment methods, purposes and applications
    • appeals mechanisms within the organisation
    • different types of assessment tools, what tools work for what types of evidence, what are well-constructed assessment tools and why
    • what are the principles of assessment and how they guide assessment, validation, appeals processes
    • what are the rules of evidence, why are they important, particularly in a validation context
    • what is an assessment strategy and assessment plan and what are the components of assessment strategies and assessment plans
    • what is validation, purpose / focus of carrying out validation, different approaches to assessment validation
and the critical aspects of validation

• different activities and tools for validation and their appropriateness to the purpose / focus
• a range of technology and its application to improve or assist in quality assessment
• roles and responsibilities of workplace trainers/facilitators, assessors and others - such as vocational experts, workplace supervisors and support persons - in the assessment process, including OHS obligations and duty of care
• strategies which ensure the assessment process is transparent and credible, such as:
  • identifying common pitfalls or errors that affect judgement
  • open/ongoing communication between assessors
  • self-assessment
  • networking
  • professional development activities for assessors
  • ongoing contact with industry
  • using assessment panels or teams
  • conflict resolution techniques
  • motivating others
  • team and group roles and processes, such as:
    • monitoring progress against key goals
    • leading others
  • encouraging team contribution
• legal, organisational and ethical responsibilities associated with the assessment system, including:
  • maintaining client privacy and confidentiality
  • providing accurate information
  • duty of care under common law
  • meeting environmental standards
• the industrial relations system, industry/workplace relations, and industrial awards/enterprise agreements
• compliance with AQTF requirements
• copyright and privacy laws in terms of electronic technology
• security of information
• plagiarism
• Training Packages / competency standards / other assessment documentation
• licensing requirements
• compliance requirements of relevant Commonwealth and state / territory legislation, including OHS, equal employment opportunity, anti-discrimination and state / territory vocational education and training
• Code of Practice for assessors
• relevant OHS legislation, codes of practice, standards and guidelines relating to providing assessment advice and guidance
Required skills and attributes include:

- analysis and interpretation skills to:
  - evaluate assessment methods and tools
  - access and interpret organisation's standards and values
  - observation skills to:
  - assess the effectiveness of the organisation's assessment process
  - distinguish different types of problems, e.g. technical, people and theoretical
- technology skills to:
  - use appropriate equipment and software to systematically monitor assessment process and practice
  - distribute information
- evaluation skills to:
  - evaluate validation process and determine and implement improvements
  - determine sampling methods to be used to access information
  - systematically evaluate personal or others' practice to improve performance or understanding
- research skills to:
  - determine sampling methods to be used to access information
  - access and analyse relevant documents
  - use a range of source documents to access information for validation
- problem solving skills to:
  - combine different modes of thinking such as creative and analytic for practical problem solving
  - anticipate future implications for own and others' decisions
- reliably evaluate alternative solutions
- literacy skills to:
  - read, interpret and evaluate policies and procedures to monitor assessment and recognition processes
  - prepare required documentation and information for those involved in the assessment process
  - prepare written reports regarding validation outcomes
- leadership skills to:
  - set direction for others
  - influence and motivate others
  - guide and support others
  - manage conflict
  - make informed decisions and recommendations
  - schedule validation processes
  - gain commitment to validation processes and make recommendations to improve processes
- communication skills to:
  - obtain feedback on validation strategy
  - explain the purpose of reports and other documentation used in the work area
  - use language to influence others
  - promote and implement quality standards
- individual facilitation techniques:
- guide and support assessors one on one
- conflict resolution techniques to:
- manage difficulties with and between assessors and between assessors / candidate and/or assessors / other persons
- address appeals situations and process
- team and group skills to:
- conduct group discussions to gather ideas
- recognise different abilities or knowledge
- build relationships and networks with colleagues
- attributes, including capacity to encourage, accept and utilise feedback
- awareness and sensitivity to individual difference and culture

**Products that could be used as evidence include:**

- assessment strategies including quality requirements developed and implemented
- documented outcomes of an initiated and facilitated assessment validation process
- documented outcomes of an initiated and facilitated assessment appeals process
- products and materials organised for validation and appeals processes
- analysis of assessment records
- risk assessment analysis

**Processes that could be used as evidence include:**

- how opportunities have been provided for assessors to practise and maintain current competence
- new and/or extended assessment expertise incorporated into own and others’ assessment practice
- how support was given to the implementation of quality assurance procedures
- leadership, direction and support given to other assessors, including role-modelling of good assessment practice
- how improvements were made to assessment and recognition processes

**Resource implications for assessment include:**

- operating assessment system with working assessors and defined assessment system in place including documented policies and procedures for assessment, validation and appeals
- access to competency standards and other assessment documentation
- access to assessment materials and tools
- 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 wherever 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:

- demonstrated continuing development of own assessment expertise
- providing leadership, direction and support to other assessors, including role-modelling good assessment practice
- monitoring the work of assessors and others involved in carrying out assessments
- taking responsibility for initiating, organising and facilitating assessment validation and appeals processes

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:
  - TAACMQ502A Coordinate training and/or assessment arrangements for apprenticeships/ traineeships
  - TAACMQ503A Lead and conduct training and/or assessment evaluations
  - TAACMQ505A Lead a team to foster innovation
  - BSBFLM512A Ensure team effectiveness
  - BSBFLM513A Manage budgets and financial plans within work team
  - BSBFLM514A Manage people
  - BSBRKG502A Manage and monitor business or records systems
  - BSBHR506A Manage recruitment, selection and induction processes
  - BSBMGT503A Prepare budgets and financial plans.