



**Australian Government**

**Department of Education, Employment and Workplace Relations**

# **TAAASS401A Plan and organise assessment**

**Release: 1**

## **TAAASS401A Plan and organise assessment**

### **Modification History**

Not applicable.

## Unit Descriptor

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

### Competency Field

Assessment

### Application of the Unit

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.

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## **Application of the Unit**

Not applicable.

## **Licensing/Regulatory Information**

Not applicable.

## **Pre-Requisites**

Not applicable.

## **Employability Skills Information**

Not applicable.

## **Elements and Performance Criteria Pre-Content**

Not applicable.

# Elements and Performance Criteria

## Elements and Performance Criteria

<b>Element</b>	<b>Performance Criteria</b>
1 Determine focus of assessment	<p>1.1 Candidate/s are identified/confirmed and the purpose/s and context of assessment are established/ confirmed with relevant people in accordance with legal/organisational/ethical requirements</p> <p>1.2 The assessment strategy is accessed and used to guide the development of the assessment plan, where applicable</p> <p>1.3 The benchmarks for assessment are identified/confirmed and accessed</p>
2 Prepare the assessment plan	<p>2.1 The assessment benchmarks are interpreted to determine the evidence and types of evidence needed to demonstrate competency in accordance with the rules of evidence</p> <p>2.2 Where competency standards are used as benchmarks, all component parts of the competency standards, are addressed in defining and documenting the evidence to be collected</p> <p>2.3 Any related documentation to support planning the assessment process is accessed and interpreted</p> <p>2.4 Assessment methods and assessment tools are selected/confirmed which address the evidence to be collected in accordance with the principles of assessment</p> <p>2.5 Specific material and physical resources 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 relevant</p>

personnel

- 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:
    - any contextualisation of competency standards,
    - reasonable adjustment/s, where identified,
    - integration of assessment activities, where appropriate and practical,
    - capacity to support application for recognition of current competence
  - 3.4 Adjusted assessment tools are reviewed to ensure the specifications of the competency standards are still addressed
  - 3.5 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
  - 3.6 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

## **Required Skills and Knowledge**

Not applicable.

## 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.

### Overview of Assessment

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.

### Evidence 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.

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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,  
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**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:**

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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.

### **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 is a documented framework to guide and structure assessment arrangements for a vocational education and training qualification. In a learning and assessment pathway it is addressed as part of the learning strategy. In an assessment only pathway it is a separate document.**

**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  
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

**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

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**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 is a documented framework to guide and structure assessment arrangements for a vocational education and training qualification. In a learning and assessment pathway it is addressed as part of the learning strategy. In an assessment only pathway it is a separate document.**

**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

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  
**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

## **Unit Sector(s)**

Not applicable.