



Australian Government

Department of Education, Employment and Workplace Relations

TAAASS401C Plan and organise assessment

Release: 1

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Modification History

Not applicable.

Unit Descriptor

This unit specifies the competence required to plan and organise the assessment process, including recognition of prior learning (RPL), in a competency-based assessment system.

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 includes assessments carried out as part of a Recognition of Prior Learning Process (RPL) or as part of a learning and assessment 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, including RPL which may involve single or multiple candidates being assessed against individual or multiple unit/s of competency.

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 is to 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, including RPL 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: TAADES501B Design and develop learning strategies** (in a learning and assessment pathway) and **TAAASS501B 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). **TAADES401B 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, including RPL

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Not applicable.

Employability Skills Information

This unit contains employability skills.

Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.

Performance criteria describe the performance needed to demonstrate achievement of the element. Where **bold italicised** text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.

Elements and Performance Criteria

Elements and Performance Criteria

Element	Performance Criteria
1 Determine approach for assessment	<p>1.1 Candidate/s are identified/confirmed and the purpose/s and context of assessment/ RPL are established/ confirmed with relevant people in accordance with legal/organisational/ethical requirements</p> <p>1.2 A decision is made whether assessment will be undertaken within an RPL, a learning and assessment pathway or a combined approach</p> <p>1.3 The assessment strategy is accessed and used to guide the development of the assessment plan, where applicable</p> <p>1.4 The benchmarks for assessment/ RPL are identified/confirmed and accessed</p>

- 2 **Prepare the assessment/
RPL plan**
 - 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**
 - 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
 - 2.3 Any **related documentation** to support planning the assessment process is accessed and interpreted
 - 2.4 **Assessment/RPL methods** and **assessment tools** are **selected/confirmed** which address the evidence to be collected in accordance with the **principles of assessment**
 - 2.5 Specific **material and physical resources** required to collect evidence are identified and documented
 - 2.6 Roles and responsibilities of all people involved in the assessment process are clarified, agreed and documented
 - 2.7 Timelines and time periods for evidence collection are determined and all information to be included in the **assessment plan** is documented
 - 2.8 The assessment/RPL plan is confirmed with **relevant personnel**
- 3 **Contextualise and review
assessment/ RPL 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 **recognition of prior learning**

- 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/ RPL 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/ RPL 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/ RPL process are organised
 - 4.4 Effective **communication strategies** are established to encourage regular communication flow and feedback with relevant people involved in the assessment/RPL process
 - 4.5 Assessment/ RPL record keeping and reporting arrangements are confirmed

Required Skills and Knowledge

This section describes the skills and knowledge required for this unit.

Required skills

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, including RPL

sort information

observation skills to:

assess the effectiveness of the organisation's assessment, including RPL operations

identify where improvement to the assessment process can be made

identify where improvement to RPL policy and procedures 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, including RPL 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

Required knowledge

competency-based assessment: work focused, criterion referenced, standards-based, evidence-based

the different purposes of assessment and different assessment contexts, including RPL.

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 used in competency-based assessments, including RPL

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

the RPL policies and procedures established by the 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

Evidence Guide

Evidence Guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the 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

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 RPL is incorporated in the assessment process
 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

Resource implications for assessment include:

providing specialist support

access to relevant Training Package/s

access to assessment materials and tools

access to other relevant assessment information

access to suitable assessment venue/equipment

access to RPL policy and procedures

workplace documentation

cost/time considerations

personnel requirements

The collection of quality evidence requires that:

assessment must address the scope of this unit and assessment must address the scope of this unit and reflect all components of the unit, i.e. the Elements, Performance Criteria, Range Statement, Evidence Guide, Employability Skills

a range of appropriate assessment methods/evidence gathering techniques is used to determine competency, including RPL.

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

evidence collected must relate to at least one RPL assessment

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 demonstrate

Specific evidence requirements must

evidence of planning and organising the assessment process on a minimum of two

include:

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 an RPL 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:

TAAASS402C Assess competence

TAAASS403B Develop assessment tools

TAAASS404B Participate in assessment validation

TAADES401B Use Training Packages to meet client needs

Range Statement

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. **Bold italicised** wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

Purpose/s of assessment may include:

- recognising current existing competence of candidate/s
- determining if competence has been achieved following learning
- establishing candidate/s progress towards achievement of competence
- determining language, literacy, numeracy needs of candidates/s
- certifying competence through a Statement of Attainment
- establishing progress towards a qualification
- determining training gaps of candidate/s
- measuring work performance
- classifying employees/support career progression
- meeting organisational requirements for work - operate equipment/develop new skills
- licensing or regulatory requirements

Context of assessment/ RPL may include:

- part of the enrolment process
- the environment in which the assessment/RPL will be carried out, including real work/simulation
- opportunities for collecting evidence in a number of situations
- relationships between competency standards and evidence to support recognition of prior learning
- who carries out the assessment/RPL
- 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
Relevant people must include:	the candidate/s
	the assessor/s responsible for conducting the assessment/RPL, 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
	RPL coordinators
	industry regulators
	employee and employer representatives
	members of professional associations
	Commonwealth department
	official/Centrelink personnel/caseworker
	Australian Apprenticeship Centre (AAC) personnel
Legal/organisational/ethical requirements may include:	assessment system policies and procedures
	assessment strategy requirements
	reporting, recording and retrieval systems for assessment, including RPL
	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
(AQTF2007)

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 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/ RPL refers

the criterion against which the candidate is

to: assessed or prior learning recognised 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

Employability Skills

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

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

requirements set out in the Assessment
Guidelines of the relevant Training
Package/s

Related documentation may include:

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

RPL policy and procedures

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

direct observation, for example:

real work/real time activities at the
workplace

work activities in a simulated workplace
environment

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

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

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
Assessment tools contain:	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:	fairness flexibility reliability validity
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/RPL relevant competency standards to be used as the benchmarks for assessment/RPL 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/RPL

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:	<p>self in such contexts as one-person/small training and/or assessment organisation</p> <p>lead assessor</p> <p>training and/or assessment supervisor/coordinator</p> <p>training and/or assessment manager</p>
Characteristics of the candidate/s may include:	<p>level of work experience</p> <p>level and experiences of previous learning and assessment</p> <p>motivation for assessment - personal/organisational</p> <p>English language, literacy and/or numeracy levels/needs</p> <p>physical impairment or disability involving hearing, vision, voice, mobility</p> <p>intellectual impairment or disability</p> <p>medical condition such as arthritis, epilepsy, diabetes, asthma that is not obvious but may impact on assessment</p> <p>differences in learning progress</p> <p>psychiatric or psychological disability</p> <p>religious and spiritual observances</p> <p>cultural background images/perceptions</p> <p>age</p> <p>gender</p>
Reasonable adjustments and/or specific needs must not compromise the integrity of the competency standards and may include:	<p>adjustments to the assessment process taking into account candidate's language, literacy, numeracy requirements</p> <p>provision of personal support services, for example, reader, interpreter, attendant carer, scribe, member of community in attendance</p> <p>use of adaptive technology or special equipment</p> <p>flexible assessment sessions to allow for fatigue or administering of medication</p> <p>format of assessment materials, for example, in braille, first language, use of audiotape/</p>

	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:	DEST Guidelines on Training Package Contextualisation relevant Training Package contextualisation guidelines
Recognition of prior learning is defined as:	an assessment process that assesses an individual's non-formal and informal learning to determine the extent to which that individual has achieved the required learning outcomes, competency outcomes, or standards for entry to and/or partial or total completion of a qualification
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
email, memos and correspondence
meetings
video conferencing/e-based learning
focus groups

Unit Sector(s)

Not applicable.

Competency Field

Assessment