TAAASS401C Plan and organise assessment
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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

<table>
<thead>
<tr>
<th>Element</th>
<th>Performance Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Determine approach for assessment</td>
<td>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</td>
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<tr>
<td></td>
<td>1.2 A decision is made whether assessment will be undertaken within an RPL, a learning and assessment pathway or a combined approach</td>
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<tr>
<td></td>
<td>1.3 The assessment strategy is accessed and used to guide the development of the assessment plan, where applicable</td>
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<td></td>
<td>1.4 The benchmarks for assessment/ RPL are identified/confirmed and accessed</td>
</tr>
<tr>
<td>Section</td>
<td>Description</td>
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<td>---------</td>
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</tr>
<tr>
<td>2</td>
<td><strong>Prepare the assessment/RPL plan</strong></td>
</tr>
<tr>
<td>2.1</td>
<td>The assessment benchmarks are interpreted to determine the <strong>evidence</strong> and <strong>types of evidence</strong> needed to demonstrate competency in accordance with the <strong>rules of evidence</strong></td>
</tr>
<tr>
<td>2.2</td>
<td>Where competency standards are used as benchmarks, <strong>all component parts of the competency standards</strong>, are addressed in defining and documenting the evidence to be collected</td>
</tr>
<tr>
<td>2.3</td>
<td>Any <strong>related documentation</strong> to support planning the assessment process is accessed and interpreted</td>
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<tr>
<td>2.4</td>
<td><strong>Assessment/RPL methods</strong> and <strong>assessment tools</strong> are <strong>selected/confirmed</strong> which address the evidence to be collected in accordance with the <strong>principles of assessment</strong></td>
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<tr>
<td>2.5</td>
<td>Specific <strong>material and physical resources</strong> required to collect evidence are identified and documented</td>
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<tr>
<td>2.6</td>
<td>Roles and responsibilities of all people involved in the assessment process are clarified, agreed and documented</td>
</tr>
<tr>
<td>2.7</td>
<td>Timelines and time periods for evidence collection are determined and all information to be included in the <strong>assessment plan</strong> is documented</td>
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<tr>
<td>2.8</td>
<td>The assessment/RPL plan is confirmed with <strong>relevant personnel</strong></td>
</tr>
<tr>
<td>3</td>
<td><strong>Contextualise and review assessment/ RPL plan</strong></td>
</tr>
<tr>
<td>3.1</td>
<td><strong>Characteristics of the candidate/s</strong> and any allowances for <strong>reasonable adjustments and/or specific needs</strong> are identified/clarified with relevant people and documented</td>
</tr>
<tr>
<td>3.2</td>
<td>Where required, competency standards are <strong>contextualised</strong>, to reflect the operating environment in which assessment will occur, in accordance with <strong>contextualisation guidelines</strong></td>
</tr>
<tr>
<td>3.3</td>
<td>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</td>
</tr>
</tbody>
</table>
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

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:

- 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 provide specialist support

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:

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
direct, 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, polices 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/coordinate
- 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:
- 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