



Australian Government

Department of Education, Employment and Workplace Relations

TAAASS402C Assess competence

Release: 1

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Modification History

Not applicable.

Unit Descriptor

This unit specifies the competence required to assess the competence of a candidate.

Application of the Unit

This unit addresses the competence of conducting competency assessment in accordance with a developed assessment plan. It includes assessment for recognition of prior learning (RPL) or as part of a learning and assessment pathway.

The critical focus of this unit is on interpreting the collected evidence and making a judgement of competence against the specified competency standards by applying the principles of assessment and rules of evidence. This unit also covers demonstration of the professional relationship between assessor and candidate/s and the skills needed to support this relationship.

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.

This unit does not address the development of an assessment/RPL plan or organisation of required resources for assessment/RPL, which is addressed in **TAAASS401C Plan and organise assessment**.

The competence specified in this unit is typically required by assessors.

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 Establish and maintain the assessment environment	<p>1.1 The assessment/ RPL plan is interpreted and assessment system policies and procedures and organisational/ legal/ethical requirements for conducting assessment are confirmed with relevant people</p> <p>1.2 The relevant benchmarks for assessment/ RPL and nominated assessment tools are accessed and interpreted to confirm the evidence to be collected and how it is to be collected</p> <p>1.3 Details of the assessment/ RPL plan and the assessment process are explained, discussed and clarified with the candidate including opportunities for assessment, reasonable adjustment, re-assessment and appeals</p> <p>1.4 Proposed changes to the assessment process are negotiated and agreed with the candidate, where relevant</p>
2 Gather quality evidence	<p>2.1 The assessment/ RPL plan is followed to guide the conduct of assessment and assessment methods and assessment tools are used to gather, organise and document evidence in a format suitable for determining competence</p> <p>2.2 The principles of assessment and rules of evidence are applied in gathering quality evidence</p> <p>2.3 Opportunities for evidence gathering in work activities/simulated work activities are determined with the candidate and relevant personnel</p>

- 2.4 Opportunities for integrated assessment activities/ RPL are identified and assessment tools are modified, where required
- 2.5 Identified assessment/ RPL system policies and procedures and organisational/legal/ethical and requirements for assessment are addressed
- 3 **Support the candidate**
 - 3.1 Candidates are **guided** in gathering their own evidence to support **recognition of prior learning**
 - 3.2 Appropriate **communication** and **interpersonal skills** are used to develop a professional relationship with the candidate which reflects sensitivity to **individual differences** and enables two-way **feedback**
 - 3.3 Decisions on reasonable adjustment/s, where applicable, are made with the candidate, based on candidate's needs and characteristics
 - 3.4 Reasonable adjustments must maintain the integrity of the relevant competency standards and provide balanced application of the principles of assessment and rules of evidence
 - 3.5 **Specialist support** is accessed, where required, in accordance with the assessment plan
 - 3.6 Any occupational health and safety (OHS) risk to person or equipment is **addressed** immediately
- 4 **Make the assessment decision**
 - 4.1 **Limitations** in obtaining and evaluating quality evidence are identified and assistance is sought, where required, from relevant people
 - 4.2 Collected evidence is examined and evaluated to ensure that it reflects the evidence required to demonstrate competency and which:
 - encompasses **all component parts of the competency standards** and the dimensions of competency (where competency standards are the benchmarks for assessment/ RPL)
 - addresses other **related documentation**
 - complies with the rules of evidence
 - 4.3 **Judgement** is used to infer whether competence has been demonstrated, based on the available

evidence

- 4.4 Relevant assessment, including RPL, system policies and procedures and organisational/legal/ethical considerations are addressed in making the assessment decision
- 4.5 Clear and constructive feedback is provided to the candidate regarding the assessment decision and a follow-up **action plan** is developed, where required
- 5 **Record and report the assessment decision**
 - 5.1 Assessment/ RPL outcomes are recorded promptly and accurately in accordance with assessment/ RPL system policies and procedures and organisational/legal/ethical requirements
 - 5.2 An **assessment report** is completed and processed in accordance with assessment system policies and procedures and organisational/legal/ethical requirements
 - 5.3 **Recommendations** for follow up action are submitted to relevant people, where required
 - 5.4 **Other relevant parties** are informed of the assessment decision where required, and in accordance with confidentiality conventions
- 6 **Review the assessment process**
 - 6.1 The assessment/ RPL process is reviewed against **criteria in consultation** with relevant people to improve and modify future assessment practice
 - 6.2 The review is documented and recorded in accordance with relevant assessment system policies and procedures and organisational/legal/ethical requirements
 - 6.3 Reflection skills are used to review and self-evaluate assessment practice

Required Skills and Knowledge

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

Required skills

analysis and interpretation skills to:

unpack competency standards

interpret assessment tools and other assessment information, including those used in RPL

identify candidate needs

make judgements based on assessing available evidence

observation skills to:

recognise candidate prior learning

determine candidate readiness for assessment

observe candidate performance

identify when candidate may need assistance throughout the assessment processes

research and evaluation skills to:

access required human and material resources for assessment

access assessment system policies and procedures

access RPL policies and procedures

evaluate evidence

evaluate the assessment process

cognitive skills to:

weigh up the evidence and make a judgement

consider and recommend reasonable adjustments

decision making skills to:

recognise a candidate's prior learning

make a decision on a candidate's competence

literacy skills to:

read and interpret relevant information to conduct assessment

prepare required documentation and records/reports of assessment outcomes in required format

communications/interpersonal skills to:

explain the assessment, including RPL process to the candidate

give clear and precise instructions
ask effective questions
provide clarification
discuss process with other relevant people
give appropriate feedback to the candidate
discuss assessment outcome with the candidate
using language appropriate to the candidate and assessment environment
establish a working relationship with the candidate
attributes including:
a willingness to guide and support candidates
capacity to encourage, accept and utilise feedback
sensitivity to individual difference and need
ethical conduct in assessment

Required knowledge

competency-based assessment covering:
vocational education and training as a competency-based system
assessment is criterion referenced/distinction to norm referenced assessment
criterion used in national VET is endorsed or accredited competency standards defining specifications for performance of work/work functions and skills/knowledge
reporting of competency-based assessment
competency standards as the basis of qualifications
the principles of competency-based assessment
the structure and application of competency standards
what are the principles of assessment and how are they applied (validity, reliability, fairness, flexibility)
what are the rules of evidence and how are they applied (valid, authentic, sufficient, current)
the range of assessment purposes and assessment contexts, including RPL
different types of assessment methods, including suitability for gathering various types of evidence; suitability for content of units; resource requirements and associated costs
what are reasonable adjustments/when are they applicable/not applicable
basic evaluation methodologies suitable for reviewing personal assessment practice
types and forms of evidence, including assessment tools that are relevant to gathering different types of evidence used in competency-based assessments, including RPL
practical knowledge of the potential barriers and processes relating to assessment tools and

methods

the assessment system and assessment policies and procedures established by the industry, organisation or training authority

the RPL policies and procedures established by the organisation

cultural sensitivity and equity considerations

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

Training Packages/competency standards

licensing requirements

industry/workplace requirements

duty of care under common law

recording information and confidentiality requirements

anti-discrimination including equal opportunity, racial vilification and disability discrimination

workplace relations

industrial awards/enterprise agreements

OHS responsibilities associated with assessing competence such as:

requirements for reporting hazards and incidents

emergency procedures and procedures for use of relevant personal protective equipment

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 can assess the competence of another individual through a process of collecting and reviewing evidence and making an informed judgement.

The evidence provided must show: how the assessment environment was established and how the candidate's needs were met; how the units of competency were interpreted to determine the evidence requirements; how the assessment plan was followed; how the assessment tools were used in collecting evidence; the basis for the assessment decision using the rules of evidence; communication skills used to guide, support and provide feedback to the candidate during the assessment process; records and reports; and how the assessment process was reviewed.

Products that could be used as evidence include:

completed RPL/assessment tools/templates/checklists

documentation of evidence collected and assessment, including RPL decisions

feedback from candidate/assessor/supervisor/RPL coordinator

feedback to candidate with recommendations for future options

completed assessment/RPL records/reports

reviews of assessment practices and recommended changes to future practices

Processes could be used as evidence include:

how competency standards and other documents were interpreted

how assessment activities, including RPL,

	were scheduled
	how the assessment plan was modified to meet candidate needs
	how evidence was collated and evaluated against the rules of evidence
Resource implications for assessment include:	access to candidates to be assessed
	access to competency standards
	access to assessment materials and tools
	access to suitable assessment venue/equipment
	workplace documentation
	access to RPL policies and procedures
	access to documentation/records of candidate to determine specific requirements
	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 Guide, Employability Skills
	a range of appropriate assessment methods/evidence gathering techniques is used to determine competency
	evidence must be gathered in the workplace wherever possible. Where no workplace is available, a simulated workplace must be provided
	the evidence collected must relate to a number of performances assessed at different points in time and in a learning and assessment pathway these must be separated by further learning and practice
	evidence collected must relate to at least one example of a 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

Specific evidence requirements must include:

achieved and that consistent performance has been demonstrated

carrying out assessment of a number of candidates, assessed against different units of competency or accredited curricula, following the relevant assessment plan

at least one candidate must be assessed through an assessment only pathway

at least one candidate must be assessed for RPL

at least one assessment must include consideration of reasonable adjustment and the reasons for decisions and approach

all must show:

the application of different assessment methods and tools involving a range of assessment activities and events

demonstration of two-way communication and feedback

how judgement was exercised in making the assessment decision how and when assessment outcomes were recorded and reported

completion of assessment records/reports in accordance with assessment system - legal/organisational ethical requirements

how the assessment process was reviewed and the review outcomes documented

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:

TAAASS401C Plan and organise assessment

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.

An **assessment/ RPL plan** is the overall planning document for the assessment process and may include:

- the purpose and aims of the assessment, including RPL
- the context of assessment
- identified personnel
- relevant competency standards and other assessment documentation
- relationship with RPL policy and procedures
- evidence plan
- 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/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

Assessment system policies and procedures may include:

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

Organisational/legal/ethical requirements may include:

assessment system policies and procedures
Recognition of prior learning policies and procedures
reporting, recording and retrieval systems for assessment
licensing/legal ramifications of assessing competence
requirements of training and/or assessment organisations relating to assessment and validation
quality assurance systems
business and performance plans
collaborative/partnership arrangements
policies, procedures and programs
defined resource parameters

mutual recognition arrangements

industrial relations systems and processes,
awards/enterprise agreements

Australian Quality Training Framework
(AQTF2007) Essential Standards for
Registration

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 of
information relating to completed
assessments

OHS considerations, including:

ensuring OHS requirements are adhered to
during the assessment process

identifying and reporting OHS hazards and
concerns to relevant personnel

Relevant people may include:

the candidate/s

other assessors

the client, company or organisation

team leaders, managers, supervisors

trainers/facilitators

RTO coordinators

technical/subject experts

training and assessment coordinators

industry regulators

employee and employer representatives

members of professional associations

Commonwealth department
official/Centrelink staff/caseworker

Australian Apprenticeship Centre (AAC)
personnel

Benchmark/s for assessment/ RPL refers the criterion against which the candidate is
assessed which, may be a competency

to:

standard/unit of competency, assessment criteria of course curricula, performance specifications, product specifications

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

the instruments to be used for gathering evidence such as:

a profile of acceptable performance measures
templates/proformas

specific questions or activities

evidence/observation checklists

checklists for the evaluation of work samples

candidate self-assessment materials

the procedures, information and instructions for the assessor/candidate relating to the use of assessment instruments and assessment conditions

Reasonable adjustment must not compromise the integrity of the competency standard 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

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 activities, for example:

simulation exercises/role-plays

projects

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, peer

Principles of assessment guide the assessment process and must address:

- validity
- reliability
- flexibility
- fairness

Rules of evidence are closely related to the assessment principles and provide guidance on the collection of evidence to ensure that it is:

- valid
- sufficient
- authentic
- current

Quality evidence addresses the rules of evidence and must:

- encompass the Performance Criteria to demonstrate achievement of the outcomes (Elements)
- reflect the skills, knowledge and attributes defined in the relevant units of competency
- show application of the skills in the context described in the Range Statement
- demonstrate competence over a period of time
- demonstrate repeatable competence
- be the work of the candidate
- be able to be verified
- demonstrate current skills/knowledge of the candidate
- not inflate the language, literacy and numeracy requirements beyond those required in the performance of the competency

Guided means to explain to the candidate:

- what is recognition of prior learning
- what is assessment
- what are assessment tools
- how to use these tools
- the rules of evidence that must be met by the evidence they provide

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.

Communication skills may include:

providing constructive and supportive feedback

using active listening

using appropriate questioning to clarify and confirm instructions for evidence gathering

accurately interpreting verbal messages

assisting candidates to paraphrase advice/instructions to the assessor

making clear and concrete presentations of options/advice

Interpersonal skills may include:

accurately interpreting non-verbal messages

engaging in two-way interaction

using language appropriate to candidate, assessment context and work performance addressed by competency standards

using language and concepts appropriate to cultural differences

using culturally inclusive and sensitive techniques

Individual differences may include:

English language, literacy and numeracy barriers

physical impairment or disability involving hearing, vision, voice, mobility

intellectual impairment or disability

medical conditions such as arthritis, epilepsy, diabetes and asthma that are not obvious but may impact on assessment

learning difficulties

psychiatric or psychological disability

religious and spiritual observances

cultural images/perceptions

age

gender

Feedback may include:

ensuring assessment/RPL process is understood
ensuring candidate concerns are addressed
enabling question and answer
confirming outcomes
identifying further evidence to be provided
discussing action plans
confirming gap training needed
information regarding available appeal processes
suggesting improvements in evidence gathering and presentation

Specialist support may include:

assistance by third party - carer, interpreter
support from specialist educator
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

Addressed may include:

stopping the assessment until the OHS risk is rectified
stopping the assessment until the equipment is fixed or replaced

Limitations may relate to:

job role and responsibilities
meeting candidate needs
assessment panels
training and/or assessment organisation's quality processes
personal competency level
organisational, industry and national training requirements
personal level of knowledge of

All component parts of the competency standards refers to:

competency-based assessment

legal responsibilities

Elements

Performance Criteria

Employability Skills

Range Statement/range of variables, including:

contextualisation

link to knowledge and enterprise requirements

focus of assessment

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

Related documentation may include:

Assessment Guidelines of the relevant Training Package/s
the assessment criteria of accredited modules
evidence to be collected as set out in assessment plans
definition and interpretation of evidence in developed assessment tools
RPL policies and procedures
any requirements of OHS, legislation, codes of practice, standards, guidelines
indicators and levels of competence of the National Reporting System
organisational requirements for work performance
product specifications
integrated competency assessment tool

Judgement is a two-step process and means:

the decision made by the assessor on whether the evidence provided meets the principles of assessment and rules of evidence
the decision made by the assessor, based on the evidence provided and evaluated, on whether the candidate is competent/not yet competent

An **action plan** is required when the decision of not yet competent is recorded and may include:

gap training, further learning
additional practice opportunities
additional assessment opportunities/evidence gathering opportunities
individual facilitation, where relevant
referral to specialist support

An **assessment report** may include:

personal details of candidate
details of assessment/s, date, time, venue
details of assessor's summary of evidence considered and copies of assessment papers
feedback to and from the candidate
justification of decision
summary of candidate's action plan

	other critical information including appeals and outcomes
	sign-off by assessor and candidate
	electronic/paper reports to funding bodies
Recommendations may include:	recommendations for RPL
	recommendation to support training and/or assessment in new areas of competency
	recommendations in the action plan
	reassessment
	appeal implications
Other relevant parties may include:	Centrelink personnel
	Department of Immigration and Multicultural Indigenous Affairs (DIMIA)
	parties nominated by the candidate
	parties to be informed because of contractual obligations
Criteria may include:	following the assessment plan
	confirming and addressing organisational, ethical and legal requirements where appropriate, including OHS
	providing appropriate information regarding the assessment process to the candidate and explaining all steps, using effective communication and interpersonal skills
	demonstrated application of the rules of evidence and principles of assessment in gathering quality evidence
	demonstrated support and guidance to the candidate throughout the assessment process
	using assessment methods and tools appropriately to gather, organise and document evidence
	applying reasonable adjustments where required/ appropriate, in consultation with relevant people
	providing clear and constructive feedback to the candidate regarding the assessment decision

Consultation may involve:

reviewing range of own decisions for consistency

moderation with other assessors, training and assessment coordinators

discussions with the client, team leaders, managers, RPL Coordinators, supervisors, coaches, mentors

technical/subject experts

English language, literacy and numeracy experts

Unit Sector(s)

Not applicable.

Competency Field

Assessment