



**Australian Government**

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

# **TAAASS501B Lead and coordinate assessment systems and services**

**Release: 1**

## **TAAASS501B Lead and coordinate assessment systems and services**

### **Modification History**

Not applicable.

### **Unit Descriptor**

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

### **Application of the Unit**

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

This competence also involves developing and/or confirming the assessment strategy for an assessment only pathway. In a learning and assessment pathway, the assessment strategy is determined as part of the learning strategy documentation. In that context, this vocational outcome is addressed in **TAADES501B Design and develop learning strategies**.

This unit also includes coordinating and managing assessment across multiple sites, and managing partnership arrangements for assessment services. These performance outcomes may not be applicable in all workplace contexts, depending on the size, scope and needs of the training and/or assessment organisation.

Where this unit is undertaken as a single unit outside of the TAA50104 Diploma of Training and Assessment, learners must demonstrate competence in the following pre-requisite units:

**TAAASS401C Plan and organise assessment**

**TAAASS402C Assess competence**

**TAAASS403B Develop assessment tools**

**TAAASS404B Participate in assessment validation.**

Achievement of this unit requires high-level language, literacy skills and cognitive skills in planning, analysis, evaluation and synthesis. This unit also requires leadership skills.

Related competence includes preparing/managing budgets/financial plans, records management, recruitment selection and performance management. These are addressed through a number of relevant imported units from the **BSB01 Business Services Training Package**. These are listed at the end of this unit for possible integrated assessment purposes.

The competence specified in this unit is typically required by lead trainers/facilitators/teachers who assess, lead assessors, program/training and/or assessment coordinators, training managers and training consultants.

### **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 <b>Develop and extend assessment expertise</b>	1.1 Relevant and current research on assessment is accessed, read and incorporated into own and others' assessment practice
	1.2 <b>Opportunities</b> to extend assessment expertise are sourced and accessed and new/extended assessment skills and knowledge are incorporated into own and others' assessment practice
	1.3 A range of <b>assessment methods</b> is demonstrated in assessment practice
	1.4 <b>Cognitive skills</b> are used to guide and support quality assessment practice and address <b>issues</b> in assessment practice
	1.5 <b>Ethical standards</b> underpin assessment practice
	1.6 <b>Reflection</b> is used to explore and extend expertise in assessment
2 <b>Lead assessment activities</b>	2.1 <b>Assessment strategies</b> are developed and confirmed in assessment only pathways
	2.2 Roles, responsibilities and accountabilities of <b>relevant persons</b> in assessment are discussed and

confirmed

- 2.3 AQTF and organisational requirements relating to the competence of assessors are confirmed and documented
- 2.4 Where required, **partnership arrangements** are initiated and developed setting out identified roles, responsibilities and services to be provided
- 2.5 Strategies for communication and networking are established and maintained with and between assessors
- 2.6 **Leadership skills** are used to provide clear direction, advice and support to assessors
- 2.7 Professional development needs and opportunities for assessors are identified and recommendations made to relevant personnel

### 3 **Monitor assessment practice**

- 3.1 Assessment practice of assessors is systematically monitored in relation to:
  - how client/candidate needs are being met
  - how effectively and accurately the designated competency standards are being interpreted by assessors as the benchmarks for assessment
  - how the **principles of assessment** are being applied in assessment practice
  - assessors' application of assessment methods and assessment tools
  - how the **rules of evidence** are being applied in gathering evidence
  - whether assessment is being conducted in accord with the **policies and procedures** of the organisation's **assessment system**
  - whether organisational/legal/ethical requirements are being met
- 3.2 **Individual facilitation techniques** are used to guide and support assessors as they work and to improve assessment practice
- 3.3 Assessment records are analysed to ensure legal/organisational/ethical requirements are being met and appropriate advice is provided to improve

- record keeping arrangements where issues arise
- 4 **Coordinate assessment validation activities**
- 4.1 Assessment system policies and procedures relating to validation are accessed and interpreted, and **validation** is initiated in line with organisational/legal/ethical requirements
- 4.2 Risk assessment/analysis is undertaken to determine the **purpose, focus and context of validation activities**
- 4.3 **Approaches to validation** are considered and determined
- 4.4 Participants in validation are determined and/or confirmed, and **materials and resources** needed for validation activities are organised
- 4.5 Guidance and leadership is provided to direct and support participants throughout the validation process
- 4.6 **Validation documentation** is finalised and processed in accordance with assessment system/legal/organisational procedures and presented to relevant people, within an agreed timeframe
- 4.7 Recommendations from validation processes are identified and forwarded to the appropriate authority
- 5 **Manage assessment appeals**
- 5.1 Assessment system policies and procedures for assessment appeals are accessed and interpreted
- 5.2 Documented appeal claims are accessed, read and interpreted
- 5.3 Relevant parties to the appeal are interviewed, and negotiation skills are used to achieve resolution prior to formal appeal, where appropriate
- 5.4 Appeal panel is constituted and a timetable is set to hear unresolved claims
- 5.5 Guidance and leadership are provided to panel members and other parties during the appeal process to ensure fairness, equity, verity and relevance

- 5.6 **All documentation relevant to the appeal process** is checked for accuracy and completeness
- 5.7 **Panel decision** is confirmed and recorded in accordance with organisational policy and procedures, and outcomes are communicated to the parties

## **Required Skills and Knowledge**

Not applicable.

# 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 undertaken continuous development of own assessment expertise; provided leadership, direction and support to other assessors, including role-modelling good assessment practice; monitored the work of assessors and taken responsibility for initiating, organising and facilitating assessment validation and appeals processes; accurately interpreted the organisation's quality assurance goals and strategies

## Evidence Requirements

### Required knowledge includes:

competency-based assessment including:  
 vocational education and training as a competency-based system  
 assessment is criterion referenced/distinction to norm referenced assessment  
 criterion used in national VET is endorsed or accredited competency standards defining specifications for performance of work/work functions and skills/knowledge  
 reporting of competency-based assessment  
 competency standards as the basis of qualifications  
 the principles of competency-based assessment

the structure and application of competency standards  
 how to interpret competency standards and other related assessment information to determine the evidence needed to demonstrate competency including:  
 the components of competency  
 assessment of Employability Skills, dimensions of competency and OHS requirements

## Training Package Assessment Guidelines the qualification level of units

### AQTF requirement for assessment

the organisation's assessment system policies and procedures

different assessment methods, purposes and applications

appeals mechanisms within the organisation

different types of assessment tools, what tools work for what types of evidence, what are well-constructed assessment tools and why

what are the principles of assessment and how they guide assessment, validation, appeals processes

what are the rules of evidence, why are they important, particularly in a validation context

what is an assessment strategy and assessment plan and what are the components of assessment strategies and assessment plans

what is validation, purpose/focus of carrying out validation, different approaches to assessment validation and the critical aspects of validation

different activities and tools for validation and their appropriateness to the purpose/focus

a range of technology and its application to improve or assist in quality assessment

roles and responsibilities of workplace trainers/facilitators, assessors and others - such as vocational experts, workplace supervisors and support persons - in the assessment process, including OHS obligations and duty of care

strategies which ensure the assessment process is transparent and credible, such as:

identifying common pitfalls or errors that



affect judgement

open/ongoing communication between assessors

self-assessment

networking

professional development activities for assessors

ongoing contact with industry

using assessment panels or teams

conflict resolution techniques

motivating others

team and group roles and processes, such as:

monitoring progress against key goals

leading others

encouraging team contribution

legal, organisational and ethical responsibilities associated with the assessment system, including:

maintaining client privacy and confidentiality

providing accurate information

duty of care under common law

meeting environmental standards

the industrial relations system, industry/workplace relations, and industrial awards/enterprise agreements

compliance with AQTF requirements

copyright and privacy laws in terms of electronic technology

security of information

plagiarism

Training Packages/competency standards/other assessment documentation

licensing requirements

compliance requirements of relevant

Commonwealth and state/territory legislation, including OHS, equal employment opportunity, anti-discrimination and state/territory vocational education and training

Code of Practice for assessors

relevant OHS legislation, codes of practice, standards and guidelines relating to providing assessment advice and guidance

**Required skills and attributes include:**

analysis and interpretation skills to:

evaluate assessment methods and tools

access and interpret organisation's standards and values

observation skills to:

assess the effectiveness of the organisation's assessment process

distinguish different types of problems, e.g. technical, people and theoretical

technology skills to:

use appropriate equipment and software to systematically monitor assessment process and practice

distribute information

evaluation skills to:

evaluate validation process and determine and implement improvements

determine sampling methods to be used to access information

systematically evaluate personal or others' practice to improve performance or understanding

research skills to:

determine sampling methods to be used to access information

access and analyse relevant documents

use a range of source documents to access information for validation

problem solving skills to:

combine different modes of thinking such as creative and analytic for practical problem solving

anticipate future implications for own and others' decisions

reliably evaluate alternative solutions

literacy skills to:

read, interpret and evaluate policies and procedures to monitor assessment and recognition processes

prepare required documentation and information for those involved in the assessment process

prepare written reports regarding validation outcomes

leadership skills to:

set direction for others

influence and motivate others

guide and support others

manage conflict

make informed decisions and recommendations

schedule validation processes

gain commitment to validation processes and make recommendations to improve processes

communication skills to:

obtain feedback on validation strategy

explain the purpose of reports and other documentation used in the work area

use language to influence others  
promote and implement quality standards

individual facilitation techniques:  
guide and support assessors one on one

conflict resolution techniques to:  
manage difficulties with and between  
assessors and between assessors/candidate  
and/or assessors/other persons  
address appeals situations and process

team and group skills to:  
conduct group discussions to gather ideas  
recognise different abilities or knowledge  
build relationships and networks with  
colleagues

attributes, including capacity to encourage,  
accept and utilise feedback  
awareness and sensitivity to individual  
difference and culture

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

assessment strategies including quality requirements developed and implemented

documented outcomes of an initiated and facilitated assessment validation process

documented outcomes of an initiated and facilitated assessment appeals process

products and materials organised for validation and appeals processes

analysis of assessment records

risk assessment analysis

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

how opportunities have been provided for assessors to practise and maintain current competence

new and/or extended assessment expertise incorporated into own and others' assessment practice

how support was given to the implementation of quality assurance procedures

leadership, direction and support given to other assessors, including role-modelling of good assessment practice

how improvements were made to assessment and recognition processes

**Resource implications for assessment include:**

operating assessment system with working assessors and defined assessment system in place including documented policies and procedures for assessment, validation and appeals

access to competency standards and other assessment documentation

access to assessment materials and tools

access to suitable assessment venue/equipment

workplace documentation

cost/time considerations

personnel requirements

**The collection of quality evidence requires that:** assessment must address the scope of this unit and reflect all components of the unit i.e. the Elements, Performance Criteria, Range Statement, Evidence 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

assessment meets the rules of evidence

a judgement of competence should only be made when the assessor is confident that the required outcomes of the unit have been achieved and that consistent performance has been demonstrated

**Specific evidence requirements must include:**

demonstrated continuing development of own assessment expertise

providing leadership, direction and support to other assessors, including role-modelling good assessment practice

monitoring the work of assessors and others involved in carrying out assessments

taking responsibility for initiating, organising and facilitating assessment validation and appeals processes

**Integrated assessment means that:**

this unit can be assessed alone or as part of an integrated assessment activity involving relevant units in the **TAA04 Training and Assessment Training Package**. Suggested units include but are not limited to:

**TAACMQ502B Coordinate training and/or assessment arrangements for apprenticeships/ traineeships**

**TAACMQ503B Lead and conduct**

**training and/or assessment evaluations**

**TAACMQ505B Lead a team to foster innovation**

**BSBFLM513A Manage budgets and financial plans within work team**

**BSBFLM514A Manage people**

**BSBRKG502B Manage and monitor business or records systems**

**BSBHRM506A Manage recruitment, selection and induction processes**

**BSBMGT503A Prepare budgets and financial plans**

**BSBWOR502A Ensure team effectiveness.**

## 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.

**Opportunities** include:

networking through assessor networks,  
communities of practice and membership of  
representative organisations  
professional and staff development activities  
attending forums, conferences, workshops  
participating in projects

A range of **assessment methods** includes:

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

**Cognitive skills** may include:

analysis skills  
synthesis skills  
interpretative skills  
planning skills  
evaluation skills  
problem solving skills  
critical thinking skills



**Issues** may include:

knowledge transfer skills

issues and concerns raised by assessors

issues and concerns raised by candidates

issues and concerns raised by others impacted by the assessment process

assessment system policy and procedure issues

organisational/legal/ethical issues

**Ethical standards** include:

following assessment system organisational policies and procedures

ensuring privacy/confidentiality

demonstrating inclusiveness

following AQTF standards relating to assessment

ensuring assessment is guided by the principles of assessment and the rules of evidence

using Code of Practice for Assessors

duty of care under common law

security of information

confidentiality and privacy requirements

**Reflection** may include:

asking critical questions about own ability, for example:

what worked

what did not work

how the session could be improved

reviewing records and journals

critically evaluating personal performance

**Assessment strategies** are documented frameworks to guide and structure assessment arrangements for a vocational education and training qualification and may include:

the identification and interpretation of competency standards for assessment purposes

the identification and interpretation of related assessment documentation for assessment purposes

application of Training Package Assessment

## Guidelines

arrangements for recognition of existing competence (RCC/RPL), including provision of guidance and assistance to candidates in gathering and evaluating own evidence

determination of assessment methods for identified competency standards

selection of assessment tools for identified competency standards

organisational arrangements for assessment, including physical and human resources, roles and responsibilities, team assessment and partnership arrangements (where relevant)

nominated quality assurance mechanisms

identified risk management strategies

### **Relevant persons** may include:

assessors in own organisation and on site

assessors in own organisation operating in different site/s

assessors of another organisation which is in partnership with own organisation

personnel of own/another organisation who provide vocational/subject matter expertise and who work with the assessor/s in team assessments

other personnel who assist the assessor in collecting evidence of candidate/s competence

other personnel impacted by the assessment process

### **Partnership arrangements** refers to:

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

	assessment services on behalf of the RTO.
<b>Leadership skills</b> may include:	techniques for initiating action and directing decision making strategies for presenting a confident, assured and unhesitant manner in response to challenging situations strategies for not accepting unreasonable expectations maintaining ethical practice and beliefs in the face of opposition modelling behavioural and personal presentation standards time management strategies for acknowledging and respecting the attitudes and beliefs of others techniques for promoting active and genuine participation
<b>Client/candidate needs</b> may include:	clear information and advice on the assessment process contextualisation of assessment benchmarks and assessment tools to the assessment environment timeliness and recognition of readiness for assessment assessment tools that support integrated assessment advice, support and guidance from assessor/s on participation and role in the assessment process reasonable adjustment needs cultural sensitivity
<b>Principles of assessment</b> guide the assessment process and must address:	validity reliability flexibility fairness
<b>Assessment methods</b> are the particular techniques used to gather evidence and may	direct observation, for example: real work/real time activities at the

include:

workplace

work activities in a simulated workplace environment

structured activities, for example:

simulation exercises/role-plays

projects

presentations

activity sheets

questioning, for example:

written questions, for example, on a computer

interviews

self-assessment

verbal questioning

questionnaires

oral or written examinations (applicable at higher AQF levels)

portfolios, for example:

collections of work samples compiled by the candidate

product with supporting documentation

historical evidence

journal/log book

information about life experience

review of products, for example:

products as a result of a project

work samples/products

third party feedback, for example:

testimonials/reports from

employers/supervisors

<p><b>Assessment tools</b> contain both the instruments and the procedures for gathering and interpreting evidence in accordance with designated assessment methods and may include:</p>	<ul style="list-style-type: none"> <li>evidence of training</li> <li>authenticated prior achievements</li> <li>interview with employer, supervisor, peer</li> <li>the instruments to be used for gathering evidence such as: <ul style="list-style-type: none"> <li>a profile of acceptable performance measures</li> <li>templates/proformas</li> <li>specific questions or activities</li> <li>evidence/observation checklists</li> <li>checklists for the evaluation of work samples</li> </ul> </li> </ul>
<p><b>Rule of evidence</b> include:</p>	<ul style="list-style-type: none"> <li>candidate self-assessment materials</li> <li>the procedures, information and instructions for the assessor/candidate relating to the use of assessment instruments and the conditions for assessment</li> <li>validity of evidence</li> <li>sufficiency of evidence</li> <li>currency of evidence</li> <li>authenticity of evidence</li> </ul>
<p><b>Assessment system policies and procedures</b> may include but are not limited to:</p>	<ul style="list-style-type: none"> <li>candidate selection</li> <li>rational and purpose of competency-based assessment</li> <li>assessment records/data management/information management</li> <li>recognition of current competency/recognition of prior learning/credit arrangements</li> <li>assessors - needs, qualifications, maintaining currency</li> <li>assessment reporting procedures</li> <li>assessment appeals</li> <li>candidate grievances/complaints</li> <li>validation</li> <li>evaluation/internal audit</li> </ul>

costs/resourcing  
access and equity/reasonable adjustment  
partnership arrangements  
links with human resource or industrial relations systems  
links with overall quality management system

**Organisational/legal/ethical requirements**  
may relate to:

AQTF standards in assessment/registration  
Assessment specifications of Training Packages

state or territory registering body requirements

clauses defining assessment operations in award and enterprise agreements and relevant industrial arrangements

confidentiality and privacy requirements

relevant legislation from all levels of government that affect training and/or assessment operations

occupational health and safety (OHS)

environmental issues

equal opportunity requirements

industrial relations and anti-discrimination

relevant industry codes of practice

reporting procedures for assessment results

certification procedures/requirements

AQF Guidelines

recording and reporting assessment results

maintaining and retrieving assessment information

quality assurance and/or procedures manuals

goals, objectives, plans, systems and processes

organisational policies/guidelines

access and equity principles and practice

ethical standards

collaborative/partnership arrangements  
 OHS policies, procedures and programs  
 quality and continuous improvement  
 processes and standards  
 defined resource parameters

**Individual facilitation techniques** include coaching, mentoring, tutoring matching individuals one on one and may be used to:

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

**Validation** is:

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

**Purpose, focus and context of validation activities** may be:

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

interpret the same evidence similarly  
to determine whether assessment decisions  
reflect the rules of evidence

**Approaches to validation** may include:

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

**Materials and resources for validation**  
may include:

relevant documented assessment strategy  
samples of assessment materials/tools  
copies of relevant competency standards,  
modules, Training Package Assessment  
Guidelines and course assessment  
requirements  
copies of organisational policies and  
procedures on validation  
copies of relevant AQTF standards  
copies of assessment records (in accord with  
confidentiality requirements)  
copies of client/candidate feedback  
determining time/availability for validation  
sessions



	technology requirements
	meeting room/space for conduct of validation
	copies of occupational health and safety policy, procedures and programs
	copy of quality and continuous improvement policies
	copy of equity policy and procedures
<b>Validation documentation</b> may include:	report of validation process
	recommendations from validation process
	copies of materials/resources used in validation process
	version control documentation
<b>Assessment appeals:</b>	is a process whereby the candidate, or other interested party, may dispute the assessment decision and seeks a formal review of the decision
<b>Documentation relevant to the appeals process</b> may include:	candidate's claim for appeal
	documented information given to the candidate outlining assessment system, process and requirements
	records of assessor/meetings with the candidate, discussions and agreements on assessment process
	completed self-assessment tools
	completed assessment tools signed by assessor and/or other persons involved in collecting evidence
	supplementary documentation used as evidence by the candidate
	records of assessment outcomes
	assessor/candidate feedback reports
	records of appeal hearings
	records of appeal outcomes
<b>Panel decision</b> may include:	confirmation of original assessment decision
	change in decision based on evidence presented

reassessment of the candidate

**Unit Sector(s)**

Not applicable.

**Competency Field**

**Assessment**