

# TAEASS401 - Plan assessment activities and processes

## Description:

This unit specifies the competency required to plan and organise the assessment process, including recognition of prior learning (RPL), in a competency-based assessment system. It also includes the development of simple assessment instruments.

## Employability skills:

This unit contains employability skills.

## Application of unit:

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.

This competence is to be applied in the context of an existing assessment strategy which documents the overall framework for assessment.

## Competency Field:

Assessment

TAEASS401 - Plan assessment activities and processes		
Element	Performance Criteria	
1.	<b>Determine assessment approach</b>	
	1.1	Identify candidate/ s and confirm the purposes and context of assessment/ RPL with relevant people in accordance with legal/ organisational/ ethical requirements
	1.2	Identify and access the benchmarks for assessment/ RPL and any specific assessment guidelines
2.	<b>Prepare the assessment plan</b>	
	2.1	Determine the evidence and types of evidence needed to demonstrate competency in accordance with the rules of evidence
	2.2	Select assessment methods which will support the collection of defined evidence, taking into account the context in which the assessment will take place
	2.3	Document all aspects of the assessment plan and confirm with relevant personnel
3.	<b>Develop assessment instruments</b>	
	3.1	Develop simple assessment instruments to meet the needs of the target

	group
<b>3.2</b>	Analyse available assessment instruments for their sustainability for use and modify as required
<b>3.3</b>	Map assessment instruments against until course requirements
<b>3.4</b>	Write clear instructions for the candidate about the use of the instruments
<b>3.5</b>	Trial draft assessment instruments to validate content and applicability and record outcomes

## Skills and Knowledge

### Required knowledge

- ethical and legal requirements of an assessor
- 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.

### 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
- 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
  - evaluate feedback, and determine and implement improvements to processes
- literacy skills to:
  - read and interpret relevant information to design and facilitate assessment and recognition processes
- communication skills to:
  - discuss assessment, including RPL processes with clients and other assessors

- 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.

## Range Statement

<p><i>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.</i></p>	
<p><b>Purpose/ s of assessment/ RPL</b> may include:</p>	<ul style="list-style-type: none"> <li>• recognising current existing competence of candidate/s</li> <li>• determining if competence has been achieved following learning</li> <li>• establishing candidate/s progress towards achievement of competence</li> <li>• determining language, literacy, numeracy needs of candidates/s</li> <li>• certifying competence through a Statement of Attainment</li> <li>• licensing or regulatory requirements</li> </ul>
<p><b>Context of assessment/ RPL</b> may include:</p>	<ul style="list-style-type: none"> <li>• the environment in which the assessment/ RPL will be carried out, including real work/simulation</li> <li>• opportunities for collecting evidence in a number of situations</li> <li>• relationships between competency standards and evidence to support recognition of prior learning</li> <li>• who carries out the assessment/ RPL</li> <li>• relationships between competency standards and work activities in the candidate's workplace</li> <li>• relationships between competency standards and learning activities</li> </ul>
<p><b>Legal/ organisational/ ethical requirements</b> may include:</p>	<ul style="list-style-type: none"> <li>• assessment system policies and procedures assessment strategy requirements</li> <li>• reporting, recording and retrieval systems for assessment, including RPL</li> <li>• quality assurance systems</li> <li>• business and performance plans</li> <li>• access and equity policies and procedures</li> <li>• collaborative/ partnership arrangements</li> <li>• defined resource parameters</li> <li>• mutual recognition arrangements</li> <li>• industrial relations systems and processes, awards/ enterprise agreements</li> <li>• Australian Quality Training Framework (AQTF2007)</li> <li>• registration scope</li> <li>• human resources policies/procedures</li> <li>• legal requirements including anti-discrimination, equal employment, job role/ responsibilities/ conditions</li> <li>• relevant industry codes of practice</li> <li>• confidentiality and privacy requirements</li> <li>• OHS considerations, including: <ul style="list-style-type: none"> <li>○ ensuring OHS requirements are adhered to during the assessment process</li> <li>○ identifying and reporting OHS hazards and concerns to relevant personnel</li> </ul> </li> </ul>
<p><b>Benchmarks for</b></p>	<ul style="list-style-type: none"> <li>• the criterion against which the candidate is assessed or prior</li> </ul>

<b>assessment/ RPL</b> may include:	learning recognised which, may be a competency standard/ unit of competency, assessment criteria of course curricula, performance specifications of an enterprise or industry, or product specifications
<b>Types of evidence</b> may include:	<ul style="list-style-type: none"> <li>• direct</li> <li>• indirect</li> <li>• supplementary</li> </ul>
<b>Rules of evidence</b> ensure that evidence collected is:	<ul style="list-style-type: none"> <li>• valid</li> <li>• sufficient</li> <li>• authentic</li> <li>• reliable</li> </ul>
<b>Assessment methods</b> are the particular techniques used to gather evidence and may include:	<ul style="list-style-type: none"> <li>• direct observation, for example: <ul style="list-style-type: none"> <li>○ real work/ real time activities at the workplace</li> <li>○ work activities in a simulated workplace environment</li> <li>○ structured activities, for example: <ul style="list-style-type: none"> <li>○ simulation exercises/ role-plays</li> <li>○ projects</li> <li>○ presentations</li> <li>○ activity sheets</li> </ul> </li> </ul> </li> <li>• questioning, for example: <ul style="list-style-type: none"> <li>○ written questions, e.g. on a computer</li> <li>○ interviews</li> <li>○ self-assessment</li> <li>○ verbal questioning</li> <li>○ questionnaires</li> <li>○ oral or written examinations (applicable at higher AQF levels)</li> </ul> </li> <li>• portfolios, for example: <ul style="list-style-type: none"> <li>○ collections of work samples compiled by the candidate</li> <li>○ product with supporting documentation</li> <li>○ historical evidence</li> <li>○ journal/ log book</li> <li>○ information about life experience</li> </ul> </li> <li>• review of products, for example: <ul style="list-style-type: none"> <li>○ testimonials/ reports from employers/ supervisors</li> <li>○ evidence of training</li> <li>○ authenticated prior achievements</li> <li>○ interview with employer, supervisor, peer</li> </ul> </li> </ul>
<b>Assessment plan</b> may include:	<ul style="list-style-type: none"> <li>• an overall planning document describing: <ul style="list-style-type: none"> <li>○ <b>what</b> is to be assessed</li> <li>○ <b>when</b> is assessment to take place</li> <li>○ <b>where</b> is assessment to take place</li> <li>○ <b>how</b> is assessment to take place</li> </ul> </li> </ul>
<b>Simple assessment instruments</b> may include:	<ul style="list-style-type: none"> <li>• instruments developed by an assessor as part of formative or summative assessment activities, for example: <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> <li>○ recognition portfolios</li> <li>○ candidate self-assessment materials</li> </ul> </li> <li>• instruments developed elsewhere that have been modified by the assessor for use with a particular client group</li> </ul>

<b>Available assessment instruments</b> may include:	<ul style="list-style-type: none"> <li>commercially available instruments</li> <li>those created by others inside the RTO</li> </ul>
<b>Map assessment</b> means:	<ul style="list-style-type: none"> <li>showing a clear relationship between the evidence and the requirements of the unit</li> </ul>

## Evidence Guide

<i>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.</i>	
<b>Overview of assessment</b>	<p>Assessment must address the scope of this unit and reflect all components of the unit. A range of appropriate assessment methods/evidence gathering techniques must be used to determine competency.</p> <p>A judgement of competency 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.</p>
<b>Critical aspects for assessment and evidence required to demonstrate competency in this unit</b>	<p>Candidates must demonstrate that they can plan and organise the assessment process on a minimum of two occasions. The evidence collected must:</p> <ul style="list-style-type: none"> <li>address the provision of documented assessment plans</li> <li>cover a range of assessment events</li> <li>cater for a number of candidates</li> <li>relate to different competency standards or accredited curricula</li> <li>include an RPL assessment</li> <li>involve the contextualisation of competency standards and the selected assessment tools, where required</li> <li>incorporate consideration of reasonable adjustment strategies</li> <li>include the development of simple assessment instruments for use in the process</li> <li>include organisational arrangements.</li> </ul>
<b>Context of and specific resources for assessment</b>	<p>Evidence must be gathered in the workplace wherever possible. Where no workplace is available, a simulated workplace must be provided. Access to training products such as training packages and accredited course documentation will need to be provided.</p>

## Employability Skills

<b>EMPLOYABILITY SKILLS</b>	<b>FACETS ADDRESSED: Industry/enterprise requirements for this qualification include the following facets:</b>	<b>Code</b>
<b>Communication</b>	1. Interpreting client needs and writing to these	<b>C1</b>
	2. Using a range of communication skills, such as listening, questioning, reading, interpreting and writing documents	<b>C2</b>
	3. Writing hazard and incident reports	<b>C3</b>
	4. Using effective facilitation and interpersonal skills, including verbal and non-verbal language that is sensitive to the needs and differences of others	<b>C4</b>
	5. Mentoring, coaching and tutoring techniques	<b>C5</b>
<b>Teamwork</b>	1. Working with colleagues to compare, review, and evaluate assessment processes and outcomes	<b>T1</b>
	2. Actively participating in assessment validation sessions	<b>T2</b>
	3. Managing work relationships and seeking feedback from colleagues and clients on professional performance	<b>T3</b>

	4. Developing and evaluating with others learning programs customised for individuals or group needs	<b>T4</b>
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<b>Problem solving</b>	1. Identifying hazards and assessing risks in the learning environment	<b>P1</b>
	2. Using time-management skills in designing learning programs	<b>P2</b>
	3. Calculating costs of programs and logistics of delivery, and accessing appropriate resources	<b>P3</b>
	4. Generating a range of options to meet client needs	<b>P4</b>
<b>Initiative and enterprise</b>	1. Interpreting the learning environment and selecting delivery approaches which motivate and engage learners	<b>I1</b>
	2. Monitoring and improving work practices to enhance inclusivity and learning	<b>I2</b>
	3. Being creative to meet clients' training needs	<b>I3</b>
	4. Applying design skills to develop innovative and flexible cost-effective programs	<b>I4</b>
<b>Planning and organising</b>	1. Researching, reading, analysing and interpreting workplace specifications	<b>O1</b>
	2. Planning, prioritising and organising workflow	<b>O2</b>
	3. Interpreting collected evidence and making judgements of competency	<b>O3</b>
	4. Documenting actions plans and hazard reports	<b>O4</b>
	5. Working with clients in developing personal or group learning programs	<b>O5</b>
	6. Organising the human, physical and material resources required for learning and assessment	<b>O6</b>
<b>Self-management</b>	1. Working within policy and organisational frameworks	<b>S1</b>
	2. Managing work and work relationships	<b>S2</b>
	3. Adhering to ethical and legal responsibilities	<b>S3</b>
	4. Taking personal responsibility in the planning, delivery and review of training	<b>S4</b>
	5. Being a role model for inclusiveness and demonstrating professionalism	<b>S5</b>
	6. Examining personal perceptions and attitudes	<b>S6</b>
<b>Learning</b>	1. Undertaking self-evaluation and reflection practices	<b>L1</b>
	2. Researching information and accessing policies and frameworks to maintain currency of skills and knowledge	<b>L2</b>
	3. Promoting a culture of learning in the workplace	<b>L3</b>
	4. Seeking feedback from colleagues	<b>L4</b>
	5. Facilitating individual, group-based and work-based learning	<b>L5</b>
<b>Technology</b>	1. Using technology to enhance outcomes, including online delivery and research using the internet	<b>E1</b>
	2. Using student information management systems to record assessments	<b>E2</b>
	3. Identifying and organising technology and equipment needs prior to training	<b>E3</b>
	4. Using a range of software, including presentation packages	<b>E4</b>