TAEASS401A
Plan assessment activities & processes
Learner Guide

supporting the TAE10 Training and Education Training Package
stockcode: SHEA60
Learner Guide to support TAEASS401A Plan assessment activities and processes

Why has this Learner Guide been developed?
Shea Business Consulting has developed a Learner Guide to support TAEASS401A Plan assessment activities and processes, a core unit of the TAE40110 Certificate IV in Training and Assessment. This unit replaces the unit TAAASS401C Plan and organise assessment that was also a core unit from the previous TAA40104 Certificate IV in Training and Assessment. The two units have not been deemed equivalent in the mapping advice provided in the new TAE10 Training and Education Training Package – two Elements have been removed and a new Element on developing simple assessment instruments has been added. While much of the detail of the previous unit has been removed from the new unit, the Critical Aspects for Assessment in both units are virtually identical.

Strong aspects of this Learner Guide are as follows:
• It contains all the essential information and is fully comprehensive; it encourages the learner to see working through this Guide as a part of a much broader learning experience including interaction with a trainer, practical application in actual assessment planning activity, full understanding of the concepts, all the latest references and definitions.
• There are numerous references to further resources that learners can access and add to their resource kit.
• It is fully up-to-date; there are many references to the AQTF 2010 Essential Conditions and Standards for Registration and other current references.

Who is this Learner Guide for?
This Learner Guide has been developed for assessors/workplace supervisors with assessment planning responsibilities, and trainers/assessors who are responsible for planning assessment (including recognition of prior learning). It is suitable for individuals who have an existing assessment strategy which documents the overall framework for assessment.

You are invited to use the Continuous Improvement Form on page 100 to identify changes that you think would improve this Guide.
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Checklists

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Symbol

The following symbols are used throughout this Guide:

- Star: Important points
- AQTF 2010: Compliance-friendly mapping advice
- Triangle: Useful activities
- Bag: Useful resources
- Pen: Valuable checklists

In the National Quality Council (NQC) report titled *VET Products for the 21ST Century – Final Report (June 2009)*, a recommendation was made to revise the definition of competency as follows:

“Competency is the consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.”


In June 2010, the Ministerial Council for Tertiary Education and Employment (MCTEE) agreed to establish a National Standards Council (NSC) which will replace the NQC. At the time printing, this new Council was not operational, so the NQC has been referenced throughout this resource.
# Acronyms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AAC</td>
<td>Australian Apprenticeships Centre</td>
</tr>
<tr>
<td>ACSF</td>
<td>Australian Core Skills Framework</td>
</tr>
<tr>
<td>ANTA</td>
<td>Australian National Training Authority (function now responsibility of DEEWR)</td>
</tr>
<tr>
<td>AQF</td>
<td>Australian Qualifications Framework</td>
</tr>
<tr>
<td>AQFC</td>
<td>Australian Qualifications Framework Council</td>
</tr>
<tr>
<td>AQTF</td>
<td>Australian Quality Training Framework</td>
</tr>
<tr>
<td>AVETMISS</td>
<td>Australian Vocational Education and Training Management Information and Statistical Standard</td>
</tr>
<tr>
<td>CALD</td>
<td>Culturally and Linguistically Diverse</td>
</tr>
<tr>
<td>DEEWR</td>
<td>Department of Education, Employment and Workplace Relations (formerly DEST)</td>
</tr>
<tr>
<td>DEST</td>
<td>Department of Education, Science and Training (now DEEWR)</td>
</tr>
<tr>
<td>DIAC</td>
<td>Department of Immigration and Citizenship</td>
</tr>
<tr>
<td>IBSA</td>
<td>Innovation and Business Skills Australia</td>
</tr>
<tr>
<td>ISC</td>
<td>Industry Skills Council</td>
</tr>
<tr>
<td>LLN</td>
<td>Language, Literacy and Numeracy</td>
</tr>
<tr>
<td>MCTEE</td>
<td>Ministerial Council for Tertiary Education and Employment</td>
</tr>
<tr>
<td>NARA</td>
<td>National Audit and Registration Agency</td>
</tr>
<tr>
<td>NCVER</td>
<td>National Centre for Vocational Education Research</td>
</tr>
<tr>
<td>NISC</td>
<td>National Industry Skills Committee</td>
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<tr>
<td>NQC</td>
<td>National Quality Council (now NSC)</td>
</tr>
<tr>
<td>NRT</td>
<td>Nationally Recognised Training</td>
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<tr>
<td>NSC</td>
<td>National Standards Council (formerly NQC)</td>
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<td>NSF</td>
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</tr>
<tr>
<td>NTF</td>
<td>National Training Framework (now NSF)</td>
</tr>
<tr>
<td>NTIS</td>
<td>National Training Information Service</td>
</tr>
<tr>
<td>NTS</td>
<td>National Training System</td>
</tr>
<tr>
<td>NTSC</td>
<td>National Training Statistics Committee</td>
</tr>
<tr>
<td>OHS</td>
<td>Occupational Health and Safety</td>
</tr>
<tr>
<td>RCC</td>
<td>Recognition of Current Competency</td>
</tr>
<tr>
<td>RPL</td>
<td>Recognition of Prior Learning</td>
</tr>
<tr>
<td>RTO</td>
<td>Registered Training Organisation</td>
</tr>
<tr>
<td>STA</td>
<td>State/Territory Training Authority</td>
</tr>
<tr>
<td>TAFE</td>
<td>Technical and Further Education</td>
</tr>
<tr>
<td>TVET</td>
<td>Technical and Vocational Education and Training</td>
</tr>
<tr>
<td>VET</td>
<td>Vocational Education and Training</td>
</tr>
<tr>
<td>VETiS</td>
<td>Vocational Education and Training in Schools</td>
</tr>
<tr>
<td>WELL</td>
<td>Workplace English Language and Literacy</td>
</tr>
</tbody>
</table>
The following definitions have been sourced from the AQTF 2010 Users’ Guide to the Essential Conditions and Standards for Initial Registration.

**Apprenticeship/traineeship** – a structured training arrangement for a person employed under an apprenticeship/traineeship training contract (usually involving the person receiving training and being assessed both on and off-the-job).

**Articulation** – the arrangements that facilitate the movement or progression of learners from one qualification to another, or from one education and training sector to another.

**Assessment** – the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard expected in the workplace, as expressed by the relevant endorsed industry/enterprise competency standards of a Training Package or by the learning outcomes of an accredited course.

**Assessment guidelines** – the endorsed component of a Training Package that underpins assessment and sets out the industry’s approach to valid, reliable, flexible and fair assessment.

**Assessment tool** – a tool that specifies the context and conditions for an assessment, the tasks to be administered to the candidate, the evidence to be gathered from the candidate and the evidence criteria used to judge the quality of performance (i.e. the assessment decision making rules). It also includes the administration, recording and reporting requirements.

**Authenticity** – one of the rules of evidence. To accept evidence as authentic, an assessor must be assured that the evidence presented for assessment is the candidate's own work.

**Competency** – the consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.

**Currency** – one of the rules of evidence. In assessment, currency relates to the age of the evidence presented by a candidate to demonstrate that they are still competent. Competency requires demonstration of current performance, so the evidence collected must be from either the present or the very recent past.

**Dimensions of competency** – dimensions are part of the broad concept of competency, which includes all aspects of work performance as represented by task skills, task management skills, contingency management skills and job/role environment skills.

**Fairness** – one of the principles of assessment. Fairness requires consideration of the individual candidate’s needs and characteristics, and any reasonable adjustments that need to be applied to take account of them. It requires clear communication between the assessor and the candidate to ensure that the candidate is fully informed about, understands and is able to participate in, the assessment process, and agrees that the process is appropriate. It also includes an opportunity for the person being assessed to challenge the result of the assessment and to be reassessed if necessary.

**Flexibility** – one of the principles of assessment. To be flexible, assessment should reflect the candidate’s needs; provide for recognition of competencies no matter how, where or when they have been acquired; draw on a range of methods appropriate to the context, competency and the candidate; and support continuous competency development.
Introduction

This Learner Guide supports TAEASS401A Plan assessment activities and processes, a core unit in the TAE40110 Certificate IV in Training and Assessment. This unit of competency describes the skills and knowledge 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.

By working through this Guide, you will learn how to:
- determine an assessment approach
- prepare assessment plans
- develop assessment instruments.

You will particularly need these skills if you are:
1. An assessor/workplace supervisor with assessment planning responsibilities
2. A trainer/assessor responsible for planning assessment (including RPL).

The development of assessment strategies is not addressed in this Guide. If you are required to develop assessment strategies, you will need to consider the core units TAADES501B Design and develop learning strategies and TAAASS501B Lead and coordinate assessment systems and services from the TAA50104 Diploma of Training and Assessment.

However, if you have an existing assessment strategy which documents the overall framework for assessment, then this unit is suitable for you.

What documents do you need?

To successfully work through this Guide, you will need access to the following documents:
- Introduction to the Learner Guides, which has been specifically designed to complement the suite of TAE10 Training and Education Learner Guides
- a copy of TAEASS401A Plan assessment activities and processes, the actual unit of competency you are seeking to demonstrate competence in
- a copy of the TAE10 Training and Education Training Package Assessment Guidelines.

If you have not yet purchased a copy of Introduction to the Learner Guides, see page 82 for details.

The unit TAEASS401A Plan assessment activities and processes and the TAE10 Assessment Guidelines can be accessed from the National Training Information Service (NTIS) at www.ntis.gov.au
What resources do you need?

Your Registered Training Organisation should help you with access to the following:

• a facilitator (to help you work through the Guide)
• an assessor (to assess you against the unit of competency)
• training products (such as Training Packages and accredited course documentation).

You will need access to an assessment environment where you can plan and organise assessment and apply the skills you are developing.

What is a resource kit?

As you work through this Guide, it is a good idea to compile an electronic and/or paper-based resource kit to use for your work and assist with your learning. This kit may include:

• information that you print or bookmark from websites
• resources you download from websites
• newspaper articles about your industry
• specific policies or procedures from your workplace.

What you decide to put in this kit is up to you. Over time it will become a very useful source of information, containing information about current work practice and ideas within your industry.

The resource kit is for your own professional development and is different to the evidence portfolio that you will keep for assessment purposes (although some resources may be included in both).

Where are you heading?

When you reach the end of this Guide, you will need to have planned and organised an assessment process on at least two occasions, and on each occasion you will need to have:

• documented an assessment plan
• covered a range of assessment events
• catered for a number of candidates
• used different competency standards or accredited curricula
• conducted an RPL assessment
• contextualised competency standards and selected assessment tools (where required)
• incorporated reasonable adjustment strategies
• developed simple assessment instruments
• incorporated organisational arrangements.
Where should you go if you need help?

The aim of this Guide is to put you in control of the learning process. However, only a qualified assessor can formally recognise your skills, and only a Registered Training Organisation (RTO) can issue you with a Statement of Attainment when you successfully complete TAEASS401A Plan assessment activities and processes. If at any stage you are not sure of something and want to ask a question, it is well worth talking with your RTO. A simple phone call can make all the difference.

If you have not yet enrolled with an RTO, the National Training Information Service (NTIS) is a great resource that you can use. This is an online database that lists all RTOs, qualifications and units of competency. You will need to find an RTO that has the most recent version of the TAE10 Training and Education Training Package within its scope of registration. It will also help if the RTO is local (or at least based in your own State/Territory).

Finding an RTO:
1. Go to www.ntis.gov.au and click on Training Packages
2. Scroll down and select TAE10 Training and Education Training Package
3. Click on RTO with Scope from the Tools menu on the right hand side
4. Select your State/Territory from the top of the Browse Results area.

You will require Internet access and a basic level of IT (computing) literacy to work through this Guide, as the online environment contains current and up-to-date information on vocational education and training. If you are unable to access the Internet or you require basic computing assistance, you will need to discuss this with your facilitator.
Getting Started Checklist

Before moving to the next section, you should be able to tick all of the following:

- Have you been allocated a facilitator by your RTO to help you work through this Guide?
- Are you clear on the skills and knowledge you will gain by working through this Guide?
- Are you clear on the resources you need to successfully work through this Guide?
- Do you have access to an assessment environment?
- Do you have access to the Internet?
- Have you started a resource kit that you can add to as you work through this Guide?
- Have you purchased a copy of Introduction to the Learner Guides?
- Have you downloaded a copy of TAEASS401A Plan assessment activities and processes?
- Have you downloaded a copy of the TAE10 Training and Education Training Package Assessment Guidelines?
- Have you checked with your facilitator that you have all the resources you need to develop competency in this unit?
Introduction

This section includes 4 Learning Topics that contain background information and activities. You will need to speak to your facilitator to determine which of the topics you need to complete. Some of the activities may be contextualised to suit your needs, and all the activities can be used as evidence for assessment.

The following Learning Topics are covered in this section:
1. What you need to know about assessment
2. Determining an assessment approach
3. Preparing an assessment plan
4. Developing assessment instruments.

Learning Topic 1: What you need to know about assessment

Before you start, there a few things you need to know about assessment. This section has been included to give you a general picture of assessment in the vocational education and training (VET) sector, including:
- critical definitions
- the big picture
- the assessment process
- competency-based assessment
- principles of assessment
- rules of evidence
- the ethical and legal requirements of assessors.

Critical definitions
Assessment…“the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard expected in the workplace, as expressed by the relevant endorsed industry/enterprise competency standards of a Training Package.”

Assessment tool…“a tool that specifies the context and conditions for an assessment, the tasks to be administered to the candidate, the evidence to be gathered from the candidate and the evidence criteria used to judge the quality of performance.”

Competency…“the consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.”

Training Package…“a nationally endorsed, integrated set of competency standards, assessment guidelines and AQF qualifications for a specific industry, industry sector or enterprise.”

Unit of competency…“the specification of industry knowledge and skill and the application of that knowledge and skill to the standard of performance expected in the workplace.”

Source: AQTF 2010 Users’ Guide to the Essential Conditions and Standards for Initial Registration
The big picture
When you plan assessment activities and processes you will be participating in a broader assessment system, and the diagram below shows where you fit within this bigger picture. The left-hand side shows the different concepts relating to assessment, which are reflected in various units of competency from the TAE10 Training and Education Training Package (listed on the right-hand side). If you would like to find out more about these concepts, you can refer to the various Learner Guides that support each unit of competency (see page 82 for details).

The assessment process
When you plan assessment activities and processes, you will also be involved in a series of steps (often termed the assessment cycle) that candidates and assessors move through when undertaking an assessment. The cycle involves preparing, planning, conducting, recording, reporting and reviewing an assessment, and the process is a critical component of the broader assessment system. The diagram overleaf shows the eight steps of the assessment cycle.
Code of Practice for Assessors
The Assessment Guidelines of the TAE10 Training and Education Training Package include a Code of Practice for Assessors that supports professionally responsible and ethical assessment practice in VET. Loosely based on an international code developed by the National Council for Measurement in Education, the Code of Practice for Assessors reinforces the performance outcomes of every assessment unit from the TAE10 Training and Education Training Package.

To meet their responsibilities within the National Skills Framework, assessors are required to adhere to the Code of Practice for Assessors. This code has been provided at Appendix B (see page 92).

Guide for Developing Assessment Tools
In 2009 the National Quality Council (NQC) published a Guide for Developing Assessment Tools, a practical resource for trainers and assessors seeking technical guidance on how to develop and review assessment tools. While it complements the AQTF and is consistent with the TAE10 Training and Education Training Package, the Guide is not intended to be mandatory, exhaustive or definitive. It is merely intended to be aspirational and educative in nature.

This publication would make an excellent addition to your resource kit.
Learning Topic 2: Determining an assessment approach

As part of your planning and organising activities, you will initially need to determine an approach for assessment, and this will involve:

- confirming the purpose and context of assessment
- identifying and accessing the benchmarks for assessment.

**Confirming the purpose and context of assessment**

When you are planning an assessment process, it is important that you understand its purpose and context, and these must be clarified with everyone involved in the process. At the very least, you must discuss and confirm an assessment’s purpose and context with the candidate and any other assessors involved in the assessment process.

*The purpose of assessment*

The purpose of assessment is important for a number of reasons. It will influence your choice of assessment benchmarks, the preparation of the assessment plan and the way in which evidence is to be gathered. More importantly, the purpose of an assessment (and its outcome) will impact the future of each candidate involved in the process. Successful assessment outcomes can result in candidates receiving extended workplace responsibilities and a higher earning capacity. Unsuccessful assessment outcomes can result in candidates being deemed unable to meet their current workplace responsibilities (and therefore needing further training).

Put simply, the *purpose* of an assessment is the reason it is being conducted, and there are a wide variety of reasons why assessments are undertaken, including to:

- recognise the current competence of a candidate
- determine a candidate’s achievement of competence following learning
- establish a candidate’s progress towards the achievement of competence
- determine a candidate’s language, literacy and numeracy needs
- certify a candidate’s competence through a qualification or Statement of Attainment
- satisfy licensing or regulatory requirements.

*The context of assessment*

As with the purpose of assessment, you will need to discuss and confirm the assessment context with everyone involved in the assessment process. Put simply, the *context* of an assessment is:

- the environment in which the assessment is carried out (which will be either a workplace or a simulated environment that replicates the workplace)
- the range of opportunities for gathering evidence in a number of situations
- the relationships between the benchmarks for assessment and evidence to support RPL
- the relationships between the benchmarks for assessment and work activities in the candidate’s workplace
- the relationships between the benchmarks for assessment and learning activities
- who will actually carry out the assessment process.
Accessing the assessment strategy

While you need to ensure your assessments are conducted in accordance with a clearly defined assessment strategy, you are not required to develop an assessment strategy. The development of assessment strategies is addressed in the following core units from the TAA50104 Diploma of Training and Assessment:

- TAADES501B Design and develop learning strategies
- TAAASS501B Lead and coordinate assessment systems and services.

In order to comply with the AQTF 2010 Essential Conditions and Standards for Registration, RTOs must develop assessment strategies (or roadmaps) to guide the assessment of the Training Package qualifications and accredited courses they provide. Each strategy must be clearly defined and informed by effective consultation with industry.

An assessment strategy can be a single consolidated document or a range of documents, and it must show how the requirements of a Training Package qualification or accredited course will be addressed. An assessment strategy should include:

- the benchmarks for assessment
- the evidence requirements
- how recognition of prior learning (RPL) will be provided
- how the needs of candidates will be met (including reasonable adjustment in assessment)
- support staff or resources that may be required to meet the needs of candidates
- advice to assessors about how the assessment will be conducted
- the assessment materials to be used
- the assessment methods to be used (and how these relate to the assessment tools)
- characteristics of the workplace/client group that need to be accommodated in assessment
- facilities and equipment that need to be accessed (and usage agreements for these)
- simulated assessment environments that may need to be used
- the competency requirements of assessors who will undertake the assessment.

Now is a good time to access your RTO’s assessment strategies, as you will need these to guide the preparation of your assessment plans.
Learning Topic 3: Preparing an assessment plan

Having determined your assessment approach, you now need to prepare an assessment plan, and this will involve:

- determining the evidence needed to demonstrate competency
- selecting the assessment methods
- documenting the assessment plan.

This Learning Topic covers Element 2 of TAEASS401A Plan assessment activities and processes (Prepare the assessment plan).

Determining the evidence needed to demonstrate competency

When preparing an assessment plan, you must read and interpret the assessment benchmarks to determine the evidence that needs to be gathered to demonstrate competency against each benchmark. The evidence that you identify must meet the rules of evidence (see page 31).

In competency-based assessment, evidence is the information, materials and products that support a candidate’s claim to demonstrate competence against an assessment benchmark. While there are three main types of evidence, there are many evidence gathering methods (also known as assessment methods), and any combination of these can be used. Assessors and candidates will gather evidence from a range of sources, and it should always be linked to a candidate’s current or future work role. The following diagram shows the different factors that need to be considered when determining the evidence needed to demonstrate competency.
The following checklist provides some questions that you may wish to use to see if your draft assessment instruments meet the *principles of assessment* and *rules of evidence*. When trialling assessment instruments, it is a good idea to consider assessment activities collectively rather than individually.

<table>
<thead>
<tr>
<th>Assessment Benchmark</th>
<th>Draft Instrument meets Trial Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trial Criteria</td>
<td>Yes</td>
</tr>
<tr>
<td><strong>Principles of Assessment</strong></td>
<td></td>
</tr>
<tr>
<td>Validity</td>
<td>Do the assessment activities address all parts of the benchmark?</td>
</tr>
<tr>
<td>Reliability</td>
<td>Do the activities consistently measure what they are supposed to?</td>
</tr>
<tr>
<td></td>
<td>Do the instructions provided to candidates ensure consistent application of the activities?</td>
</tr>
<tr>
<td></td>
<td>Can the activities be used by different assessors in different situations and with different candidates to achieve consistent results?</td>
</tr>
<tr>
<td>Flexibility</td>
<td>Do the activities meet the needs of the candidate and the organisation?</td>
</tr>
<tr>
<td>Fairness</td>
<td>Do the activities meet the needs and characteristics of the candidate?</td>
</tr>
<tr>
<td></td>
<td>Are the activities free of bias and can they be adapted to prevent barriers for individuals with special needs?</td>
</tr>
<tr>
<td><strong>Rules of Evidence</strong></td>
<td></td>
</tr>
<tr>
<td>Validity</td>
<td>Does the evidence address all parts of the benchmark?</td>
</tr>
<tr>
<td>Currency</td>
<td>Is the evidence current?</td>
</tr>
<tr>
<td>Sufficiency</td>
<td>Is there enough evidence to address all parts of the benchmark?</td>
</tr>
<tr>
<td>Authenticity</td>
<td>Is the collected evidence the candidate’s own work?</td>
</tr>
</tbody>
</table>
Learning Topics Checklist

Having reached the end of this Learning Guide, you should be able to tick all of the following:

- Can you describe the following components of the broader assessment system?
  - The ethical and legal requirements of assessors
  - The main features of competency-based assessment
  - The different purposes of assessment and different assessment contexts
  - The interpretation of assessment benchmarks
  - The contextualisation of assessment benchmarks
  - The *principles of assessment* and how they guide the assessment process
  - The purpose, features and different types of evidence
  - The *rules of evidence* and how they guide evidence collection
  - The different types of assessment methods
  - The purpose, relevance and different types of assessment tools

- Can you determine an assessment approach?

- Can you prepare an assessment plan?

- Can you develop simple assessment instruments?

- Have you planned and organised two assessment processes where you:
  - documented an assessment plan?
  - covered a range of assessment events?
  - catered for a number of candidates?
  - used different competency standards or accredited curricula?
  - conducted an RPL assessment?
  - contextualised units of competency and selected assessment tools?
  - incorporated reasonable adjustment strategies?
  - developed simple assessment tools?
  - incorporated organisational arrangements?
Appendix B: Code of Practice for Assessors

The following code of practice (which is included in the Assessment Guidelines of the *TAE10 Training and Education Training Package*) serves three main functions:

- supports professionally responsible and ethical assessment practice
- guides *TAE10* assessors in the responsibilities of their work
- reinforces the performance outcomes of the assessment units in the *TAE10 Training and Education Training Package*.

### Code of Practice for Assessors

- The differing needs and requirements of the candidates, the local enterprises and/or industry are identified and handled with sensitivity.
- Potential forms of conflict of interest in the assessment process and/or outcomes are identified, and appropriate referrals are made (if necessary).
- All forms of harassment are avoided throughout the assessment process and in the review and reporting of assessment outcomes.
- The rights of candidates are protected during and after the assessment process.
- Candidates are made aware of their rights and processes of appeal.
- Personal or interpersonal factors that are irrelevant to the assessment of competence must not influence the assessment outcomes.
- Evidence is verified against the rules of evidence.
- Assessment decisions are based on available evidence that can be produced and verified by another assessor.
- Assessments are conducted within the boundaries of the assessment system policies and procedures.
- Formal agreement is obtained from candidates and the assessor that the assessment was carried out in accordance with agreed procedures.
- Assessment systems and tools are consistent with equal opportunity legislation.
- Candidates are informed of all assessment reporting processes prior to the assessment.
- Candidates are informed of all known potential consequences of assessment decisions, prior to the assessment.
- Confidentiality is maintained regarding assessment decisions/outcomes and records of individual assessment outcomes which identify personal details and are only released with the written permission of the candidate/s.
- Assessment outcomes are used consistently with the purposes explained to candidates.
- Self-assessments are periodically conducted to ensure current competence against *TAE10 Training and Education Training Package* competency standards.
- Professional development opportunities are identified and sought.
- Opportunities for networking amongst assessors are created and maintained.
- Opportunities are created for technical assistance in planning, conducting and reviewing assessment practice and participating in validation.

Source: *TAE10 Training and Education Training Package – Assessment Guidelines* (DEEWR, 2010)
Appendix C: Assessment Plan Template

Assessment plans identify the key steps and actions to be taken during the assessment process, including plans for risks or contingencies. The following Assessment Plan Template is provided as a basic guide only. Feel free to alter it to suit your particular circumstances.

<table>
<thead>
<tr>
<th>Assessment Plan Template</th>
<th>Version 1.0 (August 2010)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidate</td>
<td></td>
</tr>
<tr>
<td>Assessor</td>
<td></td>
</tr>
<tr>
<td>Additional Personnel</td>
<td></td>
</tr>
<tr>
<td>Assessment Benchmark</td>
<td></td>
</tr>
<tr>
<td>Assessment Location</td>
<td></td>
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<tr>
<td>Assessment Purpose</td>
<td></td>
</tr>
<tr>
<td>Assessment Context</td>
<td></td>
</tr>
<tr>
<td>Assessment Methods</td>
<td></td>
</tr>
<tr>
<td>Assessment Tools</td>
<td></td>
</tr>
<tr>
<td>Assessment Materials / Resources</td>
<td></td>
</tr>
<tr>
<td>Required Evidence</td>
<td></td>
</tr>
<tr>
<td>Special Arrangements</td>
<td></td>
</tr>
<tr>
<td>Assessment Timelines</td>
<td></td>
</tr>
<tr>
<td>Reporting Arrangements</td>
<td></td>
</tr>
<tr>
<td>Method</td>
<td>Description</td>
</tr>
<tr>
<td>--------</td>
<td>-------------</td>
</tr>
<tr>
<td>Projects (can also include work-based projects)</td>
<td>The subject is set by the assessor and completed over a period of time. May involve a product (e.g. designing products or problem-solving). The subject can relate to the learners workplace.</td>
</tr>
<tr>
<td>Documents</td>
<td>Assessment based on documentation of prior experiences (e.g. certificates, letter of verification, course information).</td>
</tr>
<tr>
<td>Third party reports</td>
<td>Report from supervisor, manager, customers, suppliers, peers.</td>
</tr>
<tr>
<td>Self-assessments</td>
<td>Self-assessment against Performance Criteria (e.g. outlines of work experience, resume, personal development activities, reflections in diary or journal).</td>
</tr>
<tr>
<td>Training records</td>
<td>Training outcomes mapped to competency standards in the relevant Training Package.</td>
</tr>
<tr>
<td>Portfolios</td>
<td>Collection of material that relates to the evidence requirements (e.g. examples of work, journal entries, designs, workplace documents).</td>
</tr>
</tbody>
</table>
Appendix E: AQTF 2010 Mapping Advice

The following mapping advice has been provided to assist auditors determine that the Learning Topics provided in this Guide fully meet (and are in accordance with) the following standards.

**AQTF 2010 Essential Conditions and Standards for Initial Registration**
Standard 1 The applicant has strategies in place to provide quality training and assessment across all of its operations
Element 1.3 …training and assessment materials to be used by the applicant are consistent with the requirements of the Training Package or accredited course…

**AQTF 2010 Essential Conditions and Standards for Continuing Registration**
Standard 1 The RTO provides quality training and assessment across all of its operations
Element 1.3 …training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course…

<table>
<thead>
<tr>
<th>Learning Topics</th>
<th>TAEASS401A Plan assessment activities and processes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. What you need to know about assessment</td>
<td>Addresses Required Knowledge</td>
</tr>
<tr>
<td>2. Determining an assessment approach</td>
<td>Addresses <strong>Element 1: Determine assessment approach</strong> (and incorporates Required Skills, Required Knowledge and Employability Skills)</td>
</tr>
<tr>
<td>3. Preparing an assessment plan</td>
<td>Addresses <strong>Element 2: Prepare the assessment plan</strong> (and incorporates Required Skills, Required Knowledge and Employability Skills)</td>
</tr>
<tr>
<td>4. Developing assessment instruments</td>
<td>Addresses <strong>Element 3: Develop assessment instruments</strong> (and incorporates Required Skills, Required Knowledge and Employability Skills)</td>
</tr>
</tbody>
</table>