The Unit of Competency and Assessment Requirements for this unit can be downloaded from [www.tga.gov.au.](https://training.gov.au/Training/Details/TAEASS301)

**Activity 2: Assessment plan and record**

**Unit of competency:** TAEASS301 Contribute to assessment **Name of Candidate: A Bloggs**

**Note:** Refer to Unit of Competency and Assessment Requirements for full text of each requirement.

**Evidence-gathering tools:** **PA1**: Performance assessment 1; **PA2**: Performance assessment 2; **PA3**: Performance assessment 3; **KA**: Knowledge assessment

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| **Unit requirement** | **PA1** | **PA2** | **PA3** | **KA** | **Outcome** | **Comment** |
| **Elements and performance criteria** |  |  |  |  |  |  |
| 1. Clarify role and responsibilities in the assessment process |  |  |  |  |  |  |
| 1.1 Confirm assessment purpose | O1 🗶 | O1 ✓ | O1 ✓ |  |  |  |
| 1.2 Confirm assessment benchmarks | O2 🗶 | O2 ✓ | O2 ✓ |  |  |  |
| 1.3 Assessment plan | O3 🗶 | O3 ✓ | O3 ✓ |  |  |  |
| 1.4 Responsibilities | O4 🗶 | O4 ✓ | O4 ✓ |  |  |  |
| 2. Confirm organizational arrangements for evidence gathering |  |  |  |  |  |  |
| 2.1 Organisational policies & procedures | O5 🗶 | O5 ✓ | O5 ✓ |  |  |  |
| 2.2 Clarify assessment tools | O6 ✓ | O6 ✓ | O6 ✓ |  |  |  |
| 2.3 Context & candidate characteristics | O7 ✓ | O7 ✓ | O7 ✓ |  |  |  |
| 2.4 Resource requirements | O8 ✓ | O8 🗶 | O8 ✓ |  |  |  |
| 3. Collect evidence in accordance with the assessment plan |  |  |  |  |  |  |
| 3.1 Brief candidate | O10 🗶 | O10 ✓ | O10 ✓ |  |  |  |
| 3.2 Use assessment tools | O11 ✓ | O11 🗶 | O12 ✓ |  |  |  |
| 4. Record and report findings |  |  |  |  |  |  |
| 4.1 Provide evidence to assessor | O12 🗶 | O12 ✓ | O12 ✓ |  |  |  |
| 4.2 Seek feedback from assessor | O13 ✓ | O13 ✓ | O13 ✓ |  |  |  |
| 4.3 Document improvements | O14 🗶 | O14 ✓ | O14 ✓ |  |  |  |
| **Foundation Skills** |  |  |  |  |  |  |
| Nil, addressed in performance criteria |  |  |  |  |  |  |
| **Performance Evidence** |  |  |  |  |  |  |
| 1 Clarify role (1.4) | O4 🗶 | O4 ✓ | O4 ✓ |  |  |  |
| 2 Clarify assessment plan (1.3, 2.2) | O3 O6 🗶 | O3 O6 ✓ | O3 O6 ✓ |  |  |  |
| 3 Conduct 3 assessment activities (3.2) | O11 ✓ | O11 🗶 | O11 ✓ |  |  |  |
| 4 Report findings x 3 times (4.1, 4.2) | 012 O13 🗶 | 012 O13 ✓ | 012 O13 ✓ |  |  |  |

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| **Knowledge Evidence** |  |  |  |  |  |  |
| 1 Competency-based assessment |  |  |  | Q1 ✓ |  |  |
| 2 Principles of assessment |  |  |  | Q2 ✓ |  |  |
| 3 Rules of evidence |  |  |  | Q3 ✓ |  |  |
| 4 Different purposes of assessment |  |  |  | Q4 ✓ |  |  |
| 5 Diversity of assessment contexts |  |  |  | Q6 ✓ |  |  |
| 6 Different types of evidence |  |  |  | Q7 ✓ |  |  |
| 7 Evidence-gathering methods |  |  |  | Q8 ✓ |  |  |
| 8 Assessment tools & assessment plans |  |  |  | Q9 ✓ |  |  |
| 9 Barriers to evidence-gathering |  |  |  | Q10 ✓ |  |  |
| 10Organisational policies & procedures |  |  |  | Q12 ✓ |  |  |
| **Overall outcome** |  |  |  |  |  |  |

**Organisation: Wilkins Construction and Engineering Pty Ltd**

**PA1: Performance assessment 1** Type of assessment: Final Date:

Unit of competency assessed: Forklift Candidates assessed: 5

Qualified assessor/observer: Bill Smith Evidence-gathering tools used: RTO developed

**PA2: Performance assessment 2** Type of assessment: Progress Date:

Unit of competency assessed: Mobile crane Candidates assessed: 7

Qualified assessor/observer: Bill Smith Evidence-gathering tools used: Purchased

**PA3: Performance assessment 3** Type of assessment: RPL Date:

Unit of competency assessed: Rigging Candidates assessed: 1

Qualified assessor: Sam Wilson Evidence-gathering tools used: WorkSafe Tasks

**KA: Knowledge assessment** Administrator: Bill Smith Date:

**Name of RTO assessor (1.13): Signature: Date:**

**Name of RTO assessor (1.14 & 1.15): Signature: Date:**

**Prerequisite units: 🞏 Competent 🞏 Not yet competent 🞏 Not required**

**Assessment outcome: 🞏 Competent 🞏 Not yet competent Action required:**

**Outcome reported: Date:**

**Activity 2: Assessment plan and record**

**Unit of competency:** TAEASS301 Contribute to assessment **Name of Candidate: B Bloggs**

**Note:** Refer to Unit of Competency and Assessment Requirements for full text of each requirement.

**Evidence-gathering tools:** **PA1**: Performance assessment 1; **PA2**: Performance assessment 2; **PA3**: Performance assessment 3; **KA**: Knowledge assessment

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Unit requirement** | **PA1** | **PA2** | **PA3** | **KA** | **Outcome** | **Comment** |
| **Elements and performance criteria** |  |  |  |  |  |  |
| 1. Clarify role and responsibilities in the assessment process |  |  |  |  |  |  |
| 1.1 Confirm assessment purpose | O1 🗶 | O1 ✓ | O1 ✓ |  |  |  |
| 1.2 Confirm assessment benchmarks | O2 🗶 | O2 ✓ | O2 ✓ |  |  |  |
| 1.3 Assessment plan | O3 🗶 | O3 ✓ | O3 ✓ |  |  |  |
| 1.4 Responsibilities | O4 🗶 | O4 ✓ | O4 ✓ |  |  |  |
| 2. Confirm organizational arrangements for evidence gathering |  |  |  |  |  |  |
| 2.1 Organisational policies & procedures | O5 ✓ | O5 🗶 | O5 ✓ |  |  |  |
| 2.2 Clarify assessment tools | O6 ✓ | O6 ✓ | O6 ✓ |  |  |  |
| 2.3 Context & candidate characteristics | O7 ✓ | O7 ✓ | O7 ✓ |  |  |  |
| 2.4 Resource requirements | O8 ✓ | O8 ✓ | O8 ✓ |  |  |  |
| 3. Collect evidence in accordance with the assessment plan |  |  |  |  |  |  |
| 3.1 Brief candidate | O10 ✓ | O10 ✓ | O10 🗶 |  |  |  |
| 3.2 Use assessment tools | O11 ✓ | O11 ✓ | O12 ✓ |  |  |  |
| 4. Record and report findings |  |  |  |  |  |  |
| 4.1 Provide evidence to assessor | O12 ✓ | O12 ✓ | O12 ✓ |  |  |  |
| 4.2 Seek feedback from assessor | O13 ✓ | O13 ✓ | O13 ✓ |  |  |  |
| 4.3 Document improvements | O14 🗶 | O14 ✓ | O14 ✓ |  |  |  |
| **Foundation Skills** |  |  |  |  |  |  |
| Nil, addressed in performance criteria |  |  |  |  |  |  |
| **Performance Evidence** |  |  |  |  |  |  |
| 1 Clarify role (1.4) | O4 🗶 | O4 ✓ | O4 ✓ |  |  |  |
| 2 Clarify assessment plan (1.3, 2.2) | O3 O6 🗶 | O3 O6 ✓ | O3 O6 ✓ |  |  |  |
| 3 Conduct 3 assessment activities (3.2) | O11 ✓ | O11 ✓ | O11 ✓ |  |  |  |
| 4 Report findings x 3 times (4.1, 4.2) | 012 O13 ✓ | 012 O13 ✓ | 012 O13 ✓ |  |  |  |
|  |  |  |  |  |  |  |
| **Knowledge Evidence** |  |  |  |  |  |  |
| 1 Competency-based assessment |  |  |  | Q1 ✓ |  |  |
| 2 Principles of assessment |  |  |  | Q2 ✓ |  |  |
| 3 Rules of evidence |  |  |  | Q3 🗶 ✓ |  | From Unit XYZ |
| 4 Different purposes of assessment |  |  |  | Q4 ✓ |  |  |
| 5 Diversity of assessment contexts |  |  |  | Q6 ✓ |  |  |
| 6 Different types of evidence |  |  |  | Q7 🗶 ✓ |  | Oral questioning |
| 7 Evidence-gathering methods |  |  |  | Q8 ✓ |  |  |
| 8 Assessment tools & assessment plans |  |  |  | Q9 ✓ |  |  |
| 9 Barriers to evidence-gathering |  |  |  | Q10 ✓ |  |  |
| 10Organisational policies & procedures |  |  |  | Q12 ✓ |  |  |
| **Overall outcome** |  |  |  |  |  |  |

**Organisation: Wilkins Construction and Engineering Pty Ltd**

**PA1: Performance assessment 1** Type of assessment: Final Date:

Unit of competency assessed: Forklift Candidates assessed: 5

Qualified assessor/observer: Bill Smith Evidence-gathering tools used: RTO developed

**PA2: Performance assessment 2** Type of assessment: Progress Date:

Unit of competency assessed: Mobile crane Candidates assessed: 7

Qualified assessor/observer: Bill Smith Evidence-gathering tools used: Purchased

**PA3: Performance assessment 3** Type of assessment: RPL Date:

Unit of competency assessed: Rigging Candidates assessed: 1

Qualified assessor: Sam Wilson Evidence-gathering tools used: WorkSafe Tasks

**KA: Knowledge assessment** Administrator: Bill Smith Date:

**Name of RTO assessor (1.13): Signature: Date:**

**Name of RTO assessor (1.14 & 1.15): Signature: Date:**

**Prerequisite units: 🞏 Competent 🞏 Not yet competent 🞏 Not required**

**Assessment outcome: 🞏 Competent 🞏 Not yet competent Action required:**

**Outcome reported: Date:**

**The benefits of mapping unit requirements to delivery resources**

**and assessment tools.**

The **assessment plan and record** can be used to manage the planning of delivery and assessment, maintain the record of a student’s achievement and ensure valid judgement for a unit of competency. The table serves many functions and contributes to the demonstration of compliance with many of the *Standards for RTOs 2015* criteria by:

1. showing that all the mandatory unit requirements (MUR) have been identified\* (Clause 1.8a);
2. ensuring that each unit of competency is handled separately for validation and assessment judgement where units are clustered together (Clause 1.8b);
3. showing that all MUR are addressed in the learning resources\*\* and sources of evidence (Clauses 1.3c & 1.8b);
4. showing that evidence is gathered for all MUR and how/where it is gathered (Clauese1.8b);
5. showing the correct kind of evidence is being gathered for skills and for knowledge (Clause 1.8b)
6. providing the blueprint for each evidence gathering tool (such as a workplace observation checklist, simulation checklist or knowledge test) (Clause 1.8b);
7. alerting the assessor to any workplace or regulatory requirements (Clause 1.8b);
8. recording evidence gathered for a student across a number of assessments, including supplementary assessments and unprompted evidence (Clause 1.8b);
9. recording the context and timing of evidence gathered (important if a range of contexts/times are required) (Clause 1.8a & 1.8b);
10. demonstrating that sufficient valid evidence is used to make the judgement (Clause 1.8b);
11. showing that all MUR were used in the judgement, including any prerequisite units (Clause 1.8b);
12. showing the judgement signed off by the assessor(s) with assessor, vocational and industry skills (Clauses 1.13, 1.14 & 1.15);
13. informing the student about the learning resources\*\* and assessment arrangements and enabling them to keep their own unofficial record (Clause 5.2b);
14. informing employers and other parties of the role they play in the assessment process (Clauses 1.8b & 2.1);
15. providing the student with competency-based feedback on the outcomes of assessment (Clause 1.8b);
16. showing that the student has acknowledged the record of evidence and the judgement (Clause 1.8b);
17. directing the student to any further learning resources\*\* when deficiencies have been identified (Clauses 1.3c & 1.8b);
18. recording supplementary assessment outcomes (Clause 1.8b);
19. providing a method for recording and showing that RPL is as valid and as rigorous as other assessments (Clauses 1.8a & 1.8b)
20. providing a mechanism to ensure that third-party organisations conduct valid training and assessment on your behalf (Clauses 2.1 & 2.3);
21. providing detailed documentation to support assessment validation (Clauses 1.9 – 1.11); and
22. providing an evidence trail in the event of an appeal or litigation (Clauses 6.2 & 6.3).

*\* MUR include: elements of competency and their performance criteria, foundation skills, performance evidence, knowledge evidence, and any other mandatory requirement from the unit.*

*\*\* A “Learning Resources” column can be added to map onto unit requirements and link to assessment tools.*

If the assessments are also being used to gather evidence for another purpose – such as employer specific feedback, selection for higher education or a Certificate of Secondary Education course – add extra criteria (LHS column) and an extra ‘Result’ column for the other judgement. Blank out any criteria in the competency results column that do not apply to the competency judgement and likewise for the other judgement.

This approach has been used by many RTOs with considerable success, reducing documentation to the bare minimum without compromising rigorous quality standards.