



CANDIDATE GUIDE – UPGRADE KIT

TAE40116 CERTIFICATE IV IN VOCATIONAL EDUCATION
AND TRAINING

Author	Karen Nicholas
Approved By	Cheryl McCarthy
Date Approved	12/7/18
Version Number	3
Change History	1.0 Original Document 2.0 Added third party detail and Step 5 Interview for clarification. 3.0 Removed 2 nd and 3 rd validation fields from template for TAEASS403

TRAINING DISCLAIMER

© Learning Options 2018

The content of this publication is provided for education purposes only. While every attempt has been made to ensure that the material contained in this manual is correct and complete, all comments, material and opinions contained within this manual are intended for training purposes only and no claim is made as to the accuracy or the authenticity of the content.

The information in this publication is provided on the basis that all persons accessing it undertake responsibility for assessing the relevance and accuracy of its content. If using any information provided in this manual, please ensure proper acknowledgement is noted. Learning Options accepts no liability to any person for the information or advice (or the use of such information or advice) which is provided in this publication or incorporated into it by reference. No material contained in this guide is to be used or relied upon as information or advice, or as the basis for formulating business decisions, on any matter or in any circumstances, without first obtaining specific professional advice.

If you believe that information of any kind in this publication is an infringement of copyright, in material in which you either own copyright or are authorised to exercise the rights of a copyright owner, then please advise us by contacting us at courses@learningoptions.com.au

NOTE

This Upgrade kit is specifically designed for use by an individual who has previously been issued with units from:

***TAE40110 Certificate IV in Training and Assessment
and who are seeking to upgrade to
TAE40116 Certificate IV in Training and Assessment.***

*If you have NOT previously obtained units from the
TAE40110 Certificate IV in Training and Assessment
then you should not use this Upgrade Kit.*

If you have earlier versions of qualification including:

*TAA40104 Certificate IV in Training and Assessment or
BSZ40198 Certificate IV in Assessment and Workplace Training,
and you have not completed some or all of*

*TAE40110 Certificate IV in Training and Assessment
then you should NOT use this Upgrade kit.*

Table of Contents

What is Recognition of Prior Learning (RPL)?	5
Why you should apply for RPL.....	5
How to prepare for your RPL assessment.....	5
Confidentiality Concerns	7
About the TAE40116 Certificate IV in Training & Assessment	8
Upgrading from TAE40110 to TAE40116.....	10
Mapping information for holders of TAE40110.....	11
The five steps in the upgrade process	13
STEP 1 – CANDIDATE’S INFORMATION FORM	14
STEP 2– DEMONSTRATE CURRENCY	17
STEP 3– COMPLETE GAP ASSESSMENTS.....	18
TAEASS401 GAP ASSESSMENT.....	18
Assessment Plan Template	25
TAEASS403 GAP ASSESSMENT.....	26
Validation Template	30
STEP 4 – DELIVERY MODE FOR NEW UNITS.....	34
TAELLN411 Address adult language, literacy and numeracy skills	35
STEP 5– INTERVIEW	37
Third Party Report Template	38
Supporting Documentation Template	41
Pre-Submission Review	42

What is Recognition of Prior Learning (RPL)?

RPL is the acknowledgment of skills and knowledge obtained through learning achieved outside the formal education and training system and includes work and life experience including paid and volunteer work and skills attained through leisure pursuits such as musical, mechanical or linguistic abilities. RPL recognises any prior knowledge and experience and measures it against the qualification in which students are enrolled. The individual may not need to complete all of a training program if he or she already possesses some of the competencies taught in the program.

Why you should apply for RPL

If you apply for RPL and your application is successful you could:

- reduce or eliminate the need for any training in skills and knowledge you already have
- save time by not needing to attend any or a reduced number of classes and completing unnecessary work
- save money because you will not have to buy textbooks and other learning material
- complete your qualification in a shorter time
- advance to a higher level qualification in a shorter time if desired.

It is important that you understand the following term to assist you with your RPL application.

Competence

Competence is the demonstration of skills and knowledge that you have gained through life and work experiences as well as any training that you have successfully completed that can be matched against a set of industry performance standards referred to as **units of competency**. These units are grouped together to form a specific industry qualification.

Each unit of competency is divided into elements (a set of activities that lead to an overall achievement or demonstration of competence). Each of these elements is further broken down into a set of performance criteria which give a more detailed description of the skills and knowledge you need to be able to demonstrate.

Matching your evidence against each of the elements/performance criteria will help you to reach your qualification more quickly.

How to prepare for your RPL assessment

In order for your skills to be formally recognised as part of a national qualification, Assessors must make sure that you (the candidate) have the required skills and knowledge to meet the industry standard as specified in the relevant Training Package.

You must be involved in the RPL process so that all the experience, skills and knowledge you have gained over time can be correctly identified and suitably demonstrated. This evidence is gathered and used in recognition of all or some of the units for the qualification you wish to gain.

All assessment requirements will be discussed with you in advance and you will be given the opportunity to ask questions and clarify requirements. Being prepared for the assessment process and knowing what you need to provide can save you valuable time and ensure that the RPL assessment is as simple and stress-free as possible.

Here are some tips to make the application process and interview easier for you.

1. Your Assessor will ask you to talk about your work roles and your employment history.

Bring a copy of your résumé. You might like to write down any work you have done in the past (paid or unpaid) and where this took place.

2. If you have certificates from any training courses you have completed, bring along either certified copies or the originals to the interview with the Assessor and they can make a copy of them.
3. Bring along any other documentation that you think would support your claim that you have done this work over time.

The following is a list of some of the documents you can provide as examples of your work history:

- CV
- certificates/results of assessment
- any licences
- photographs of work undertaken
- diaries/task sheets/job sheets/logbooks
- training records
- membership of relevant professional associations
- references/letters from previous employers/supervisors
- industry awards
- any other documentation that may demonstrate your trade or industry experience or support your claim.

Depending on where you have worked and what the work may have included, you may or may not have documentary evidence. Do not be put off if you do not have documentary evidence, as the Assessor will work with you during the assessment process.

4. Think about who you would consider to be your workplace contact or referee. Is your employer happy to support your aim to become qualified? Would you feel comfortable if the Assessor contacted your current workplace or previous workplace/s to validate your skills and spoke to your supervisor/s or employer/s?
5. You will need to supply the contact details of work referees who can confirm your skills in the industry. Think about who the best person to confirm your skill level would be. Think about

current or recent supervisors or employers who have observed your work and who would be able to confirm your previous work skills and experience. The Assessor will need to contact them.

6. You can speak with your Assessor about other ways you can show your skills for the trade or industry in which you are seeking recognition.

These could include letters from employers, records of any training courses or professional development sessions attended, employers or clients in related industries or government agencies, acknowledgements, workplace forms (as long as there are no confidentiality issues – see below) or any other relevant documents.

Confidentiality Concerns

It is important that sensitive information is not included as part of your supporting documentation. You may need authorisation from your supervisor to use some of your evidence, so it is always best to check the privacy and confidentiality policies of the organisation. Client names should be deleted and financial figures or other personal details should be blacked out and made unidentifiable.

Qualification Overview

This qualification reflects the roles of individuals delivering training and assessment services in the vocational education and training (VET) sector.

This qualification (or the skill sets derived from units of competency within it) is also suitable preparation for those engaged in the delivery of training and assessment of competence in a workplace context, as a component of a structured VET program.

The volume of learning of a Certificate IV in Training and Assessment is typically is typically six months to two years.

Achievement of this qualification by trainers is a requirement of the Standards for Registered Training Organisations (RTOs) 2015.

Entry Requirements

Those entering this program must be able to demonstrate vocational competency in their proposed teaching and assessing area. Vocational competency is defined as broad industry knowledge and experience, and may include, but is not limited to, holding a relevant unit of competency or qualification.

In order to complete the practical requirements of assessment in this qualification, participants accepted into Learning Options programs must have access to a vocational teaching and learning environment where they can work under the supervision of a qualified trainer/assessor to log hours spent in the conduct of assessment and the delivery of training (refer to the assessment tools for specific detail on log requirements).

Total number of units = 10

9 core units as listed below

TAEASS401 Plan assessment activities and processes

TAEASS402 Assess competence

TAEASS403 Participate in assessment validation

TAEASS502 Design and develop assessment tools

TAEDEL401 Plan, organise and deliver group-based learning

TAEDEL402 Plan, organise and facilitate learning in the workplace

TAEDES401 Design and develop learning programs

TAEDES402 Use training packages and accredited courses to meet client needs

TAELLN411 Address adult language, literacy and numeracy skills

Plus 1 elective unit

The elective unit may be:

- from the elective list below
- from any currently endorsed Training Package or accredited course at Certificate IV or above.

The elective unit chosen must be relevant to the work outcome and meet local industry needs.

TAEASS301 Contribute to assessment

TAEDEL301 Provide work skill instruction

TAEDEL403 Coordinate and facilitate distance-based learning

TAEDEL404 Mentor in the workplace

TAEDEL501 Facilitate e-learning

TAELLN412 Access resources and support to address foundation skills

TAELLN413 Integrate foundation skills into vocational training delivery

TAETAS401 Maintain training and assessment information

BSBAUD402 Participate in a quality audit

BSBCMM401 Make a presentation

BSBLED401 Develop teams and individuals

BSBMKG413 Promote products and services

BSBREL402 Build client relationships and business networks

BSBRES401 Analyse and present research information

Upgrading from TAE40110 to TAE40116

It must be stressed that whilst TAE40110 has been superseded, this DOES NOT mean that you need to upgrade now.

Requirements of trainers and assessors operating in the VET sector are defined by the Standards for Registered Training Organisations RTOs 2015. The standards have been updated to align with the new TAE Training and Education Package.

The revisions to the Training and Education TAE Training Package include the addition of the units TAEASS502 Design and develop assessment tools and TAELLN411 Address adult language, literacy and numeracy skills being added to the new TAE40116 Certificate IV in Training and Assessment. At the same time, the core units of the Assessor Skillset were updated to include TAEASS502 Design and develop assessment tools.

The industry requirement is that trainers and assessors who do not hold the following units will have until 1 April 2019 to meet the new requirement.

- TAEASS502 Design and develop assessment tools
- TAELLN411 Address adult language, literacy and numeracy skills

Note that these two units can be combined with an existing TAE40110 to meet the current compliance requirements of the sector. Trainers can also hold a diploma or higher level qualification in adult education to meet the requirements as they currently stand.

Individuals who choose to upgrade now may do so for a number of reasons:

- The RTO they work for has chosen a higher level requirement than the industry standard. This sometimes happens when eg. A government panel arrangement imposes a higher requirement than the standards.
- Continual activity in TAE professional development shows that you are meeting the ongoing PD requirements.
- They may feel that it puts them ahead and gives them a recruitment advantage with RTO's to hold the latest version.

When you compare the two qualifications, you will see that:

- 10 units of competence are required for both qualifications, and the units look quite similar by name. The number of core and elective units are different and in TAE40116 you only have the choice of 1 elective unit.
- 2 new core units are contained in TAE40116 as follows:
 - TAEASS502 Design and develop assessment tools
 - TAELLN411 Address adult language, literacy and numeracy skills

- There are two units that have been deemed NOT equivalent as there are increased assessment requirements as follows:
 - TAEASS401 Plan assessment activities and processes*
 - TAEASS403 Participate in assessment validation*
- There are two new units available as elective choices as follows:
 - TAELLN412 Access resources and support to address foundation skills
 - TAELLN413 Integrate foundation skills into vocational training delivery
- Other units have been identified as Equivalent.

*This kit contains additional tasks.

Mapping information for holders of TAE40110

The Certificate IV in Training & Assessment TAE40110 is NOT an equivalent qualification although there are some equivalent units.

Total number of units = 10

9 core units as listed below

TAE16 Unit	Equivalent Unit	Related but not equivalent
TAEASS401 Plan assessment activities and processes		TAEASS401B Plan assessment activities and processes
TAEASS402 Assess competence	TAEASS402B Assess competence	
TAEASS403 Participate in assessment validation		TAEASS403B Participate in assessment validation
TAEASS502 Design and develop assessment tools	TAEASS502B Design and develop assessment tools	
TAEDEL401 Plan, organise and deliver group-based learning	TAEDEL401A Plan, organise and deliver group-based learning	
TAEDEL402 Plan, organise and facilitate learning in the workplace	TAEDEL402A Plan, organise and facilitate learning in the workplace	
TAEDES401 Design and develop learning programs	TAEDES401A Design and develop learning programs	
TAEDES402 Use training packages and accredited courses to meet client needs	TAEDES402A Use training packages and accredited courses to meet client needs	
TAELLN411 Address adult language, literacy and numeracy skills	TAELLN401A Address adult language, literacy and numeracy	

	skills OR TAE LLN411 Address adult language, literacy and numeracy skills	
--	---	--

Plus 1 elective units

TAE16 Unit	Equivalent Unit	Related but not equivalent
TAEDEL301 Provide work skill instruction	TAEDEL301A Provide work skill instruction	
TAEASS301 Contribute to assessment	TAEASS301A Contribute to assessment	
TAEDEL403 Coordinate and facilitate distance-based learning	TAEDEL403A Coordinate and facilitate distance-based learning	
TAEDEL404 Mentor in the workplace	TAEDEL404A Mentor in the workplace	
TAEDEL501 Facilitate e-learning	TAEDEL501A Facilitate e-learning	
TAE LLN412 Access resources and support to address foundation skills	New Unit	
TAE LLN413 Integrate foundation skills into vocational training delivery	New Unit	
TAETAS401 Maintain training and assessment information	TAETAS401A Maintain training and assessment information	

The five steps in the upgrade process

Once your training organisation has provided you with the information you need to apply for RPL, you need to follow these five steps in order to complete the process.

Step 1 – Complete the candidate information form	Before you enrol you should discuss your circumstances with one of our assessors to ensure that an appropriate assessment plan that includes gap training and assessment has been negotiated and is in place. Complete the form in this guide.
Step 2 – Demonstrate currency	Demonstrate that your skills and knowledge obtained in TAE40110 are still current.
Step 3 – Complete gap assessment	<p>You will need to undertake additional assessment activities for the following units that are contained within this guide, along with a third party report:</p> <ul style="list-style-type: none"> • TAEASS401 Plan assessment activities and processes • TAEASS403 Participate in assessment validation
Step 4 – Units and Delivery Modes for new core units	<p>If you have not already completed these, select how you will complete the additional core units:</p> <ul style="list-style-type: none"> • TAEASS502 Design and develop assessment tools • TAELLN411 Address adult language, literacy and numeracy skills <p>These can be completed via a recognition or delivery pathway and will require a third party report.</p> <ul style="list-style-type: none"> • If completing via RPL you will be required to undertake a self evaluation and collate a portfolio of evidence. You must be able to provide evidence against the elements/performance criteria for the relevant unit/s of competency.
Step 5 – Interview	<p>This step is not always required. It may be necessary if you are applying for RPL for TAEASS502 and TAELLN411.</p> <p>The interview may provide opportunity for demonstration of skills in the workplace, or for presenting and questions related to your portfolio.</p>

After the assessment, your Assessor will advise you of the units of competency you have successfully completed. You will also be advised whether you have gained the full qualification or if gaps have been identified during the recognition process. If you do have skill gaps, these may be addressed through additional training.

STEP 1 – CANDIDATE’S INFORMATION FORM

(You may find it easier to provide the information for the following by attaching a *résumé*.)

Qualification/Industry in which you are seeking recognition	TAE40116 Certificate IV in Training & Assessment	
Personal details		
Surname		
First name/s		
Any other name/s used		
Home address		
Postal address (if different from above)		
Telephone numbers	Home:	Work:
	Mobile:	Fax:
Email address		
Are you a permanent resident of Australia?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Do you need an interpreter to help you with an interview?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Do you have a disability which we should be aware of?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Will you need special aids if you are required to undertake a practical assessment?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Please provide details or special needs so that we can assist you if required.		
Current employment		
Are you currently employed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If 'yes', in which occupation are you currently employed?		
What is your current job title?		

Who is your current employer?		
How long have you worked in this job approximately?	year/s	month/s
Is this occupation in the same industry as the industry in which you are applying for recognition?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If 'no', go to the next page.

If 'yes', list some of the main tasks you perform as part of your work that you think are relevant to your RPL application.

If you have further recent industry experience relevant to your application, please attach another sheet or your current résumé.

Rate your knowledge and skills **against the qualification/industry relevant to your RPL application.**

Industry area: Training and Assessment	Yes	No	Possibly
I think my experience is of a high level.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I think I am skilled to do this job.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I know how to do the work tasks really well.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I can explain my experience and provide documentary evidence.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I have undertaken much of this work without supervision.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Further training			
I have attended training courses in this area of work.	<input type="checkbox"/>	<input type="checkbox"/>	
If 'yes', what training did you undertake? Include date training completed (month, year).			
Is there any further information you wish to give in support of your application?			

--

Professional referees (relevant to work situation if not already listed on your résumé)	
Name	
Position	
Organisation	
Address of organisation	
Phone number	
Mobile number	
Email address	

Name	
Position	
Organisation	
Address of organisation	
Phone number	
Mobile number	
Email address	

Declaration

I declare that the information contained in this application is true and correct and that all documents are genuine.

Candidate's signature		Date	
------------------------------	--	-------------	--

STEP 2– DEMONSTRATE CURRENCY

You will need to provide:

- Original or certified copy of TAE40110 Certificate IV in Training & Assessment qualification
- AND
- Original or certified copy of TAE40110 Certificate IV in Training & Assessment transcript showing the units completed

You then need to show that you have kept your competency current since you obtained your TAE40110. The evidence that can be used to demonstrate this could include:

- Professional development records from your organisation showing the VET PD activities you have engaged in (such as a PD plan and report)*
- Personal professional development summary showing the VET PD activities you have engaged in.*
- Records of attendance at national or state conferences*
- Membership of professional associations*
- Subscriptions to newsletters and circulars*

Whilst there is not a required number of pieces that you must provide, clearly attendance at one workshop 12 months ago would not be sufficient to keep your knowledge updated. However a PD plan will show a range of activities undertaken as would be expected by a trainer/assessor who meets the compliance requirements of an RTO in the sector. This is sufficient. If you have any questions, please discuss this with your assessor.

STEP 3– COMPLETE GAP ASSESSMENTS

You will need to undertake additional assessment activities for the following units that are contained within this guide:

- TAEASS401 Plan assessment activities and processes
- TAEASS403 Participate in assessment validation

TAEASS401 GAP ASSESSMENT

The performance evidence requirements of TAEASS401 are as follows:

The candidate must demonstrate the ability to complete tasks outlined in the elements and performance criteria of this unit, including:

- planning and organising the assessment process on a minimum of five separate occasions
- planning and organising two Recognition of Prior Learning (RPL) assessments (which may be two of the five assessment processes above.)

The evidence requirements for each occasion must include:

- a documented assessment plan
- a different endorsed or accredited unit of competency (or clusters of units of competency) for each of the five occasions
- contextualisation of the unit(s) of competency and the selected assessment tools, where required
- incorporation of reasonable adjustment strategies
- development of suitable assessment instruments for each of the five occasions

following organisational arrangements.

Completion of TAEASS401B required demonstration of:

- planning and organising the assessment process on a minimum of two separate occasions. One of these had to be an RPL context.

There is therefore an evidence gap as follows:

- planning and organising the assessment process on three separate occasions.

These can be completed via a recognition or assessment pathway.

- OPTION 1 - You choose to provide evidence that you have completed the additional evidence requirements during the course of your work and in the last twelve months.

OR

- OPTION 2 - You choose to complete an additional assessment activity in the form of the below project.

TAEASS401 OPTION 1 – PROVIDE EVIDENCE

The following is a suggested list of documentation that you can provide to meet the evidence gap. Note that your evidence is still assessed against the performance criteria of the unit so it needs to be to industry standard.

- Three Assessment Plans (including the design of assessment instruments and including specific consideration of RPL)
- At least one of those assessment plans must focus on RPL
- Each assessment plan needs to be supported by the assessment instruments that you design and used that relate to the assessment plans
- The assessment plans must NOT be those that you submitted for completion of your TAE40110 qualification – they must be in addition and different.
- Each assessment plan must be for one or more units of competence.
- Each assessment plan must have been developed in the last 12 months
- Each assessment plan must be authenticated as your own work by a third party (refer template in this kit).
- The quality of the assessment plan is consistent with the requirements of plans on the following project.

Your assessment plans will be considered against the following criteria:

- ✓ Did you confirm the purpose and context of the assessment with the relevant people with your candidate?
- ✓ Did you identify, access, and interpret the relevant industry requirements and relevant contextualisation guidelines?
- ✓ Does the plan show that you analysed the unit of competence and the assessment requirements and identified evidence needed to demonstrate competence?
- ✓ Did you select a range of methods and instruments to support your plan and the context of assessment?
- ✓ Do the assessment instruments reflect the principles of assessment?
- ✓ Do the assessment instruments reflect the rules of evidence?
- ✓ Do the instruments have clear instructions and procedures for the assessor on their use?
- ✓ Do the instruments have clear instructions and procedures for the candidate on their use?
- ✓ Do the instruments meet expected professional guidelines (naming conventions, version control, logos etc).
- ✓ Do the instruments clearly detail the student and the unit being assessed?
- ✓ Have you shown evidence of drafting and trialling the tools?
- ✓ Have you shown evidence of a final tool based on feedback?

The following worksheet may help you organise your plans

ASSESSMENT PLANS – RECENT EXAMPLE

Identify one recent situation when you developed an assessment plan and submit supporting evidence:

Eg. I work in an RTO that applied for scope for Certificate IV in Leadership and Management and we had to develop assessment plans for all of the units of competence. We divided the task up between four of us and I developed the following:

<p><i>Example:</i></p> <p><i>Assessment Plan 1</i></p>	<p><i>This was developed for BSBCUS402 Address Customer Needs.</i></p> <p><i>The tools included a range of assessment activities supported by assessor tools and marking guides. These were trialled and reviewed</i></p>	<p><i>Attachment 1 - BSBCUS402 Assessment Plan</i></p> <p><i>Attachment 2 - BSBCUS402 Observation assessment tool</i></p> <p><i>Attachment 3 - BSBCUS402 Scenarios</i></p> <p><i>Attachment 4 - BSBCUS402 Project</i></p> <p><i>Attachment 5 - BSBCUS402 Third Party Report</i></p> <p><i>Attachment 2 - BSBCUS402 Mapping</i></p>
--	---	--

<p><i>Assessment Plan 1</i></p>		
<p><i>Assessment Plan 2</i></p>		

Assessment Plan 3

TAEASS401 OPTION 2 – ASSESSMENT PROJECT.

An assessment plan is a plan agreed with your candidate that will define:

- the purpose and focus of the assessment process
- lists those who will be involved in the process
- identifies the units of competency to be assessed
- considers possibilities for clustering units of competency
- identifies Workplace Health & Safety hazards including assessed risks and control strategies
- identifies and addresses any special candidate needs
- outlines assessment milestones and target dates
- outlines the evidence that is to be collected and when.

Develop three (3) additional Assessment Plans for different units of competence (one plan must be an RPL plan); organise the assessments you have planned.

Identify three candidates for assessment and develop an assessment plan for each appropriate to the context for each assessment. You are required to organise the assessment process for those three candidates (note: you are not necessarily required to be the assessor for all three candidates).

Each assessment plan must be for a different endorsed unit of competence (or cluster of) and must contain at least three different assessment methods and their supporting instruments.

Each assessment plan must be for a different candidate.

Each plan must be reviewed for contextualisation.

Each assessment plan should include the following sections:

- Details of the assessment time, date and location
- Names of the assessor and candidate
- Purpose of assessment
- Any relevant instructions the assessor needs to follow such as: WH&S; appeals process; assessment conditions/ environment
- Any relevant instructions about the assessment for the candidate
- Records of any special needs or special considerations taken into account for the assessments
- Any quotes or directives the assessor must explain or discuss with the candidate
- Evidence requirements that meets the rules of evidence
- Details of at least three assessment methods to support the collection of the evidence
- For each assessment method, details of the applicable assessment tool/s (minimum of one tool per method)

- The assessment tools, where applicable, such as checklists, questionnaires, Q&A, procedure instructions, etc
- Mapping of the assessment tools and instruments against unit requirements

Provide evidence that you have organised the three assessment processes.

Assessment Plan Template

Candidate's name:	
Assessor's name:	
Purpose of Assessment:	
Unit of competency:	
Modifications and any specific candidate needs, including any flexibilities or adjustments required.	
Timelines for assessment: <i>(dates of activities, timeframes for tasks to be completed)</i>	
Location and conditions of assessment:	
Assessment methods:	
Evidence requirements and assessment tools and instruments:	
Materials and resources needed for assessment:	
WHS considerations:	
Appeals process:	

The performance evidence requirements of TAEASS403 are as follows:

The candidate must show evidence of the ability to complete tasks outlined in the elements and performance criteria of this unit, including:

- actively participating in a minimum of three validation sessions that address the critical aspects of validation
- clearly identifying the purpose for each validation, and the legal and ethical responsibilities of assessors
- collating and presenting documentation for each validation in a logical manner
- communicating and liaising with relevant people
- providing feedback and interpreting documentation in validation sessions
- recording their contribution to validation findings.

Completion of TAEASS403B required demonstration of:

- actively participate in a minimum of two validation sessions or meetings which, in combination, address the critical aspects of validation using different validation approaches and activities

There is therefore an evidence gap as follow:

- actively participate in a minimum of one validation session.

This can be completed via a recognition or assessment pathway.

- OPTION 1 - You choose to provide evidence that you have completed the additional evidence requirements during the course of your work and in the last twelve months.

OR

- OPTION 2 - You choose to complete an additional assessment activity in the form of the below project.

TAEASS403 OPTION 1 – PROVIDE EVIDENCE

The following is a suggested list of documentation that you can provide to meet the evidence gap. Note that your evidence is still assessed against the performance criteria of the unit so it needs to be to industry standard.

- Validation records of one validation activity for validation of an assessment tool
- The validation activity must NOT be one of those that you submitted for completion of your TAE40110 qualification – it must be in addition and different.
- The validation activity must be for one complete assessment tool covering an entire unit of competence.
- The validation activity must have been completed in the last 12 months
- The validation activity must be authenticated as your own work by a third party (refer template in this kit).
- The quality of the validation activity is consistent with the requirements of activities on the following project.

Your validation activity will be considered against the following criteria:

- ✓ You discussed and confirmed the purpose, context and scope of the validation process within relevant assessment system policies and procedures with the client?
- ✓ You arranged materials for validation activities?
- ✓ You checked all documents used for accuracy and version control?
- ✓ You demonstrated active and appropriate participation in validation sessions and activities?
- ✓ You applied the principles of assessment and rules of evidence during validation sessions and activities?
- ✓ You used appropriate validation checklists that meet industry requirements?
- ✓ You checked the tools to ensure that there were clear decision-making rules and benchmarks, and the tools enable consistent outcomes?
- ✓ You checked the recording mechanisms to ensure that they allow for sufficient information to be recorded?
- ✓ You checked and used assessment mapping tools to help you to determine validity of assessment instruments?
- ✓ You summarised the outcomes of the validation?

The following worksheet may help you organise your plans

VALIDATION ACTIVITIES – RECENT EXAMPLE

Identify one recent situation when you validated an assessment tool and submit supporting evidence :

Eg. I work in an RTO that has scope for Certificate IV in Training and Assessment and we have to validate annually. I was responsible for coordinating the validation activities:

<i>Example:</i> <i>Validation Activity</i> <i>1</i>	<i>The assessment plan and tools for TAEASS502 were validated via internal validation processes</i>	<i>Attachment 1 - TAEASS502 Validation Plan</i> <i>Attachment 2 - TAEASS502 Unit to be validated</i> <i>Attachment 3 - TAEASS502 Communications to team</i> <i>Attachment 4 - TAEASS502 Validation meeting records</i> <i>Attachment 5 - TAEASS502 Validation outcomes report</i>
---	---	---

<i>Validation Activity</i> <i>1</i>		
--	--	--

TAEASS403 OPTION 2 – ASSESSMENT PROJECT.

Participate in one (1) assessment validation session.

This task requires that you participate in a minimum of one validation session.

Access assessment tools and identify appropriate people to participate in a validation meeting to review the tools. You may access assessment tools from your workplace, or work with assessment tools you have developed as part of assessment task 8. Using the *Validation* Template provided, participate in your validation session and complete the template as a record. Ensure you also provide your colleagues with a copy of the original unit of competence.

Using the template will ensure that you:

- Discuss and confirm the validation approach
- Analyse the UOC for assessment
- Consider the rules of evidence
- Consider the principles of assessment
- Check documents for accuracy and version control
- Discuss validation findings
- Agree and record recommendations to improve assessment practice
- Implement changes

Validation Template

Unit Code & Title:

Assessment tool:

Validation meeting participants:

.....

.....

Meeting date:

Brief summary of legal & ethical requirements of validators:

.....

.....

.....

Assessment Activity	Yes/No	Comments
Assessment task instructions and assessment conditions are clearly identified.		
Written information is worded appropriately, spelling and grammar is correct.		
The assessment task/s address the evidence requirement for the competency. The tasks are clearly mapped to the UOC.		
The level of difficulty in the assessment task/s is appropriate to the competency being assessed.		
The assessment tasks serve to gather evidence that satisfy the rules of evidence (valid; sufficient; current; authentic).		
The assessment task/s supports assessment of key competencies and underpinning skills / knowledge requirements.		
The task/s support more than one assessment methodology.		
Evidence guides and/or assessment checklists are available to assist in making the assessment decision.		

The task/s is relevant to a range of contexts such as workplace, traineeship, skills recognition etc.		
The documentation includes relevant version control information.		
The assessment tool and individual instruments include space (and prompts) for the recording required assessment information.		

Principles of Assessment

1. VALIDITY	Yes/No	Comments
a. The assessment task/s are based on realistic workplace activities and contexts.		
b. The evidence relates directly to the units of competence, or learning outcomes, being assessed.		
c. The instrument/s will assess the candidate's ability to meet the level of performance required by the unit(s) of competency.		
d. The assessment task/s have been designed to support holistic and integrated assessment of knowledge, skills and attitudes.		
e. More than one task and source of evidence is used as the basis for judgement, with evidence drawn from a variety of performances over time where practical.		
f. Different sources of evidence of knowledge and skills that underpin the unit of competency will be considered in the assessment.		
2. RELIABILITY	Yes/No	Comments
a. Tools for observing and recording evidence are based on units of competence and evidence requirements.		
b. Clear guidelines are available to ensure that assessors make consistent decisions over time and with different candidates.		

c. The strategies and approach are consistent across assessments		
d. Consistent instructions to candidate/s and procedures for undertaking the assessment are available to all assessors.		
e. Where a unit or units of competency are to be assessed in different situations, they are comparable.		
3. FLEXIBILITY	Yes/No	Comments
a. The assessment approach can be adapted to meet the needs of all candidates, workplaces and/or stakeholders.		
b. The assessment process allows for candidates to have their existing skills, knowledge and abilities recognised towards demonstration of competency.		
c. The assessment strategy adequately covers both on and off the job components of the training.		
d. The assessment strategy is able to be modified for use in a range of delivery contexts including face-to-face and distance assessment, and online/remote.		
4. FAIRNESS	Yes/No	Comments
a. Information provided to candidate/s covers: <ul style="list-style-type: none"> ▪ the assessment method/s, ▪ assessment procedure/s, ▪ the criteria against which they are being assessed, ▪ when and how they will receive feedback, and ▪ the appeals process. 		
b. The RTO has policies, procedures, guidelines and standards in place to ensure that the assessment process is fair and equitable to all candidates.		
c. The RTO has policies, procedures, guidelines and standards in place to support assessors in the consistent application of reasonable adjustment/s where required.		

d. The assessment strategy chosen caters for and supports the language, literacy and numeracy needs of all candidates.		
e. Special needs (eg; geographical, financial, social) of the candidate/s have been considered in the development and conduct of the assessment strategy.		
f. Reasonable adjustment can be made to the assessment strategy to ensure equity for the candidate/s, while maintaining the integrity of the outcomes.		
g. Opportunities for feedback and review of all aspects will be provided to candidates.		

Modification/s required? (*As identified under comments*) **YES** **NO**

Comments

Signatures:

Date:

STEP 4 – DELIVERY MODE FOR NEW UNITS

If you have not already completed these, select how you will complete the additional core units:

- TAEASS502 Design and develop assessment tools
- TAELLN411 Address adult language, literacy and numeracy skills

These can be completed via a recognition or delivery pathway.

- If completing via RPL you will be required to undertake a self evaluation and collate a portfolio of evidence. You must be able to provide evidence against the elements/performance criteria for the relevant unit/s of competency.

You choose to study TAELLN411 Address adult language, literacy and numeracy skills through a blended delivery mode that may include a mix of facilitated workshops and directed learning activities. Note that your TAE40116 cannot be awarded until completion.

OR

Obtain TAELLN411 Address adult language, literacy and numeracy skills through RPL Assessment. You will be forwarded the RPL Kit separately for these units but you can start by taking a look at the self-assessment activity on the following pages.

AND

You choose to study TAEASS502 Design and develop assessment tools through a blended delivery mode that may include a mix of facilitated workshops and directed learning activities. Note that your TAE40116 cannot be awarded until completion.

OR

Obtain TAEASS502 Design and develop assessment tools through RPL Assessment You will be forwarded the RPL Kit separately for these units but you can start by taking a look at the self-assessment activity on the following pages.

Activity 7: Address adult language, literacy and numeracy skills

TAE LLN411 Address adult language, literacy and numeracy skills	Your response	
<p>The following statements have been developed to assist you to respond accurately to this workplace activity. Record your response by circling or highlighting a box in one of the last two columns that you believe best describes your skills, knowledge and experience in the duties described in the following statements.</p>	<p>I have skills, knowledge and experience in this area</p>	<p>I will need more skills, knowledge and experience in this area</p>
<p>1. Determines the LLN skill requirements from the training specification and the LLN skill requirements in the workplace that are essential to performance.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>2. Determines the LLN skills of the learner group using validated tools and other sources and compares the learners LLN requirements to the training specifications, course demands and workplace performance requirements.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>3. Identifies and uses LLN specialist support, training and delivery resources and assessment strategies to support the learners LLN skill development.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>4. Evaluates the learning support provided by seeking feedback from processes used and determines areas for improvement based on the evaluation.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Comments: If necessary add any brief comments in the space below to clarify or support your response.</p>		

Activity 4: Design and develop assessment tools and plan assessment activities and processes

TAE ASS502 Design and develop assessment tools	Your response	
<p>The following statements have been developed to assist you to respond accurately to this workplace activity. Record your response by circling or highlighting a box in one of the last two columns that you believe best describes your skills, knowledge and experience in the duties described in the following statements.</p>	<p>I have skills, knowledge and experience in this area</p>	<p>I will need more skills, knowledge and experience in this area</p>
<p>1. Determines and confirms the focus of the assessment tool by considering information from the target group, the purpose of the assessment tool, advice from the Training Package and the situation in which the assessment is to be conducted.</p>	<input type="checkbox"/>	<input type="checkbox"/>

2. Identifies, accesses and analyses units of competency and assessment requirements and interprets them to identify evidence needed to demonstrate competence that meets the Rules of Evidence.	<input type="checkbox"/>	<input type="checkbox"/>
3. Identifies, accesses and interprets industry requirements or workplace standards for the assessment as well as existing assessment tools to determine if amendments are necessary. Documents any changes required.	<input type="checkbox"/>	<input type="checkbox"/>
4. Selects and develops appropriate assessment instruments to suit the situation in which assessment will take place, allows for integrated assessment, meets the Principles of Assessment and has the capacity to gather evidence to meet the Rules of Evidence.	<input type="checkbox"/>	<input type="checkbox"/>
5. Writes assessment instructions and procedures that clearly instruct the candidate and the assessor regarding the use of the assessment instruments and also provide the opportunity for the candidate to demonstrate current competence through RPL.	<input type="checkbox"/>	<input type="checkbox"/>
6. Maps the assessment instruments against the unit or course requirements.	<input type="checkbox"/>	<input type="checkbox"/>
7. Checks the assessment tool and assessment instruments to ensure they meet the specified requirements and trials them to validate their content and applicability.	<input type="checkbox"/>	<input type="checkbox"/>
8. Makes any amendments to the assessment tool and instruments based on collected feedback from the trial.	<input type="checkbox"/>	<input type="checkbox"/>
9. Develops an assessment plan and gains approval from the relevant stakeholders.	<input type="checkbox"/>	<input type="checkbox"/>
10. Based on the assessment system policies and procedures addresses storage, retrieval, version control needs and files the assessment tool and associated assessment instruments according to the organisation's policies and procedures.	<input type="checkbox"/>	<input type="checkbox"/>
Comments: If necessary add any brief comments in the space below to clarify or support your response.		

STEP 5- INTERVIEW

This step is not always required. It may be necessary if you are applying for RPL for TAEASS502 and TAELLN411.

The interview may provide opportunity for demonstration of skills in the workplace, or for presenting and questions related to your portfolio.

Your assessor will advise you if you are required to attend an interview.

Third Party Report Template

It is recommended that the Assessor verify the third party report with the person who completes the form to confirm the candidate's skills in different contexts over time.

This information may be provided at, and form part of, the interview.

All people who verify your work are to complete the details below to ensure validity. (You may need multiple copies of this form.)

TAE40116 Certificate IV in Training & Assessment			
Candidate's name			
Referee's name <i>(Name of person providing this evidence)</i>			
Position/title			
Workplace			
Workplace address			
Telephone number			
Email address			
This report was completed:	via interview by Assessor	<input type="checkbox"/>	independently by referee <input type="checkbox"/>
Interview conducted by <i>(if applicable)</i>			
Date of interview			
Instructions	<p>As part of the assessment for TAE40116 Certificate IV in Training & Assessment, the candidate requires evidence from a third party (employer, supervisor or equivalent). This evidence will be used to validate the candidate's skills and experience.</p> <p>A letter of support from the organisation validating a range of tasks performed by the candidate over a period of time is useful in identifying competence.</p>		

TAEASS401 Plan assessment activities and processes	Yes	No
I am aware of the content of the units of competence on which I am being asked to comment and their workplace application.	<input type="checkbox"/>	<input type="checkbox"/>
I have reviewed the evidence portfolio provided by the candidate.	<input type="checkbox"/>	<input type="checkbox"/>
I agree that the evidence identified and provided by the candidate is a fair reflection of the work activities they are required to complete in the workplace, as relevant to their job/role.	<input type="checkbox"/>	<input type="checkbox"/>
I confirm that the evidence identified and provided by the candidate is their own work (or they have accurately represented their role in the production of that work).	<input type="checkbox"/>	<input type="checkbox"/>
I confirm that the evidence identified and provided by the candidate is a fair representation of the breadth and scope of their skills (ie. The evidence is indicative of a competent standard of overall performance over a period of time).	<input type="checkbox"/>	<input type="checkbox"/>
TAEASS403 Participate in assessment validation	Yes	No
I am aware of the content of the units of competence on which I am being asked to comment and their workplace application.	<input type="checkbox"/>	<input type="checkbox"/>
I have reviewed the evidence portfolio provided by the candidate.	<input type="checkbox"/>	<input type="checkbox"/>
I agree that the evidence identified and provided by the candidate is a fair reflection of the work activities they are required to complete in the workplace, as relevant to their job/role.	<input type="checkbox"/>	<input type="checkbox"/>
I confirm that the evidence identified and provided by the candidate is their own work (or they have accurately represented their role in the production of that work).	<input type="checkbox"/>	<input type="checkbox"/>
I confirm that the evidence identified and provided by the candidate is a fair representation of the breadth and scope of their skills (ie. The evidence is indicative of a competent standard of overall performance over a period of time).	<input type="checkbox"/>	<input type="checkbox"/>
TAEASS502 Design and develop assessment tools	Yes	No
I am aware of the content of the units of competence on which I am being asked to comment and their workplace application.	<input type="checkbox"/>	<input type="checkbox"/>

I have reviewed the evidence portfolio provided by the candidate.	<input type="checkbox"/>	<input type="checkbox"/>
I agree that the evidence identified and provided by the candidate is a fair reflection of the work activities they are required to complete in the workplace, as relevant to their job/role.	<input type="checkbox"/>	<input type="checkbox"/>
I confirm that the evidence identified and provided by the candidate is their own work (or they have accurately represented their role in the production of that work).	<input type="checkbox"/>	<input type="checkbox"/>
I confirm that the evidence identified and provided by the candidate is a fair representation of the breadth and scope of their skills (ie. The evidence is indicative of a competent standard of overall performance over a period of time).	<input type="checkbox"/>	<input type="checkbox"/>
TAE40116 Address adult language, literacy and numeracy skills	Yes	No
I am aware of the content of the units of competence on which I am being asked to comment and their workplace application.	<input type="checkbox"/>	<input type="checkbox"/>
I have reviewed the evidence portfolio provided by the candidate.	<input type="checkbox"/>	<input type="checkbox"/>
I agree that the evidence identified and provided by the candidate is a fair reflection of the work activities they are required to complete in the workplace, as relevant to their job/role.	<input type="checkbox"/>	<input type="checkbox"/>
I confirm that the evidence identified and provided by the candidate is their own work (or they have accurately represented their role in the production of that work).	<input type="checkbox"/>	<input type="checkbox"/>
I confirm that the evidence identified and provided by the candidate is a fair representation of the breadth and scope of their skills (ie. The evidence is indicative of a competent standard of overall performance over a period of time).	<input type="checkbox"/>	<input type="checkbox"/>

If you would like further information or would like to discuss any of the above, I can be contacted on _____ (insert phone number).

Yours sincerely

Signature: _____ Date: _____

Name: _____

Supporting Documentation Template

Candidate's name:	
TAE40116 Certificate IV in Training & Assessment required documentary evidence	Document number
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
11.	
12.	
13.	
14.	
15.	
16.	

Pre-Submission Review

Check that your application contains

- Candidate information form
- Certified qualification and transcript for TAE40110
- Currency Evidence
- Gap Assessment Tasks for TAEASS401 and TAEASS403
- TAELLN411 Unit selected delivery or assessment method nominated
- TAEASS502 Unit selected delivery or assessment method nominated
- Third party statement (for TAEASS401, TAEASS403, TAELLN411, TAEASS502 only)
- Completed list of numbered supporting documentation