

Learner Guide

TAEASS413

**Participate in
assessment
validation**





Edition 1

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We celebrate the stories, culture and traditions of Aboriginal and Torres Strait Islander Elders of all communities who also work, study and live on this land.



About this Learner Guide

This Learner Guide covers the following units of competency:

TAEASS413 Participate in assessment validation

Using this Learner Guide

Look for the following throughout this Learner Guide



Activity 1A

Learning Activities

A range of different learning activities are provided throughout this Learner Guide. You may be required to conduct your own research, interpret information, practice something in your own time or reflect on your own experiences and opinions on a topic. You may be asked to provide other students with feedback. It is suggested that you take time to write down your responses to the learning activities.

Chapter 1 Review Questions

At the end of each chapter you will find a series of review questions which will help to assess your knowledge of the content from that chapter before you move onto the next.



QR Codes

<https://scnv.io/b58a>

QR codes and Watch boxes are used throughout to aid in your streamlined use of this Learner Guide.

To use the QR codes, download a QR reader on your smart device from the app store on your device.

Simply scan the QR code by using the camera on your device. The media will be shown on your device. If it is a Watch box it will be a video on YouTube. Other media may include a website, or PDF or so on.

"Learn More" appears throughout, to provide additional information on a topic.



LEARN MORE

Example of the title for the link or article to read for more information:

<https://scnv.io/b58a>



Icons and Information Boxes

You will find the following icons and call out boxes throughout this Learner Guide.



THINK

Encouraging you to think about a topic or idea further.



CASE STUDY

A scenario that puts the content into its practical application and a real life situation. The situation doesn't necessarily have to be based on a real example, but the case study will help you bring life to the content.



EXAMPLE

An example that helps you put the content into context.



NOTE

A tip or useful information that may be particularly important to remember.



WEBSITE

A link to a website that provides additional useful information.



WATCH

A link to a video to watch online with the duration eg <https://scnv.io/b58a>



KEY POINTS

Key points to remember.



READ

Additional reading such as a link to a PDF or relevant website, research article, legislation.



RESOURCE

A useful resource that you may wish to save for your future reference such as a template or guide.

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Chapter 1

Validation

Validation is an integral part of a training provider's quality control systems. Training providers should be continuously striving to improve their assessment processes and outcomes. Assessment validation, which is a targeted quality-review process, assists providers in this endeavour by identifying future improvements that can or should be made. There are different purposes for conducting validation, with varying approaches taken.

By the end of this chapter, you will understand:

- ✓ the different purposes and contexts of validation
- ✓ the benefits of validating resources
- ✓ validation approaches
- ✓ regulations and rulings around planning for validation
- ✓ validation panel requirements.





1.1 What Is Assessment Validation in VET?

Validation is the quality review of the assessment process. Validation involves checking that the assessment tool/s produce/s valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the training package or VET [vocational education and training] accredited courses are met. It includes reviewing a statistically valid sample of the assessments and making recommendations for future improvements to the assessment tool, process and/or outcomes and acting upon such recommendations.

Standards for Registered Training Organisations (RTOs) 2015

1.2 Purpose and Benefits of Validation

The main purpose of assessment validation is to ensure that, upon completion of their course, candidates are competent in the requirements of the units of competency that make up their qualification or skill set.

Compliance

Validation is a requirement of the Standards for Registered Training Organisations (RTOs) 2015 (the Standards). Therefore, RTOs must have records of validation schedules and validation outcomes to submit as evidence for audit.

Validation requirements are embedded within Standard 1:

The RTO's training and assessment strategies [TASs] and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses.

The compliance obligations of validation are detailed in clauses 1.9, 1.10 and 1.11 of the Standards. Effective validation can also help to ensure compliance across other obligations.

Quality Assurance

Training providers that undertake productive validation sessions demonstrate their commitment towards continuous improvement (CI) of the quality of their assessment products, processes and judgments.

Improvement Identification

Training and compliance managers may think their processes and resources are of a high standard, but when a group of internal and/or external assessors review the RTO's processes and systems, they may find issues that have not been previously noticed or may not have been thought of as an issue until seeing actual samples of student work produced by the assessment.

Quality Assessment Products

Training providers have an obligation to develop and conduct assessments that are based on real-life, industry-relevant activities and processes. If they do not do this, a training provider can become known as an organisation that delivers poor-quality training and assessment – with candidates struggling to find job security, or even complaints being made about the provider, initiating an unwanted, additional audit by the regulator.

Making Identified Changes

It is great to have a validation panel session to identify improvements to be made, but if these identified improvements are not followed through, it is a waste of valuable time and resources. Robust validation procedures will ensure that any identified improvements will be actioned with changes being made by the appropriate persons within the organisation and followed up in corresponding review processes.

Professional Development for RTO Teams

Validation will often identify whether any specific staff need further training or professional development – for example, an RTO may have its own internal assessment writing team. The outcomes of assessment validation may identify issues with a certain batch of assessments written by one person. Therefore, this person will more than likely need some skills development. Sometimes, validation may indicate that a particular assessor's judgments are not always valid, and the assessor needs further development and guidance.

Networking Opportunities

Validating with both internal and external assessors, as well as subject matter experts (SMEs), brings along with it the valuable opportunity to network with other trainers and assessors that share common interests and goals. Different ideas and perspectives often result in robust and productive conversations.

Assessor Confidence and Consistency

The impact of high-quality assessments is far-reaching. Not only will candidates display their course confidence in their skills and knowledge, but assessors will also be confident that their judgments are valid and consistent. No matter who assesses that particular unit or qualification, the judgment will be the same and the same documentation will be used and filled out the same way.

To summarise, validation is a process of continuous improvement – it ensures that an RTO's quality of assessment processes and products remains high, and that the assessment judgments of its assessors are valid.



Note

As a potential or new trainer or assessor in VET, participating in validation panel sessions early on in your career is an invaluable approach to mentoring and ensuring your ongoing successes in understanding and confidently utilising all of the resources of the RTO's assessment system.



Watch

The following video outlines benefits of effective assessment validation in greater detail and explains what they might mean for you and your students:



<https://scnv.io/cAWK> 



Case study

Scheduling Validation Sessions

QualityEd, an RTO, delivers the Certificate II in Retail Services to a number of large businesses on-site through different retail settings.

The assessment instruments used may differ from one client to another, or in the way they are administered at different sites. To make sure that there is a consistent interpretation of the Standards, and that the instruments are valid and reliable across sites, QualityEd conducts validation sessions where the assessment strategies, tools, instruments and processes are all validated. During the validation sessions, assessor judgments are also validated.

This ensures the assessment methods, tools, instruments and processes are adequately addressing the principles of assessment and rules of evidence, and that assessment is consistent even though delivery sites are different and instruments may vary.

1.3 Validation Approaches

The Standards for RTOs require validation to be undertaken in a systematic way.

There are a number of different approaches to validation that may be taken. The approach taken for validation will depend on:



Internal Approach

Validation is conducted within the RTO, utilising its own resources. Assessors within the organisation meet to discuss the validity of assessment methods, tools, procedures and decisions. In this instance, at least one of the assessors must not have been involved in delivering training and assessment of that unit to the candidate group – this meets the Australian Skills Quality Authority (ASQA) requirement for an external party being involved. There is more about the validation panel requirements in section 1.6.



External Approach

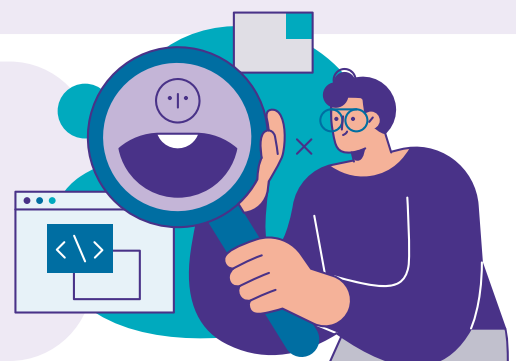
Assessor partnerships are often formed between assessors from one or more RTOs that may have the same, or similar, training products on their scope of registration. In an assessor partnership, assessment tools, instruments and outcomes will be shared within the group of assessors.

The partnership may involve an informal process to:

- share and discuss assessment tools, processes and outcomes
- provide mutual support and advice in resolving any problems and/or issues
- validate each other's judgments of candidate performance against the unit(s) of competency and/or decision-making rules specified within the assessment tools.

Independent Validation

An RTO may engage experienced assessors from outside its organisation to conduct independent validation. This approach provides an independent and unbiased view and uses the skills and experience of experienced validators.





Note

Independent validation is compulsory for providers applying to add any product from the Training and Education (TAE) Training Package to their scope of registration.

Standard 1, Clause 1.25: *To deliver any AQF [Australian Qualifications Framework] qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation). ...*

For the purposes of Clause 1.25, independent validation of AQF qualifications or the assessor skill set from the Training and Education Training Package (or its successor) must be conducted by one or more persons who collectively have:

- a) current knowledge and skills in vocational teaching and learning; and*
- a) the training and assessment qualification or assessor skill set at least to the level being validated.*



Definition

As stated in the Standards:

Independent validation means, for the purposes of Clause 1.25, that the validation is carried out by a validator or validators who:

- are not employed or subcontracted by the RTO to provide training and assessment
- have no other involvement or interest in the operations of the RTO.



Case study

Benefits of Networking for Validation

QualityEd has many training offices and locations Australia-wide. One of them is a small training office in regional Victoria, with only two full-time staff and a number of contractors and sessional trainers. This location is quite isolated, limiting professional contact with other assessors. Validation processes are therefore very important to ensuring this branch of QualityEd keeps in touch with industry standards.

The directors of QualityEd have formed a partnership with the local public TAFE (technical and further education institute) and the shire council of the region, which is also an RTO. The staff of QualityEd regional office meet four times a year with this local network to share professional development activities and validation processes.

At each meeting, representatives of each provider present two assessment tools and samples of the evidence gathered to discuss with colleagues.

Louise, the training manager of the regional branch invites one contractor or sessional assessor to accompany her to each meeting so that all QualityEd assessors can participate in the process over time.

Before the session, staff get together to decide on what samples to put into the process. All assessors get a chance to contribute assessment tools and complete an informal internal site moderation exercise together. They select samples around which there is lack of internal agreement.





Case study

External Approach to Validation

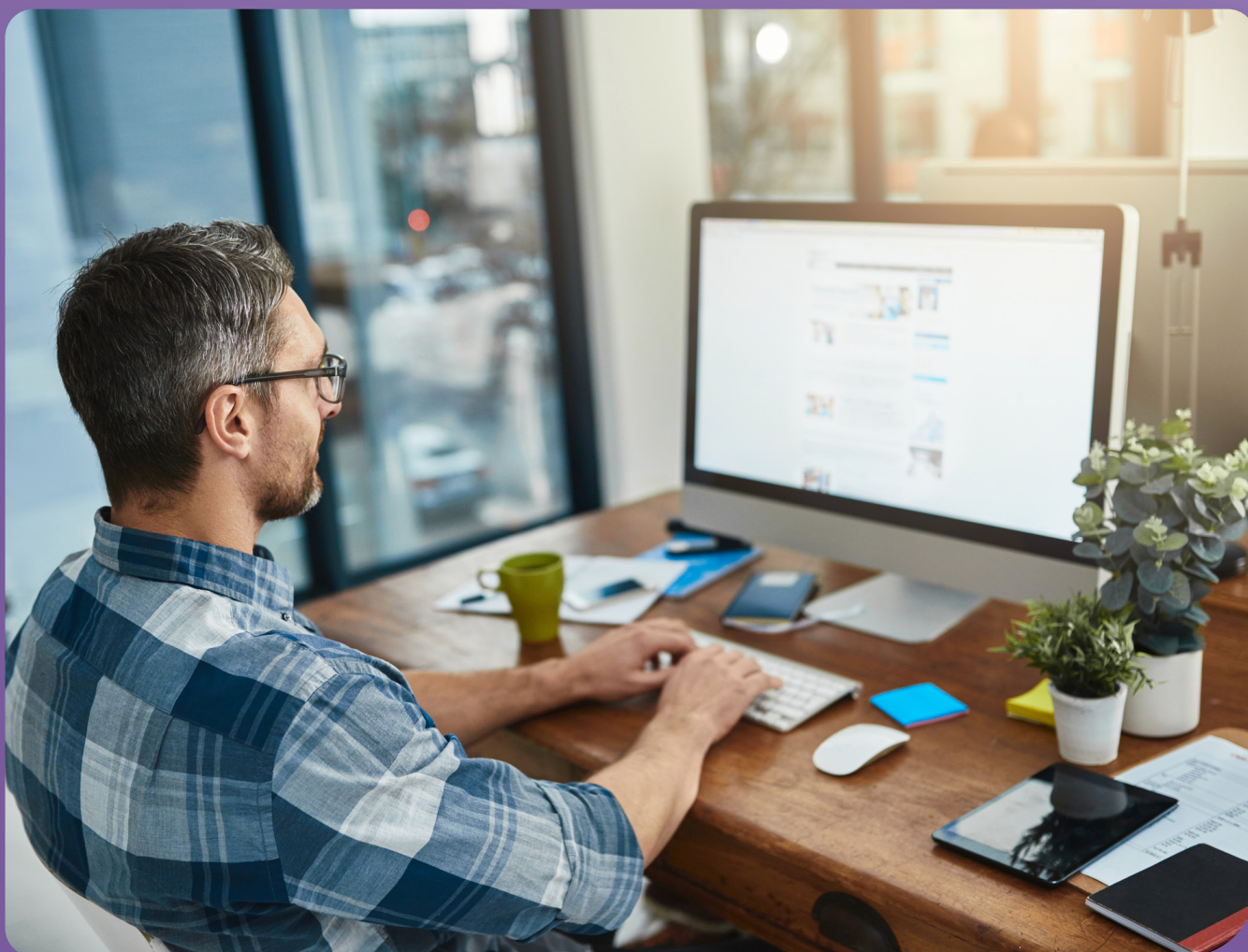
Jackson, the training manager for one of QualityEd's city campuses, is based in Sydney. He is responsible for the RTO's compliance with the Standards, which includes CI processes.

QualityEd has adopted an external validation approach. Jackson has invited a number of training and assessment experts working in other RTOs and from the retail and property services industry skills council (ISC) to form a validation panel. A meeting of the panel is scheduled next week.

He has asked the trainers and assessors in all the company's branch offices to provide two assessment tasks for Certificate II in Retail Services – one used in recognition of prior learning (RPL) and the other a checklist of workplace observation for a cluster of units around point-of-sale and money transactions.

One of the trainers needs to prepare materials and provide all the contextual information so that Jackson can present it. Jackson has sent the trainer a pro forma describing how he needs the materials prepared for the meeting, including clear instructions on how to protect the privacy of QualityEd's assessors, writers and candidates (by blacking out these details on a hard copy, and then making photocopies).

Panellists will have a copy of QualityEd's Validation Policy and Procedure to review before the meeting to ensure they are practising appropriate conduct.



1.4 Pre-assessment and Post-Assessment Validations

Not all validations are undertaken for the same reason.

Validation can be conducted at two different stages: upon receipt or development of new assessment tools, or after assessment judgments have been made. These two stages are known as pre-assessment validation and post-assessment validation.



Pre-Assessment Validation

Pre-assessment validation is where an assessment tool is validated before it is first used with candidates. The tool being reviewed in the validation session may have been recently developed in-house, redeveloped or purchased from a commercially available assessment documentation provider.

By reviewing a set of assessment documents before using them to assess candidates for the first time, the RTO can be assured that the assessment:

- covers the unit sufficiently
- will take place in the right context and settings
- will gather the right types and quality of evidence.



Post-Assessment Validation

Post-assessment validation:

- occurs after assessment is finalised
- remains a requirement of the Standards
- retrospectively reviews an assessment system and practices to make future improvements
- requires a structure to ensure the review process is successful
- includes a detailed plan of the resources to be validated along with the timeline and the list of participants
- uses a particular sample size.

Policy and procedure include how feedback will be implemented and how actions will take place.



Moderation

In VET, validation and moderation are both useful processes in the promotion and enhancement of quality assessment practices.

The requirement in the Standards to undertake validation of assessment practices and judgements does not impact your ability to also undertake moderation activities, or any other process aimed at increasing quality of assessment. - **ASQA**

Moderation is a process of comparing assessment judgments across different variables (e.g. different assessors or different assessment locations). The moderation process checks the reliability of individual assessors by comparing their assessment ratings against requirements, or by examining ratings that are contested or borderline. This leads to discussion about the quality of the instructions and decision-making rules attached to assessment tasks. Moderation may lead to changes in the assessment tool, for example, the instructions or recommendations about the practice of individual assessors, and putting in place a process to align these.

Moderation:

- is not a regulatory requirement but supports meeting compliance obligations of clauses 1.8 and 3.1 in the Standards
- is a quality control process conducted before assessments are finalised
- helps providers conduct fair, flexible, valid and reliable assessments
- ensures agreement that the assessment tools, instructions and processes meet the requirements of the training package or accredited course.

LEARN MORE

Explore the link below to learn more about assessment validation and ways to improve your assessment validation:

<https://scnv.io/w6Ab>



Watch

The following video discusses the difference between validation and moderation:



<https://scnv.io/3cBX>



Activity 1A

Interviewing a Trainer – Validation Experience

Find a mentor in VET who has experience in training and assessing. Ask them about their involvement in past validation sessions with either their current or previous RTO. Ask them about how the validation was conducted, for example:

1. Was it face to face or online?
2. How many people were involved?
3. Were they mostly trainers?
4. What was being validated? Was it pre-assessment materials or post-assessment evidence from candidates work that had been marked?
5. What did you (the mentor) get out of the session(s)?



1.5 What and When to Validate

The introduction of the Standards in 2015 saw a change for training providers with regard to how and when they should conduct their assessment validations. Rather than leaving it up to RTOs to determine what they should validate and when, the Standards mean that RTOs must introduce and implement a prescribed validation schedule.

RTOs are mandatorily required to schedule validation sessions for all training products on their scope of registration. This includes all qualifications, skill sets, units of competency, accredited courses and explicit units of competency. This leaves it up to the RTO to set up, implement and regularly maintain a structured validation schedule. This validation schedule may be called upon at any time by the VET regulators, including during scheduled audits.

This schedule must be a five-year plan that includes each training product being validated within the five-year period.



The guidelines about what and when to validate are prescribed in Clause 1.10 of the Standards:

Each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five-year cycle, taking into account the relative risks of all of the training products on the RTO's scope of registration, including those risks identified by the VET Regulator.

The training provider must have a validation policy and procedure. This may be part of its larger assessment policy and procedures or it may be separate.



Read

Access a copy of QualityEd's
TA6 Assessment
Validation Policy and
Procedure.



<https://scnv.io/jADF>

The policy and procedure outline how each process aligns with the Standards, your role and responsibilities as a trainer and assessor in validation activities, as well as reporting and recording procedures.



Think

While the Standards set a five-year requirement, RTOs can still choose to conduct validation more often. Validating regularly is important if an RTO is delivering training products considered to be high risk.

Risk in Training Products

In relation to training products, there are two risks mentioned in Clause 1.10 of Standard 1:

- relative risks
- risks identified by the regulator(s).

*Relative risks** include:

- high volume or bulk course enrolments
- state/federal-funded courses
- improperly marketed programs where the public are sold courses they cannot possibly complete
- potential for financial impact on the public
- VET delivered in secondary schools
- inexperienced or unqualified trainers and/or assessors.

*Risks identified by the regulator(s)** can change from year to year but in the past have been identified as courses that cover:

- first-aid treatments
- physical manipulation
- penetration of the skin
- possible invasive treatments
- risk of infection
- serious contraindications
- treatments dealing with, or that may impact on, mental or emotional health of a client
- working in a dangerous or hazardous environment working with disabilities, aged care and children.

**These lists are not definitive, with many industry sectors regulated under specific legislation and applicable licences. Training providers are responsible for meeting any and all additional industry licensing competency requirements.*



1.6 Assembling a Validation Panel

The ideal validation panel will be comprised of a mix from the following human resources:



To aid in the determination of a compliant validation panel that will meet the minimum requirements, guidelines are prescribed in Clause 1.11 of the Standards:

For the purposes of clause 1.9, systematic validation of an RTO's assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:

- i. vocational competencies and current industry skills relevant to the assessment being validated;*
- ii. current knowledge and skills in vocational teaching and learning; and*
- iii. the training and assessment credential specified in Item 2, or Item 5 of Schedule 1.*

Industry experts may be involved in validation to ensure there is the combination of expertise and to ensure the assessment system and process:

- produces valid assessment judgments
- ensures graduates have the skills and knowledge expected by industry.



Watch

This video explains the requirements that validation teams must meet and the current skills and knowledge required:



<https://scnv.io/uOLX>



Note

Trainer/Assessor Involvement

When validating post-assessment evidence for candidates, the

assessor who was involved in making the assessment decisions on the student evidence can take part as a valuable contributor in the validation session. However, they cannot lead the validation or make final determinations or decisions upon the outcomes of the validation report, such as any required changes to the tool or the assessment benchmarking decisions.

There are two reasons for this:

- It is a ruling from Clause 1.11 of the Standards:

Systematic validation of an RTO's assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated.

- Bias is implied when the assessor that marked all of the candidates' work is responsible for determining further changes or amendment to processes or documentation used in assessment.



Case study

Using Trainers From Multiple Sites

QualityEd delivers the Certificate II in Retail Services to a number of large businesses on different training sites. QualityEd's assessments are always contextualised to ensure they meet the varied needs of its clients.

QualityEd holds regular validation sessions where the assessment strategies, tools, instruments and processes are validated to ensure that they meet the principles of assessment and rules of evidence. During the validation session, assessment judgments are validated to confirm whether decision-making is consistent – regardless of who assessed the unit(s), who the client was and how the assessments had been contextualised.

Sue is involved in the validation sessions for this course, as she has assessed candidates on-site for one of the larger retail supermarkets. Her colleague, Dominik, is also taking part as he has assessed candidates at another retail department store. There is also another assessor who is participating, Geri, but she is assessing the Certificate IV in Retail Management and does not currently assess the Certificate II course.



Roles in Validating

Once the RTO has established the validation panel members for the upcoming session, each member of the panel will need to be informed of their role and responsibilities in the proceedings. Typically, the RTO's compliance officer or training manager arranging the validation would notify the panel members of the expectations one or two weeks prior of the upcoming session.

To successfully administer validation sessions, there are many duties that need to be fulfilled in the process, before, during and after. This list aims to outline the various roles that may be involved in the proceedings, including your own as a trainer and assessor taking part.

The list is not exhaustive. Other roles, tasks and duties may be determined – depending on the size and scale of the RTO, incorporating its operational policies and procedures.

The following table details the people that should or may be involved in the panel, and their responsibilities.

Personnel	Responsibilities	Specific Reporting/Recording
RTO compliance manager	The compliance manager is responsible for overseeing that the RTO is working within Standard 1 of the Standards. This includes the five-year validation plan and schedule. They may do this independently, or in conjunction with the training manager. In post-validation, the compliance manager would allocate any identified and required amendments to training documentation to the appropriate personnel.	- Developing and regularly maintaining the five-year plan for validation - Scheduling validation as per the plan - Updating the CI register - Recording or reporting any changes to the TASs
Training manager	The training manager works day to day directly with the trainers and assessors. With regard to validation, they may be required to undertake similar tasks as the compliance manager in scheduling and arranging internal or external validation sessions. The training manager may also be responsible for delivering additional professional development sessions with trainers and assessors should any areas for improvement in assessor guidance be required.	- Reporting and recording duties as above for the compliance manager - Updating validation schedules

Personnel	Responsibilities	Specific Reporting/Recording
Lead validator	The lead validator is responsible for leading the formalities in the validation proceedings. They work with the panel members to review documentation in line with the principles of assessment and rules of evidence, discussing and assisting panel members to come to agreement on areas for improvement. They can determine the final validation outcomes that will be recorded by the scribe on the validation reporting forms.	- Informing on the content within the pre-assessment validation checklist/form - Informing on the content within the post-assessment report form
Scribe	Typically nominated by the group, the scribe is the record keeper of the validation panel's findings, collating all of the notes into a dedicated record, template or form.	- Filling in the pre-assessment validation checklist/form - Filling in the post-assessment report form
Trainer/assessors	Trainers and assessors can come from within the training organisation or from one or more other RTOs external to the organisation requiring the validation.	Can make additions to the CI register
External parties	External parties, such as trainers and assessors from other RTOs and other industry areas, can contribute to validation by reviewing materials to identify areas for improvement. They can also provide additional advice and ideas that may not have been considered before.	Completing or contributing to validation reports
SMEs	SMEs can come in the form of local employers, paid or unpaid consultants, external advisors, etc. that bring their specific subject area of expertise into the discussion. They can look at how practical tasks are comprised and determine whether simulated tasks, where included, are in line with current industry expectations. SMEs can either be in the validation session or consulted afterwards if it was determined that an assessment tool needs to be amended or redeveloped.	Completing or contributing to validation reports

Personnel	Responsibilities	Specific Reporting/Recording
Instructional designers (IDs)	IDs can be included in the validation meeting and contribute to reviewing materials to identify areas for improvement. However, they would typically be involved post validation. Post validation, an ID would be given instructions for specific amendments, gaps and improvements required in the documentation.	• Amending and updating assessment documentation as instructed • Adjusting version numbers on assessment documentation • Updating the version control register(s)
Independent validators	Independent validators can bring forth an unbiased view of assessment proceedings, how specific tasks are to be marked and how evidence has been gathered. They can provide perspectives that have not been considered before by others that are 'too close to the source'.	• Completing or contributing to validation reports
RTO consultants	Paid or unpaid consultants have a wealth of VET industry compliance knowledge and expertise and can take part in validation sessions as panel members reviewing materials and processes to identify areas for improvement.	• Completing or contributing to validation reports



Activity 1B

Interviewing a Trainer – Validation Logistics

Following on from Learning Activity 1A, ask the VET mentor about how the logistics and documentation of the validation was handled.

1. Did they use paper-based resources, with everything photocopied? Or were the resources distributed and shared electronically?
2. Did they find the documentation easy to follow and understand? Were there challenges?
3. Were they able to contribute equally to the process?
4. How did they contribute to the validation outcomes and final report?
5. Was one person the scribe or note taker, and another the lead validator?
6. How was the final validation report compiled and shared with the group?

Chapter 1

Review Questions



Use the following questions to check your knowledge.

Q1. Name three purposes of an RTO conducting assessment validation.

Q2. Name three benefits for a trainer and/or assessor to regularly take part in validations.

Q3. Provide an example of when an RTO would conduct a pre-assessment validation.

Q4. Identify the length in years of the prescribed validation plan that RTOs must follow, and in that plan, how many assessments (as a percentage) the RTO needs to validate.

Q5. Explain what the assessor who made the decisions on candidates' work can do and not do during an internal post-assessment validation of candidates' samples.

Chapter 2

Conducting Validation

As a trainer and assessor in vocational education and training (VET), taking part in regular validations will see you contributing to the ongoing monitoring and review of your organisation's assessment tools. In this chapter, we will look at the rules and procedures to follow in the validation processes

By the end of this chapter, you will understand:

- ✓ the documentation required as part of the validation process
- ✓ determining sample sizes
- ✓ contributing to the validation process
- ✓ determining validation outcomes
- ✓ the importance of document control
- ✓ reviewing your own performance as a validation contributor.





2.1 Validation Procedures

Some registered training organisations (RTOs) may have their validation policy and procedures written as part of their assessment policy. Other RTOs may have a separate document for validation.

Regardless of where the policy and procedure are located, they should include the following information:



Note



All information related to the validation process is confidential. Any item submitted for validation must have identification of the assessor, the candidate, the RTO and workplace removed to limit identification of individuals. The focus is on the quality of the process itself, not on the individuals participating. Feedback is given by participating validation panel members in privacy and in the spirit of quality improvement and professional learning. In line with company recordkeeping protocols, outcomes of validation meetings are to be distributed only to authorised parties for the purpose of continuous improvement (CI).

2.2 Resources Required for Effective Validation

Depending on the validation processes in place at your RTO, you may be asked to participate in a validation session. Before the session, you will need to familiarise yourself with the validation approach and the corresponding processes. If you are representing your RTO, you will need a good understanding of the assessment tools used by your RTO. Once you become experienced at validation, you may even be asked to prepare the session yourself.

Preparing for Validation

What needs to be validated?

- Training and assessment strategy (TAS)
- Assessment plan
- Assessment tool

What else do you need?

- Unit of competency
- Companion volume or implementation guide

If validating post assessment, what will you also need?

- Assessment evidence gathered
- Assessment decisions, including feedback given to candidates
- Records of results



Case study

Preparing Documentation for a Validation Session

Louise has collected assessment tools from two assessors who work for QualityEd. She is representing her RTO at a regular validation meeting of the local network. This is a consensus model of validation, and Louise is attending in her role as an assessor. At the last meeting, it was decided to validate assessments and samples of evidence for the Certificate II in Retail Services.

The meeting is still a week away, so she has given herself some time to collect the samples. She has gathered the verbal knowledge assessment questions, as well as the instruments and the instructions to the candidates and assessors. She gathers two examples of candidate responses and assessor judgements made. She also brings copies of the RTO's TAS. Louise has asked another assessor to provide the workplace observation checklist.

Louise photocopies the assessment materials and returns the originals to the files. In every sample, she blacks out all references to the candidate's name, the assessor's name, the name of the workplace and the RTO; and any other information that identifies the candidate, assessor or their workplaces.

She prepares a cover sheet for the samples that includes context information the validators may need relevant to the judgment. These are provided to the validation organiser for distribution at the meeting.



Training and Assessment Strategy

A training and assessment strategy is the document that the RTO uses to demonstrate its approach to delivering each of its qualifications, skill sets and single units of competency where this applies. The TAS defines the learning outcomes, assessment methods, resources and support required for candidates to successfully complete the program. Some providers would see this as optional; however, including a TAS in the validation meeting can allow the validation panel to refer to and cross-check to review information such as the intended cohorts of the course, time frames of delivery and assessment, context, environment and resources included.

Assessment Plan

The assessment plan will oftentimes accompany the assessment tool and will contain the following information:

- the intended cohort (who the candidates are and their needs and characteristics)
- the purpose and context of the assessment
- the approach to assessment
- the assessment methods to be used
- evidence-gathering techniques
- the instruments required.

Including an assessment plan in a validation meeting can demonstrate for the panellists how the unit of competency has been interpreted into specific contexts, assessment methods and time frames.



Context and Conditions of Assessment

When either a candidate or an assessor picks up assessment tool documentation, they are looking for their specific advice and instructions of how, when, where, with what, etc. They need to be fully informed of the assessment process being undertaken and under what conditions this will be.

For candidates, their documentation must contain information about their rights and obligations, how many assessment attempts they are allowed, how they will be marked and provided with feedback for resubmissions, and how final unit results are recorded. They will also be provided with information about fairness and equity principles, such as allowable reasonable adjustments for the tasks they are about to undertake.

For assessors, their documentation must contain information about how to administer fair and equitable assessments, how to mark and record results, how many attempts are allowed, and how to proceed if a candidate is suspected of cheating or plagiarising.

Reasonable Adjustment

Reasonable adjustments are any type of adjustments made to accommodate any unreasonable barriers to undertaking a study or an assessment. It is an action taken by the registered training provider to enable a candidate with any type of disability or difficulty to undertake a study in a similar way to a candidate without disability. Reasonable adjustments can be made by, for example, allowing candidates more time to submit, to answer written questions verbally or to work with an interpreter if allowed. The conditions of assessment must outline for the assessor how to record these adjustments.



Activity 2A

Determining What a Valid Assessment May Look Like

Look up and select a current unit of competency on training.gov.au. This may be a unit of competency that you plan to train and assess in the future.



<https://scnv.io/cHus>

For an overview of this unit of competency, scroll down the web page and look at the two sections labelled 'Performance Evidence' and 'Assessment Conditions'. Consider what suitable assessment methods could be used to sufficiently assess performance in this unit. Discuss with your classmates and/or trainer.



Assessment Tool Documentation

Assessment tools can sometimes be referred to by different names such as an ‘assessment kit’ or an ‘assessment toolbox’. Typically, within an assessment tool, there is a comprehensive set of documents that make up the entirety of the tool. The assessment tool should contain everything required to assess an entire unit, or cluster of units, of competency.



Mapping Document

You should always expect to see a mapping document or mapping matrix either within the assessment tool or alongside it. The mapping document will look like a table, with all components of a unit of competency in the rows of the document. In the columns will be references to assessment tasks, such as numbering or lettering codes to identify specific questions or parts of tasks. The purpose is to demonstrate next to each individual row of criteria in the unit of competency how this specific area is being met or assessed by a specific task or multiple tasks.

Assessment Instruments

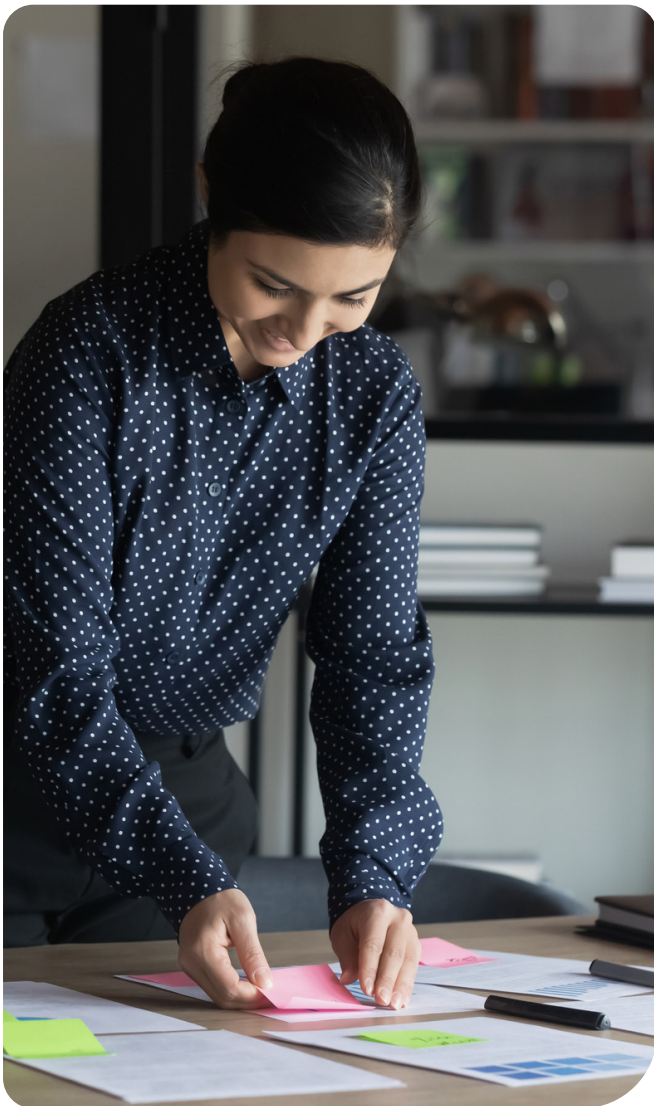
Assessment instruments are the documents that are developed specifically for administering each assessment method. The following table provides examples of common assessment instruments.

Assessment Method	Instruments
Written questioning	- A set of written and/or verbal knowledge questions without the answers – this would be what the candidate sees - A set of written and/or verbal knowledge questions with all of the suggested benchmark answers – this would be what only the assessor sees
Workplace observation tasks	- Written instructions for the candidate - Written instructions for the assessor - An itemised list of performance expectations for the candidate - An observation checklist for the assessor - The benchmarks to be met in the observation checklist for the assessor
Case studies or scenarios	- A set of case study or scenario questions without the answers – for the candidate - A set of case study or scenario questions with all of the suggested benchmark answers – for the assessor
Role play observation tasks	- Written instructions for the candidate, including a relevant scenario - Written instructions for the assessor, including advice and scripts for additional roles being played - A role play observation checklist for the assessor - The benchmarks to be met in the role play observation checklist for the assessor
Projects, portfolios or products	- Written instructions for the candidate - Written instructions for the assessor - Portfolio-marking checklist for the assessor - The benchmarks to be met in the marking checklist for the assessor
Third-party or supervisors reports	- Written instructions for the candidate - Written instructions for the third party - Written instructions for the assessor - Third-party or supervisors form - The benchmarks to be met in the third-party form for the assessor

Types of Evidence Generated

There are three general types of evidence generated by assessment methods and the corresponding instruments that are developed for each method:

- direct
- indirect
- supplementary.



Direct Evidence

Direct evidence is where assessors can directly see the competence of the candidate in an unfiltered way in a real situation. This may be through observing the candidate performing the skill in a real or simulated environment. Direct evidence can be used to demonstrate what the candidate knows and how well they can perform.

Indirect Evidence

Indirect evidence is where you infer the competency of the candidate from what the candidate has done previously in other situations. You are unable to see the competence of the candidate directly and are relying on evidence that demonstrates they have performed or can perform in other situations. Indirect evidence can reveal whether the candidate has performed a task and why, or how the candidate learned how to do it. Indirect evidence can include samples of written work, portfolios, completion of a project, questioning about the way a candidate performs a skill, and responses to case studies.

Supplementary Evidence

Supplementary evidence is evidence that relies on someone else to inform your decision. This includes third-party reports, references and professional licences. Supplementary evidence should never be used on its own but instead be combined with the other two forms of assessment, as it is useful to contribute to the picture of competency.

It is good practice to ensure that assessments include a range of different forms of evidence to provide an overall picture of the candidate's competency. Assessment should always include at least one or two forms of direct evidence, which can be supported by indirect and supplementary evidence to fill in the picture.

Sampling

Usually, the number of candidate assessments that need to be validated, and which ones are selected, will be determined by your RTO. You will need to validate according to this guidance.

The Australian Skills Quality Authority (ASQA) 'Fact Sheet—Conducting Validation' talks about a 'statistically valid sample' that is:

- *large enough that the validation outcomes of the sample can be applied to the entire set of judgements, and*
- *taken randomly from the set of assessment judgements being considered.*



Calculating Sample Size

ASQA has a sample size calculator to assist RTOs in determining how many assessments must be validated.

The calculator requires three items of information to be input:

- **Total number of assessment judgments**
‘Assessment judgments’ refers to how many candidates have been assessed during a specific period of time. ASQA recommends a minimum of six months.
- **Estimated error level**
The ‘error level’ refers to the assessment outcomes. This refers to the likelihood that the eventual sample size will accurately represent the total assessment outcomes. For example, is it likely that most of the candidates were deemed competent after their first assessment attempt? If yes, then the error level would be low.
- **Confidence level**
The ‘confidence level’ refers to how sure you are that the sample assessment judgments will produce an accurate validation outcome.

The ASQA validation sample calculator has default percentages of 15% error level and 95% confidence level.



Watch

The following video provides a quick demonstration of how to use ASQA's validation sample size calculator:



<https://scnv.io/KEq3> 



Note

Random Approach to Sampling

RTOs can also apply a random approach to their sample selection.

ASQA refers to using an alphabetical list approach: sort all candidates who have been assessed within a specific period by surname; highlight the fifth surname; count down and then highlight every third surname. The candidates whose names are highlighted will have their assessments validated.

Validating a Full Qualification

If an RTO is validating a qualification, it must validate a minimum of two units of competency from that qualification.



Resource

Visit the link below for ASQA's online sample size calculator:

‘Validation Sample Size Calculator’

<https://scnv.io/h9aQ>



2.3 The Validation Session

At the validation session, each assessment will be reviewed systematically and objectively by the group. If your network is large, small groups may be given a specific set of documents to look at.

What You Can Bring to the Session

To actively and productively participate in these processes, you will need a range of skills and background knowledge, including:

- planning skills, to participate effectively in validation activities within agreed time frames
- teamwork skills, as you work with others to prepare materials and participate in the process
- communication skills, to share information and make suggestions in validation meetings
- understanding of the legal and ethical responsibilities of assessors in the validation process, to ensure assessment is carried out fairly and openly, in line with anti-discrimination and privacy regulations, and in response to the needs of individual candidates
- knowledge of language, literacy and numeracy (LLN) levels.



Professional Conduct

Remember that you will be working as part of a team, and the principles of good teamwork should apply here:

- Listen to each person who speaks.
- Do not let discussions get off track (you can always talk at the end of the session).
- Do not get personal or defensive (e.g. you are good friends with one of the writers of an assessment, or you do not like a particular assessor who has marked a candidate as 'not competent').
- Share your knowledge.
- Respect your colleagues at all times – those in the session and those who have had some involvement in the assessment products and processes.
- Everyone should understand what they are doing and exactly what they are reviewing.



Reviewing the Materials

When you are validating assessments, you will be considering the following:

- whether unit requirements have been covered
- number of tasks
- user friendliness
- recording tools and checklists
- industry expectations, job readiness and reality
- safety considerations.





Meeting Unit Requirements

You will need to review the unit mapping documents and see where each unit requirement is being addressed.

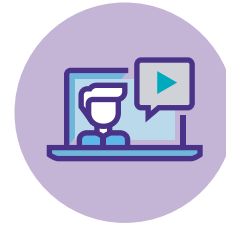
Ask yourself:

- Is the mapping accurate?
- Have all tasks been mapped?
- Does the mapping document have all the unit requirements in it? (It can often be quite easy to miss a performance criteria or line of knowledge evidence!)
- Are tasks being mapped only 'slightly' or 'vaguely'? Could sections of tasks or questions be changed to better align to unit requirements?
- Is competency assessed over time and in a range of contexts? Look at the unit of competency – does it ask for candidates to do something more than once, with different people, in different situations, over a period of months?
- Are all resources required for assessment made available, and have any specific conditions of assessment been met? (Some units have long lists of resources required or may stipulate a specific amount of time that assessors must have worked in a particular industry or area.)



Number of Tasks

Over-assessment and under-assessment can be common. Sometimes, candidates may end up doing more than they need to, or there may be only one task that cannot possibly meet all requirements!



User Friendliness

Are assessment instructions to both the candidate and the assessor clear and easy to follow? Put yourself in the shoes of the candidate:

- If you had to do the assessments, would you understand what you are being asked to do?
- Is there any ambiguous or confusing language or instructions?
- Do you know how many times you need to do a specific task or activity?
- Do you know what you need to hand in?
- Do you have everything you need in order to complete the assessments?
- Can you, based on the delivery model, do the tasks that are required? For example, a candidate undertaking classroom-based training and assessment may not be able to put together a portfolio of workplace information if they do not have a job and do not have a placement opportunity.
- Where a simulated environment is required, do you have enough information and documentation to complete a task that closely replicates a real workplace experience?

If you were the assessor:

- Would you know how to administer the tasks? For example, if there is a role play, would you know what to do to ensure the candidate can demonstrate the required skills and knowledge?
- Would you know how to make sure that the evidence submitted is relevant?
- What if the candidate submits evidence that 'seems like it might be okay' but does not line up with what is in the assessment guidance?
- How can you tell the work submitted is the candidate's own?
- Do you believe the tasks are written to the correct level, and do they consider the LLN needs of candidates?



Recording Tools and Checklists

- Do recording tools give the assessor enough instruction to correctly record outcomes at both task level (satisfactory/not satisfactory) and overall unit level (competent/not yet competent)?
- Do checklists provide clear detail about the expected level of performance?
- Have reasonable adjustments been made? Are there instructions about what can be done to support candidates with diverse needs? Is it clear where this information needs to be documented?



Industry Expectations, Job Readiness and Reality

- Are candidates completing tasks that accurately reflect workplace and industry expectations? What industry consultation was conducted, and have the findings been carefully considered and/or applied where deemed appropriate and relevant?
- Are the assessment methods relevant to the unit outcomes? Are candidates being asked to do a lot of writing and analysis work when the job in the real world is quite hands-on or even creative in nature?

If you were the candidate:

- Would you feel confident going into the workforce, knowing what to do and how to interact with others?
- Would you be able to understand and adhere to safety, privacy and other legislative requirements of the role and/or industry?



Safety Considerations

- Do assessments meet safety requirements and associated legislation and regulations?
- Where relevant, has the assessor been given clear and detailed instructions about how to undertake a risk assessment of the area in which assessment is to be conducted?
- If assessment is being conducted at the RTO's premises (such as in a workshop environment), do assessors and candidates have access to safety and first-aid equipment?
- Has all required personal protective equipment (PPE) been listed in the resources needed for assessment?
- Who checks equipment, tooling, materials and/or accessories to ensure functionality and safe use before the candidate starts their assessment?
- Does the assessor know what to do in the event of accident and/or injury?
- What contingency plans are in place should inclement weather or other events (such as equipment failure, and lack of access to facilities) mean that assessment cannot take place at the designated time and location?



Think

Ethical Considerations and Your Role as a Validation Panel Member

As a validation contributor, you have been invited to play your part in the proceeding as a trainer and assessor. Your focus is on the principles of assessment, the rules of evidence, and ensuring that candidate assessments and assessment processes are in line with these.

When working in this role, you must professionally represent the RTO that you are validating for. You are expected to make suggestions for improvement but keep personal opinions out of the session.



Watch

The following video discusses how to get the best from your assessment tools and processes by pre-validating them before use:



<https://scnv.io/E1IZ>



Principles of Assessment

Each of the four principles of assessment are to be addressed when undertaking validation:

Assessment is *valid* when it:

- covers the broad range of skills and knowledge described by the unit of competency or accredited module
- ensures that skills and knowledge are integrated with practical situations
- ensures the collection of sufficient evidence to map the unit of competency in its entirety.

Assessment is *reliable* when it:

- uses methods and tools that ensure consistent interpretation each time they are used, no matter what the context
- ensures different assessors can make the same decision.

There are a few different ways to make sure that assessments are reliable, for example:

- distributing assessment guides for candidates and assessors
- ensuring that assessors are accredited
- validating assessment tools and results
- checking assessment results for consistency.

Assessment is *flexible* when it:

- can be customised to suit different candidates and contexts
- takes into account the individual needs and situation of each candidate
- provides for recognition of competency no matter how, where or when it was acquired
- draws on a range of methods appropriate to the context, competency and the candidate.

Assessment is *fair* when it:

- ensures that every candidate has the same opportunity to succeed, regardless of cultural background, language and literacy skills and other individual needs that candidates might have
- ensures clear communication between the assessor and the candidate to ensure the candidate is fully informed and understands the assessment process
- provides the opportunity to challenge the result of the assessment and to be reassessed if necessary.

Rules of Evidence

Each of the four rules of evidence are also to be addressed when undertaking validation.

According to the Standards for Registered Training Organisations (RTOs) 2015 (the Standards),

'Valid' evidence means:

The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.

'Sufficient' evidence means:

The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.

'Authentic' evidence means:

The assessor is assured that the evidence presented for assessment is the learner's own work.

'Current' evidence means:

The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.



Activity 2B

Rules of Evidence

Look up and choose a current unit of competency on training.gov.au. This can be the same unit that you selected for Learning Activity 2A if you like. Consider your chosen unit from the perspective of an assessor and through the lens of the four rules of evidence.



<https://scnv.io/cHus>

1. What would valid evidence for the unit look like?
2. What would sufficient evidence for the unit look like? What is enough?
3. What would authentic evidence for the unit look like? How can you be sure it is really the learner's work?
4. What would current evidence for the unit look like? How can you be sure what is being submitted is recent work?



Dimensions of Competency

When validating an assessment, the four dimensions of competency must be incorporated into the development of suitable assessment methods and practices.

In validating against each of the four dimensions, you will need to look for:



The appropriate decision-making benchmark for all of these factors must be explained in the assessor marking guide.



Note

It would be impossible to remember everything to look for in a quality assessment.

Validation meetings are kept in check by way of comprehensive checklists for the group to work through. This way, nothing is left out and all areas of the review are addressed. Typical documents used to guide and record validation outcomes may be called a 'validation template', 'validation tool', 'validation record', 'validation report', 'action plan' or 'continuous improvement register'.



Think

Good communication skills are required during validation sessions. Whether face to face in the same room, or working remotely via

web-based meeting software, communicating effectively in a group setting will have its challenges. To add value to the session, always allow others to contribute equally, take the time to listen and wait your turn, do not interrupt when others are speaking, or force your opinions. Speak clearly when making your contributions and allow for others to interpret what you are saying.



Watch

The following video discusses common issues with assessments:

<https://scnv.io/OJle>





2.4 Validation Outcomes

As an assessor, you will contribute to a report on improving assessment practice and processes for the RTO.

The RTO manager will need to review the validation findings and determine the recommendations that must be applied, as well as when and how they should be applied. Not all changes can occur immediately, but at least they can be documented in the report and in a CI register to schedule and address when required.

The report to management can recommend a complete review of an assessment tool, instrument or process, or modifications to a component. Depending on the findings made by the validation team, the report may include references to:

- issues about interpretation of the units of competency (e.g. assessments that do not align with the purpose of the unit, are too hard for the level, or request more work to be done than required)
- suggestions for improving the assessment tool and the instruments within (e.g. changing assessment methods to make tasks more relevant to the context, adding more observations or adding more instructions about reasonable adjustments)
- suggestions to improve user friendliness (e.g. editing of instructions to make them clearer, or making general spelling and grammar checks or changes to template designs to ensure easy reading)
- suggestions for improving the assessment judgments being made by assessors (e.g. reviewing checklists and marking-guide documents to provide more detail about expected levels of performance)
- suggestions for improving the recording and reporting of assessment outcomes (e.g. file management procedures, and storage and retention of documentation)
- suggestions to employ subject matter experts (SMEs) to ensure currency and relevancy of tasks
- follow-up recommendations for the quality management team and assessment team (e.g. development of benchmarks for decision-making; recommendations for professional development for all affected staff; or review of a specific assessment decision).



Case study

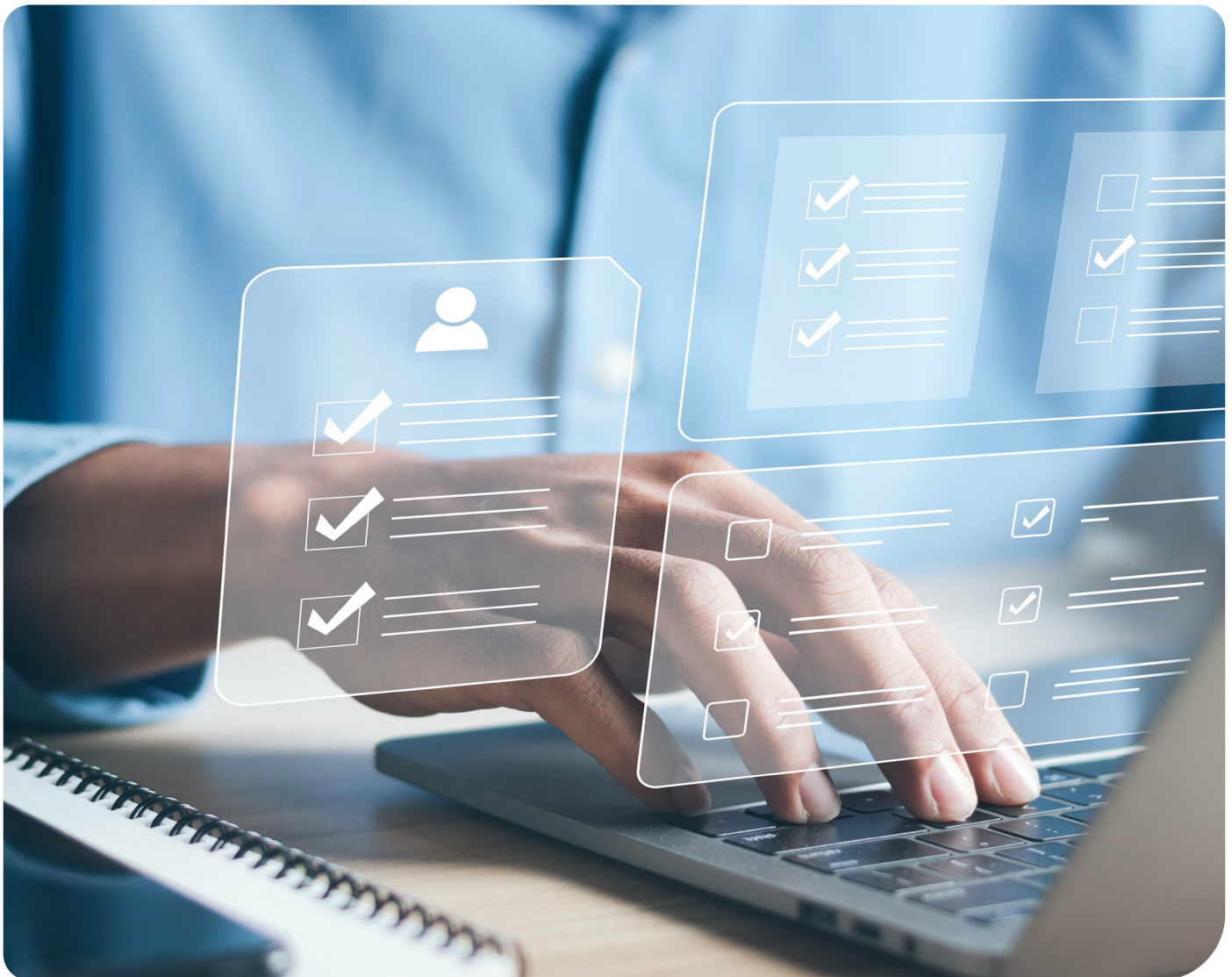
Acting on a Validation Report

QualityEd has just received the report from the latest validation meeting. Feedback from the validation session has made Louise quite concerned about the inconsistencies and variations in the marking decisions being made by the sessional assessors.

The validation report confirms that she needs to improve the quality of assessment tools for the Certificate II in Retail Services. The issue was not the result of poor practice by assessors – it was due to poorly designed assessment tools that did not provide clear instructions to the assessor on how to administer the checklists. This affects the reliability principle of assessment. The huge variation in the retail outlets the RTO is working with means that, while assessors need flexibility, the range of conditions in which skills are demonstrated needs to be much clearer.

Louise will rewrite these assessment tools, adding more precise instructions to the assessors and defining the physical and equipment needs within each enterprise, or the conditions under which candidates need to perform. She will trial them with sessional trainers and the local network before they are used in the wider programs. Louise is also organising a professional development session over Zoom for sessional assessors to share this report and discuss the changes being made to the assessment tool, with particular focus on the guidance for assessors within the tool.





Document Control

The Standards include requirements for recordkeeping and document control.

It is important for RTOs to incorporate file management procedures. This should include consistent file naming and version control on all documents. This ensures that, upon distribution and/or printing of an assessment tool, it is obvious that is it the current version. The implementation of a version control register or similar system can assist with ensuring that anyone can check the differences between different versions of the same document.

Many RTOs will also have document-archiving procedures in place – previous versions of a file may be moved to a different directory within their file management system (such as one labelled ‘Archives’), or they may have a file management system that has an archive function or stores all modifications (including previous versions of files) within the history of a file.



Note

When documentation is replaced by newer or improved versions, it is important to notify all end users, especially the trainers and assessors, who need to be informed of when a new version is produced and when to begin using it.



Case study

Version Control Procedures

Louise has rewritten an observation checklist to incorporate feedback received as part of the validation session. She now needs to ensure that she has followed procedure and identified her checklist as the current version.

As per QualityEd's file management procedures, Louise changes the file name from 'V1.0 (21-04-2021)' to 'V1.1 (19-04-2023)'. By changing the '0' after the decimal point to '1' and updating the date, the file name identifies that this version has had some changes since version 1.0.

Louise then creates a folder called 'Archives' within the Certificate II in Retail Services directory and moves the previous copy of the checklist file to this location.

Louise now needs to document what she has done to the observation checklist. QualityEd has a page at the end of its documents that includes copyright information and a 'Modification History' table – this is where she needs to add a summary about what she has changed.

Louise makes the changes and ensures that all procedures have been followed. She is confident that anyone can pick up the observation checklist and tell what has been done, when and why. There is no risk of someone using the old copy!

Continuous Improvement Register

RTOs will typically have a CI register, or similar, that will hold all of the ongoing improvements information summaries in one location. This register brings together all of the documents that are to be improved, currently being amended as well as those that have been actioned, including the dates of amendment and implementation.

Updating the Validation Schedule

The five-year validation plan and schedule must be updated after each session. This would typically be actioned by the RTO manager or compliance manager.

The date of the validation must be recorded, and the findings and recommendations arising from validation must be summarised.

The next validation on the five-year plan can be scheduled accordingly.





2.5 Feedback on Your Participation

As a first-time validator, it is important to review your performance. You can do this in a variety of ways. For example:

- Reflect on your experience. What did you get out of the process? Were you able to contribute equally among the group?
- Ask for feedback from other participants.
- Follow up with the lead validator, and ask them whether your participation added value.
- Ask more questions if you found some areas of the process confusing or hard to follow.
- Debrief and discuss with your training manager about what you got out of the process.

Always take any and all feedback positively and constructively. Think about what you learned from your first validation and the feedback received.

Determine what you can add to future validation sessions. Consider whether you need to contribute more or less at the next validation, or whether you need to look at the presented materials with a different perspective.

2.6 Keeping Assessment in Check

As validation is part of the CI processes within an RTO, the cycle never stops.

Thoroughly check and revise your assessment tools prior to use.

Verify that the planned tools:

- meet the requirements of the training package
- are designed to ensure assessment is conducted with the principles of assessment and rules of evidence.

This will ensure that:

- future students can be accurately and consistently assessed
- your assessment system meets the compliance obligations in Clause 1.8 of the Standards.



Trialling Assessment as a Review Method

Newly acquired, or recently amended, assessment tools can be trialled with a pilot group as a method of quality review.

Trialling assessment tools first with a small group of candidates will assist in identifying any ambiguous language or industry-specific jargon that may need to be adjusted prior to delivering on a wider scale. Customisation to the training package is an important part of developing assessment tools. The effectiveness of this customisation can be evaluated during a period of trial and review.

If you have access to a reliable SME, such as a local employer, there is no harm in asking for their feedback in the useability of an assessment tool.

Gathering Direct Feedback From End Users

In addition to various methods of trialling, there is a lot to be gained from speaking directly with and surveying the end users of the assessment documentation.

Assessors that are frequently using the documentation and marking candidates' submitted evidence can quickly point out patterns of interpretation, such as all of the students asking for help to understand the same task or all getting the same questions wrong.

Candidates can shine light on areas of assessment that are confusing to understand or difficult to complete. They can also identify whether parts of a task are missing or whether they need more practice sessions or longer time frames to meet the requirements.

Looking through the lens of the end user provides valuable insight.



Chapter 2

Review Questions



Use the following questions to check your knowledge.

- Q1.** Explain the importance of ensuring there is a mapping document (or similar) in the validation session for a unit assessment.

- Q2.** Name three different assessment instrument documents that you could expect to review in a pre-assessment validation.

- Q3.** Using a selection of random samples is suggested when reviewing and validating candidates' completed work. Explain why this would be an appropriate approach to validation post assessment.

- Q4.** Explain briefly the process of acting on validation outcome, especially if an assessment has been determined as not meeting some of the unit requirements.

- Q5.** Outline briefly the importance of keeping the RTO systems – such as the version control, CI register and validation schedule – up to date.

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