

**TAEASS403 Participate in assessment
validation**

Learning Guide

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Table of Contents

TAEASS403 Participate in assessment validation.....	1
Elements of competency	1
Evidence of Competency.....	1
Validation and Moderation	2
Validation	2
Standards for RTOs 2015.....	2
What is Validation?.....	3
What is Moderation?.....	3
Legislative requirements	5
Obligations of an assessor	5
Other Legislative Considerations	6
Ethical Requirements	7
Critical Aspects of Validation.....	8
Mapping the tool to the unit.....	11
Dimensions of Competency.....	14
Completing the Validation	15
Principles of assessment.....	15
Rules of Evidence	16
Continuous Improvement.....	18
Versioning.....	19

TAEASS403 Participate in assessment validation

This unit describes the skills and knowledge required to participate in an assessment validation process.

It applies to assessors and workplace supervisors with validation responsibilities participating in, but not necessarily leading, the process.

Elements of competency

There are 3 “elements of competency” in this unit that describe the essential outcomes of a unit of competency.

They are:

1. Prepare for validation
2. Participate in the validation of assessments
3. Contribute to validation outcome

Evidence of Competency

In order to demonstrate your competency, you are required to provide evidence. This is the Performance Evidence for the unit.

- Actively participating in a minimum of three validation sessions that address the critical aspects of validation
- Clearly identifying the purpose of validation, and the legal and ethical responsibilities of assessors
- Collating and presenting evidence for each validation in a logical manner
- Communicating and consulting with relevant people
- Providing feedback on validation documentation in validation sessions
- Recording your observations and validation findings

Validation and Moderation

Features	Validation	Moderation
Assessment Quality Management Type	Quality Review	
Primary Purpose	Continuous improvement	Standards
Timing	On-going	
Focus	Assessment Tools; Candidate Evidence; assessor judgements	and including
Type of Approaches	Assessor Partnerships; Consensus Meetings; External (validation)	Meetings; Moderators or panels)
Outcomes	Recommendations for improvement	Recommendations for future assessments; and comments to assessors (if required)

source: Code of Professional Practice for Assessment Practitioners – May 2016

Validation

In its simplest terms, validation involves assessors where they consider the validity of assessment tools and processes, make recommendations and develop action plans for continuous improvement.

The slide shows a table titled 'Best Practice for Validation and Moderation' which is based on research databases from the Australian VET sector and VET's international tertiary education.

As you can see, validation is an on-going review process with continuous improvement as a key feature.

Standard

The Standard for VET Assessment Practitioners defines "validation" as follows:

"Validation is a systematic review of the assessment process. Validation involves assessors producing valid, reliable, sufficient, current and accurate evidence to support reasonable judgements to be made as to whether the requirements of a training package or VET accredited courses are met. It includes reviewing a statistically valid sample of the assessments and

making recommendations for future improvement of the assessment process and/or outcomes and acting upon such recommendations.

The context of Standard 1 explains the requirements for assessment validation:

To ensure thorough and rigorous assessment, assessors must implement a comprehensive plan of systematic, evidence-based, risk-based approach to developing the plan of assessment, taking into account potential safety concerns to clients from the assessment process. The plan must be valid, the mode of delivery, changes to the plan must be documented, and the requirements.

Standard 1 requires each training product to be validated every five years, with at least 50% of products validated within a three-year cycle, taking into account the relative risks of all of the products in the scope of registration, including those risks identified in the risk assessment.

What is Validation?

Validation relates to two things:

- Confirming that an assessment tool meets the requirements of the Rules of Evidence
- Confirming that an assessment tool meets the requirements of the Rules of Evidence.

Before an assessment tool is used, the assessor must ensure that the tool has documented validation of the tool.

In relation to assessment validation, the assessor must ensure that the process of meeting regularly to review a random sample of assessment tools to confirm that another assessor would have made the same judgement as recorded in the evidence recorded in the assessment.

What is Moderation?

Moderation is of assessment tools to describe any situation where the assessor is required to refer to the Code of Professional Practice for Validation and Moderation to reviewing the judgement of competency of the assessor.

Moderation is a process where you have an assessment which is borderline. When you have an assessment which is borderline, you would seek the opinion of another assessor who has the same vocational competency. Where you have an assessment which is borderline, you would approach another assessor who has the same vocational competency and discuss the evidence together.

For a good idea to seek the opinion of a more experienced assessor when in doubt about the judgement to make. In this situation, you would approach another assessor who has the same vocational competency and discuss the outcome of your meeting and make a joint final decision.

The Code of Professional Practice for Validation and Moderation explains moderation as follows:

“Moderation is the process of bringing assessment judgements and standards into alignment. It is a process that ensures the standards are applied to all assessment results within the same Unit of Competency. It is an active process in the sense that adjustments are made to overcome differences in the difficulty of judgements.”

Moderation is a way of ensuring you are consistent in your Assessment – that you are being:

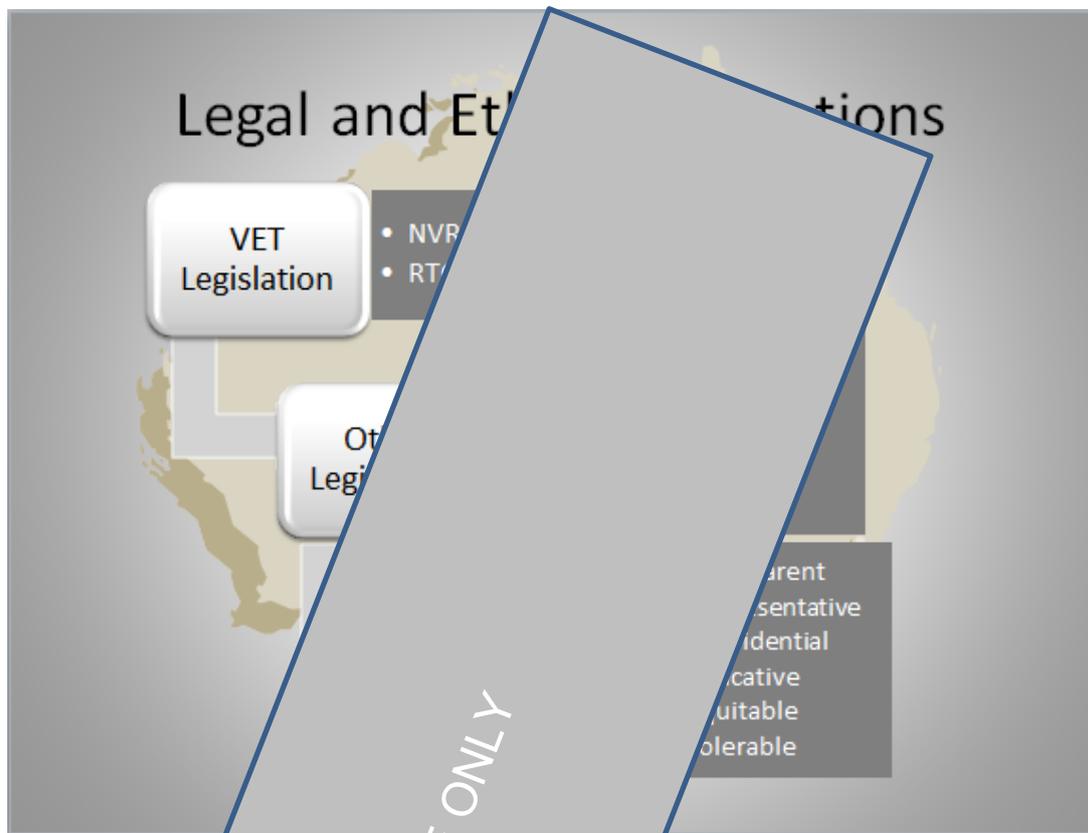
- Fair to the candidate - by seeking to overcome any possible bias you may have
- Flexible within appropriate boundaries - your opinion on how much flexibility to allow
- Reliable - ensuring that the decisions
- Valid – ensuring that the items to assess.



This unit of competency only requires you to moderate. It also only requires you to validate assessment decisions. In reality you would do both.

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Legislative requirements



Obligations of

National Vocational

Regulator Act 2011 (NVR Act)

The preliminary

“An Act to establish the National Education and Training Regulator, and for related purposes”

This is the National Skills Quality Authority (ASQA) and stated its functions

The Standards for Registered Training Organisations (RTO Standards) is a “legislative instrument” under sections 185(1) and 186(1) of the NVR Act. This means it is a legislative instrument and must be complied with.

The RTO Standards are enforceable for prosecution) and also a civil penalty (liable for a fine) if you provide a VET qualification without providing adequate assessment.

Your role as an assessor are to ensure that you do not act in a way that could cause you to be liable for breaching the Act or the RTO Standards.

Although you would not be personally liable for the actions of the RTO (unless you are the Executive Officer of the RTO) you can still be sued for negligence either by the RTO or by a client.

Other Legislative Considerations

When validating assessment tools and processes, you must ensure that they do not contravene any other legislative requirements.

For instance, the assessment process must comply with:

- Health and Safety legislation, including the Occupational Health and Safety Act, Regulations and relevant Codes of Practice
- Anti-discrimination legislation, including the Racial Discrimination Act, Sex Discrimination Act and Age Discrimination Act
- Employment legislation, including the Fair Work Act and Regulations – The Fair Work Act and Regulations
- Relevant Awards or enterprise agreements, including the Fair Work Act
- The Privacy Act and Privacy Regulations
- Copyright legislation

Guidance for assessors

When validating an assessment process, you should look for relevant guidance to the assessor on compliance with the Assessment and Rules of Evidence, Flexibility and Reasonable Adjustments.

Example:

The Assessor Guide states:

Adherence to benchmarks

In order to ensure that the assessment process and outcome meets the principles of assessment, it is ESSENTIAL that you adhere to the benchmarks for assessment.

The information in this Guide are current as at the date shown in the table below and legislation may change. You must maintain currency.

Reasonable Adjustments

If you identify adjustments which require reasonable adjustments, then you, the assessor, must have:

- Identified the adjustments and determined that adjustments will not compromise the validity of the assessment.
- Documented the adjustments to be made, in consultation with the candidate and, if necessary, the relevant support person.
- Clearly documented the adjustments made as part of the assessment record, in sufficient detail to enable another qualified assessor to make a judgement of competency.
- Ensured that you protect the candidate's right to privacy and confidentiality in relation to any personal information such as medical conditions, and where personal information needs to be recorded, gained the candidate's consent in writing.

Safety

If at any time during the assessment process you believe that any person may be at risk, you must immediately **abort** the assessment.

Ethical Requirements

Code of Professional Practice for Assessors

This Code of Practice is not a legislative requirement. It is an offence if assessors do not comply. On the other hand, it provides guidance on how to ensure legislative compliance. Compliance with the Code is a requirement for assessment validation practice.

The Code identifies 6 principles:

1. Transparent

Principles of validation and/or moderation should be transparent to all relevant stakeholders.

2. Representative

Assessors should validate and/or moderate every piece of candidate evidence within an appropriate representative sample. Therefore, representative assessment tools and judgements should be used.

3. Confidential

Individuals and providers must be treated with respect. Confidentiality should be observed for all information of the assessors and candidates.

4. Educational

Validation and/or moderation should form an integral part of the assessment process. It should provide feedback, which leads to continuous improvement in assessment practice.

5. Equitable

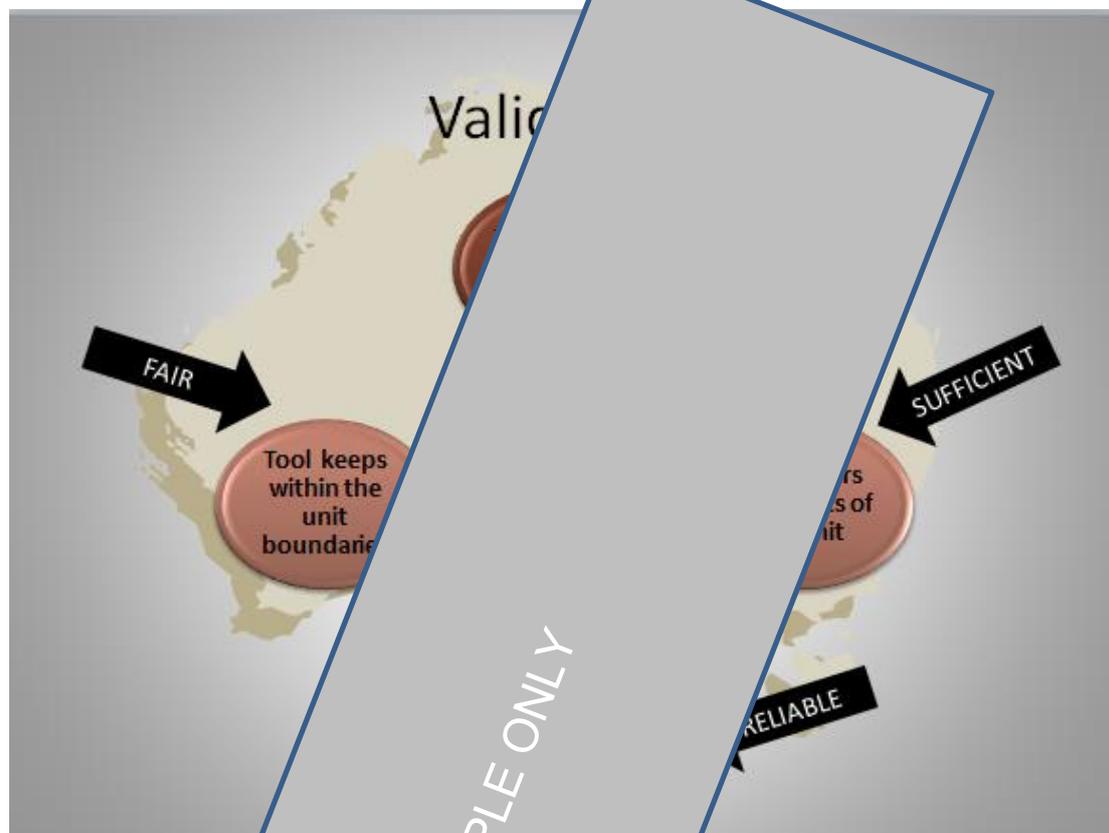
Validation and/or moderation must be demonstrably fair, equitably and without bias.

6. Tolerable

Assessment includes a margin of error. The way in which evidence is gathered and interpreted against the standards will vary. A challenge is to limit the variation to acceptable levels. Validation and/or moderation enables the variation to be identified and limited to what is tolerable.

Appendix 1 contains details about how each of these 6 principles can be implemented.

Critical Aspects of Validation



An assessment tool is designed to measure the performance of a candidate and the achievement of the unit of competency. It provides guidance for the candidate and the assessor, and, when completed, form a record of the evidence gathered. The tool is used to manage the assessment and, when completed, form a record of the evidence gathered. The tool is used to manage the assessment and, when completed, form a record of the evidence gathered. The tool is used to manage the assessment and, when completed, form a record of the evidence gathered.

An assessment tool is designed to measure the performance of a candidate and the achievement of the unit of competency. Some assessment tools are designed to address all requirements for several units.

Primarily, validation is a process of determining whether the tool will produce valid and authentic evidence across contexts and over time.

The first validation is conducted prior to use in assessment. This is to confirm that the tool is fit for purpose.

In a second validation, the tool will be validated again after it has been used in a number of assessments. The evidence gathered and recorded and the assessment results are reviewed in order to determine areas where the tool can be improved.

The RTO should have a schedule or timetable for validation of assessment tools so as to comply with Standard 1. Every assessment tool should undergo validation at least once every 5 years.

According to the Code of Professional Practice for Assessment Validation and Moderation, when validating an assessment tool, we may be asked to ensure that the tool:

- has clear, documented evidence of the process of synthesising, judging and recording outcomes (i.e. to be used by assessors [inter-rater reliability]);
- has evidence of content validity (i.e. the task(s) as a whole, represents the full range of knowledge and skills in the unit(s) of competency);
- reflect work-based context and job-tasks and meets industry requirements (i.e. the assessment tool and job-tasks and meets industry requirements);
- adheres to the literacy and numeracy requirements of the unit(s) of competency (construct validity);
- has been designed to be used over time and contexts (predictive validity);
- has been designed to be free from extraneous factors (i.e. factors that are not related to the task and may affect performance (construct validity);
- have clear documented evidence of consistency of judgements across assessors (inter-rater reliability) and consistency of judgements within an assessor (intra-rater reliability);
- has a clear documented evidence of the use of multiple sources of evidence to make an overall judgement (inter-rater reliability);
- has evidence that the process and flexibility have been adhered to;
- has clear documented evidence of current and authentic evidence;
- is clear documented evidence of difficulty of the task(s) to be performed in relation to the unit(s) of competency within the relevant unit(s) of competency;
- has clear documented evidence of any adjustments that could be made to the gathering of evidence from individual persons and/or groups; and has adhered to the relevant policy.

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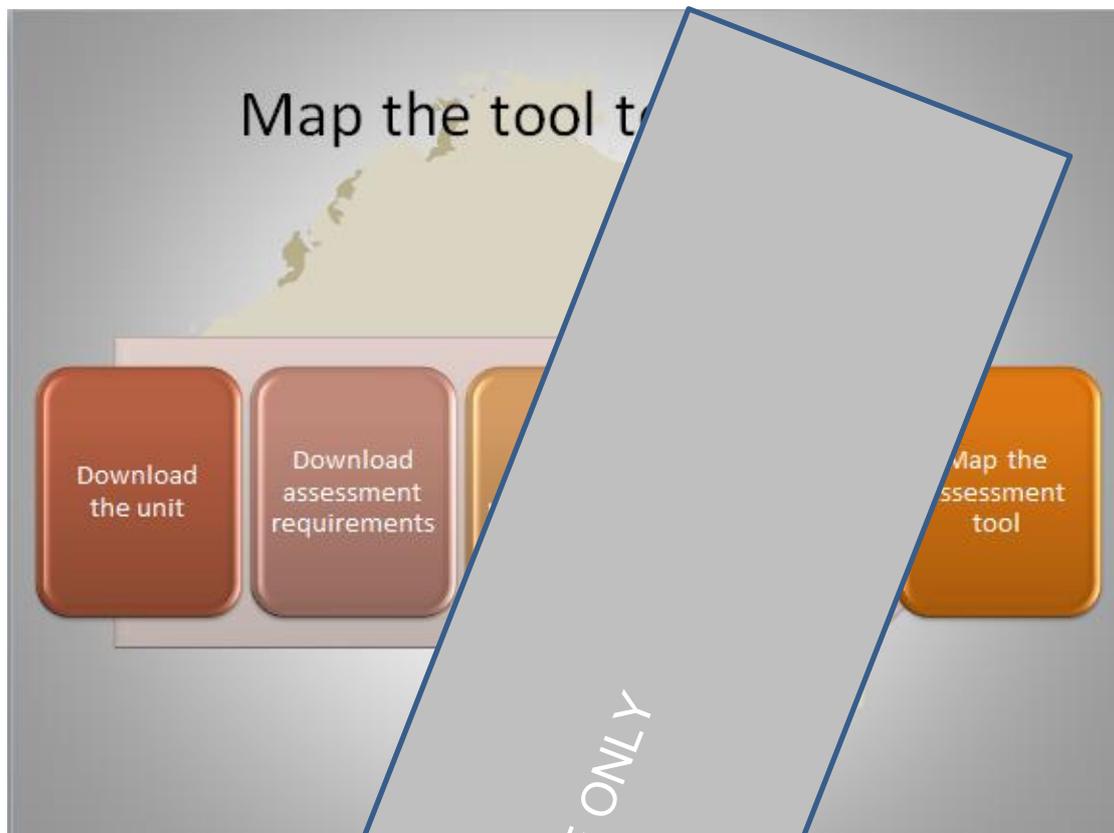
in relation to what we need to do in a validation meeting:

<p>synthesising, judging and recording outcomes</p> <p>What do they need to do?</p> <p>What evidence must be provided, and how the evidence relates to the unit(s) of competency?</p> <p>Does the assessor have clear benchmarks for assessment – how to make their judgement?</p> <p>Is there appropriate evidence for the assessor to record outcomes in each of the instruments?</p>

represents the full range of knowledge and skills specified within the unit(s) of competency	
How do the tasks in the instruments map to the unit(s) of competency?	
Are there any gaps in the mapping?	
Are there sufficient tasks to confirm repetition of the unit(s) of competency?	
Will the tasks demonstrate all four Dimensions of Competency?	
work-based contexts, specific enterprise requirements	relevant to the industry
Is the tool designed appropriately for the unit(s) of competency?	
How is the tool contextualised for the unit(s) of competency? (or is this needed)?	
Do the tasks accurately represent the unit(s) of competency?	
adheres to the literacy and numeracy requirements of the unit(s) of competency	
What LLN levels are necessary to complete the tasks? (or is this needed)?	
Is the tool written in language appropriate for the unit(s) of competency?	
Will performance of the assessment tasks require the candidate to meet the required LLN level for the unit?	
assess a variety of evidence	
Is there a sufficient range of evidence to meet the unit(s) of competency requirements?	
Will the tasks demonstrate the unit(s) of competency requirements?	
Will the tasks demonstrate the unit(s) of competency requirements?	
Will the tool ensure transfer of learning to the unit(s) of competency?	
minimise the influence of external factors	
Is there anything required in the unit(s) of competency that is not required in the unit?	
Are there any considerations that make the tool impractical?	
Will the candidate have access to the resources identified in the Assessment Conditions?	
clear decision making	assessments
Are there model answers provided for the assessor?	
Where responses are provided, do they provide sufficient guidance on what constitutes a satisfactory response?	
Is the guidance provided sufficient to ensure consistency of assessment?	
instruction on the types of evidence to be collected	
Is the tool made available to the assessor?	
Is there a summary tool that clarifies to the assessor how each instrument contributes to the unit(s) of competency?	
Will it be clear to the assessor how the evidence requirements contribute to the overall assessment?	
principle of assessment	reasonable adjustments
Is there anything in the tool that could be construed as discriminatory?	
Is there anything in the tool that could be construed as discriminatory – or is this included in the RTO policy?	
Are there any reasonable adjustments – or is this included in the RTO policy?	
Are there any reasonable adjustments – or is this included in the RTO policy?	
sufficient evidence	
Do the tasks require the candidate to demonstrate the unit(s) of competency requirements?	
Is the tool designed to be carried out over an appropriate period of time?	
Is the tool designed to be carried out over an appropriate period of time?	
Is the tool designed to be carried out over an appropriate period of time?	
Can the work be authenticated as the candidate's own work?	
Is there a method in the tool for verification and is there a method in the tool for verification?	
adequate level of difficulty	
Is the tool written at an appropriate AQF level?	
Are the tasks at an appropriate level of simplicity or complexity for the AQF level?	

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Mapping the tool to the unit



There is no way you can validate an assessment tool by simply mapping it back to the unit requirements.

For this, you will need a more detailed approach. In the 'Map the tool to the unit' Workbook, you will see a detailed approach to mapping an assessment tool.

When validating an assessment tool, you will need to download the unit and assessment requirements and compare them to the assessment tool. Then you would work with your colleagues in a validation meeting to discuss the assessment task in turn, and mark on the mapping tool where the assessment tool meets the requirements.

An assessment tool validation summary, identifying how the assessment tool meets the requirements. Although, during validation, you should check that the assessment tool meets the requirements, you should not simply copy it. In fact, you need to ignore the assessment tool and focus on the requirements.

Example of BSBWHS401

Elements	Foundation Skills	Mapping Assessment Task Nos
1 Assist with identifying hazards and incidents	Requirements	
1.1 Apply knowledge of workplace safety (WHS) legislation to identify duty of care and legislative requirements regarding responding to incidents	Reading Navigate the world of work	1, 3, 9

Elements and Performance Criteria	Foundation Skills	Mapping Assessment Task Nos
1.2 Apply knowledge of workplace policies, procedures and processes to identify workplace requirements regarding responding to incidents	Reading Navigation	1, 2, 4, 6, 7
1.3 Communicate requirements to individuals and parties appropriate to own job role and work area	Writing Oral Communication Interact with others	4, 6
2 Assist with implementing initial incident response		
2.1 Assist with providing first aid according to workplace procedures and processes, where necessary		3, 4
2.2 Assist with notifying, reporting and documenting incidents according to workplace procedures and processes		4-9
2.3 Assist with meeting legislative requirements regarding incidents, where necessary		1, 3, 6, 7, 9
3 Assist with collecting WHS information for investigation		
3.1 Assist with obtaining information from those involved using appropriate collection techniques, about activities leading up to, occurring during or following an incident		5-6
3.2 Assist with identifying and locating sources of additional information related to an incident		5-6
4 Assist incident investigation		
4.1 Assist investigators and collect information during investigation	Information Interact with others Get the work done	5-8
4.2 Use appropriate techniques for participating in workplace investigations	Communication Interact with others Get the work done	5-6
4.3 Review reports of workplace incidents and illnesses	Communication Get the work done	6-8
4.4 Contact relevant authorities where necessary	Interact with others Get the work done	7-9
5 Assist in implementing recommendations and actions arising from investigations		
5.1 Communicate findings from investigations	Writing Oral Communication Interact with others	7, 8, 10
5.2 Assist in implementing appropriate actions	Get the work done	7, 8, 10
Knowledge		
To complete this task, the individual must:	and effectively, the individual	
explain hierarchy of risk controls and different risk controls including inadequacies of particular risk controls	options for choosing between	8
identify internal and external sources of WHS information and data, and how to access them including safe work procedures		3, 6

Elements and Performance Criteria	Foundation Skills	Mapping Assessment Task Nos
identify internal and external sources of WHS information, data, and how to access them including WHS policies and procedures		1, 2, 4, 6
identify internal and external sources of WHS information, data, and how to access them including WHS Acts, regulations, industry standards and guidelines		1, 3, 5, 8
identify internal and external sources of WHS information, data, and how to access them including workplace records, risk assessments and incidents		4, 7
outline the organisation's WHS policies, procedures, systems relevant to own job role or work area, incidents and accidents including initial response, investigations and reporting		1-6
explain own role and role of duty holder		1, 4, 6
Performance Evidence		
Evidence of the ability to, as appropriate to the context, demonstrate:		
identifying Work Health and Safety (WHS) requirements and duty holders in relevant contexts		1-4, 6
communicating relevant WHS requirements to individuals and parties		1, 5, 7, 8, 10
providing first aid according to workplace requirements		3-4
reporting, notifying and documenting WHS requirements		4, 5, 7-9
obtaining information about incidents using techniques including information gathering up to, and including, the point of investigation		5-6
obtaining information about incidents using techniques including identification and collection		5-6
investigating incidents in order to provide assistance to investigators		6-8
investigating incidents in order to identify causes to inform development of actions		5-6
investigating incidents in order to identify causes of accidents, injuries and illnesses		5, 7
investigating incidents in order to identify causes of accidents, injuries and illnesses		7, 9
communicating findings from investigations.		7, 8, 10

Once you have been able to confirm that it is designed to provide evidence that:

- Validity of assessment
- Sufficiency of evidence of competency

Mapping tool will guide an assessment process that meets the principles of assessment design.

It will ensure compliance with the principle of fairness. If you find tasks that fall outside the unit (they don't map to anything) then this breaches the principle of fairness. Tasks must only be required to demonstrate the performance and knowledge stated in the unit.

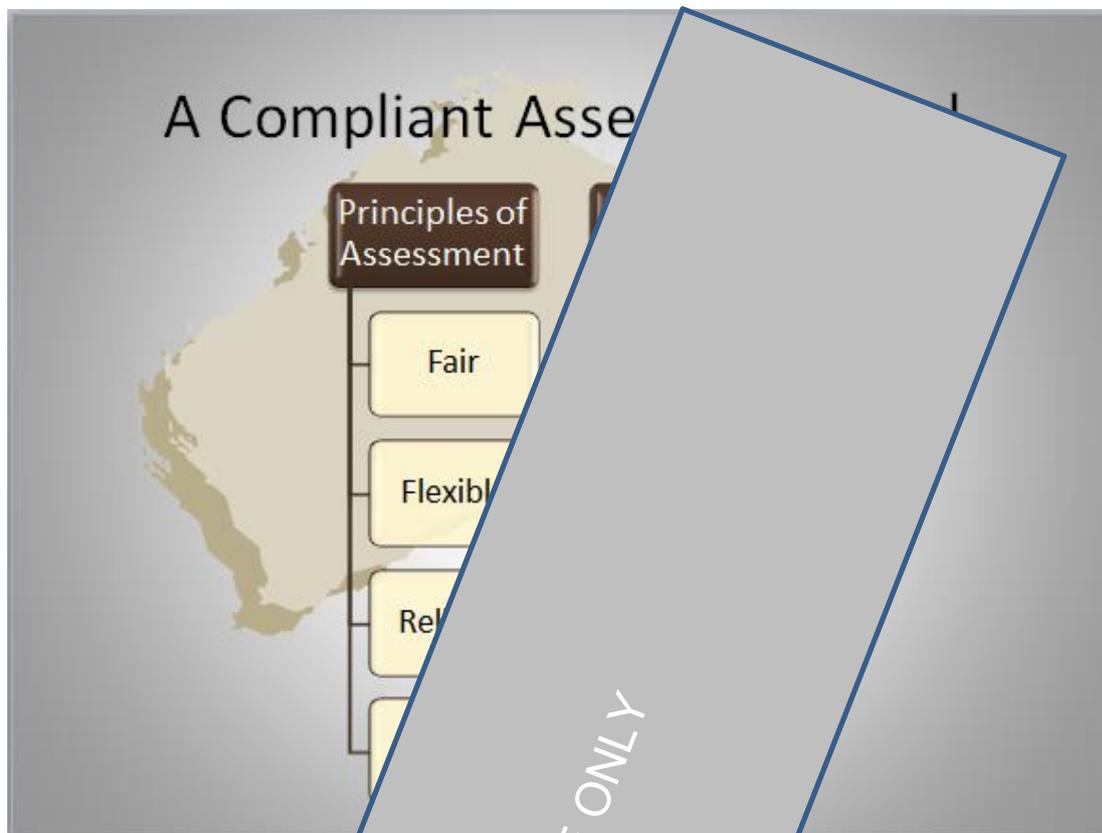
Dimensions of Competency

While mapping the tasks, you should also ensure that the candidate's performance will demonstrate all four dimensions of competency. These should be included in the mapping tool, although this is not a specific requirement.

- Task skills – the ability to perform the task
- Task management skills – the ability to plan and execute the task in a logical manner
- Contingency management skills – the ability to identify and deal with problems appropriately that could occur and/or
- Job/role environment skills – the ability to understand and apply policies, procedures etc. in a real or simulated workplace

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Completing the Validation



The next step is to consider the requirements of the principles of assessment and rules of evidence.

Principles of assessment

Fair

The tool must be valid, reliable and appropriate for the purpose of the assessment. The instructions must be clear and sufficient, so there is no doubt as to what is expected of the candidate and what they need to do. The assessment must be free from bias and discriminatory in any way. The assessment must be at an appropriate level for the candidate. The assessment must be based on reasonable adjustments – although this is only applicable if provided it is included in the RTO's policies and procedures. All assessment materials for assessment must be read in conjunction with the relevant standards before they should be available to review in the validation meeting.

Flexible

The tool needs to relate to the needs of the target group.

The Training and Assessment Strategy will identify the characteristics and needs of the target group.

This will help you determine how the tool is contextualised to a specific work environment.

You will therefore need to refer to the Assessment Strategy to review at the validation meeting.

Reliable

Reliability refers to the consistency of assessment judgements.

A tool is not complete if it does not provide for the assessor.

For short answer questions, the assessor guide with model answers.

For tasks where the correct actions will vary, there should still be an assessment guide that lists what to look for, and what needs to be demonstrated.

For direct observation, there should be an observation form with a detailed list of all actions and/or anything else that needs to be demonstrated.

Valid

Valid means that the tool assesses what it claims to assess – the competency.

Rules of

Valid

Confirmed by mapping.

Sufficient

Confirmed by mapping.

For knowledge, this may only require one task to map – depending on the complexity of the knowledge required.

For skills, this may be confirmed through performance, where the knowledge would need to be used in order to perform a task.

For performance, the criteria require the candidate to actually do something – not just know how to do something. This is a common pitfall in assessment tools.

tools.

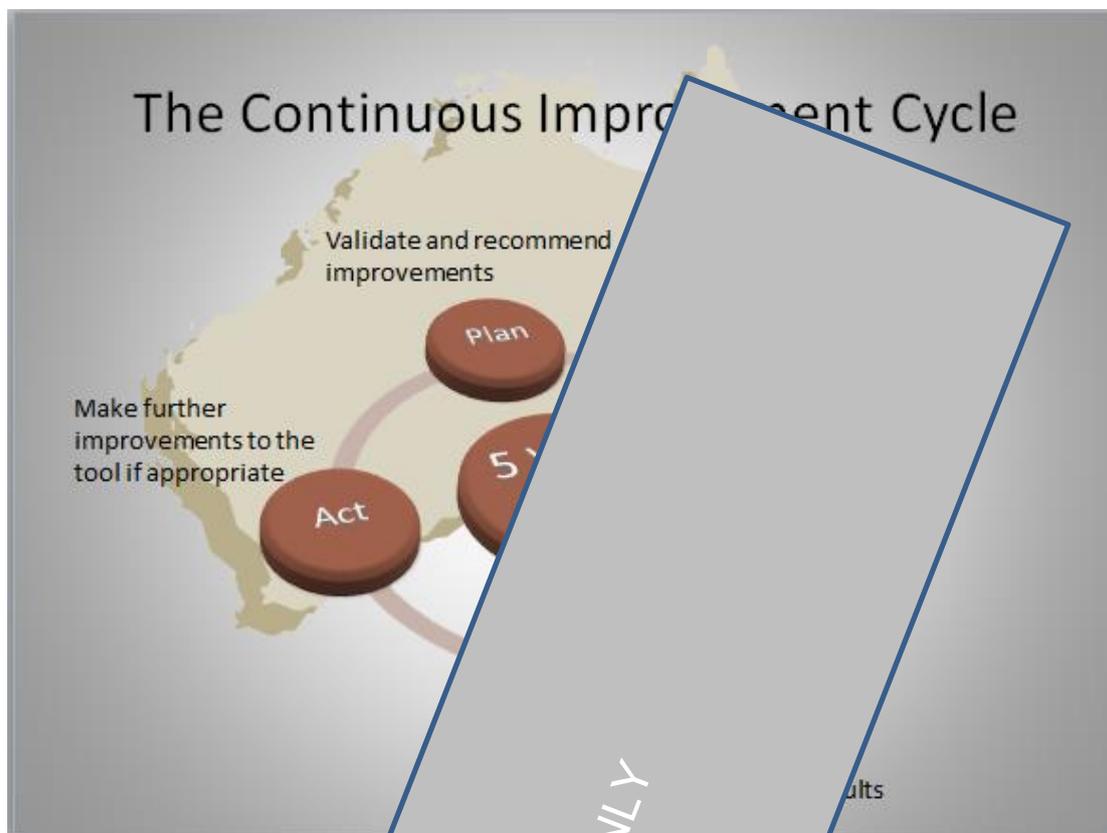
For performance, there should usually be more than one task that maps to each individual PC. Ideally different tasks will require the same type of performance in a slightly different situation.

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	<p>Be careful to check the Performance criteria. There may be a requirement to perform a task a certain number of times.</p> <p>Evidence should be sufficient to demonstrate performance.</p>
Current	<p>Currency refers to the relevance of the assessment tool. It is not only more of a problem with an RPL assessment tool.</p> <p>Where the candidate is currently undertaking the assessment pathway, they are producing current evidence.</p> <p>You need to look at the assessment tool will confirm that the evidence is current today, tomorrow and in the future.</p>
Authentic	<p>Evidence must be authentic. Therefore, you need to know how the evidence will be collected.</p> <p>In the case of a direct observation pathway where the assessor has direct access to the candidate, this is not an issue.</p> <p>The relationship between the candidate and assessor do not have a personal relationship, for example an on-line course. In this case the tool should be authenticated.</p> <p>The tool should be authenticated. If there is a third party assessor or colleague to complete, the tool should be authenticated by the assessor to complete, documenting how they</p>

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Continuous Improvement



Remember that validation is a continuous process for the purpose of continuous improvement.

You will never see a perfect assessment tool. There will always be room for improvement. Therefore, the outcome of validation should be a documented recommendation which will be used to improve the tool.

- Identify non-compliance issues for making the tool compliant
- Confirm that the tool meets the requirements and provides recommendations for further improvement

The RTO Standard requires a 5 year cycle of validation for every assessment tool. For hundreds of assessment tools, this requires a very significant effort to be adhered to. The results of validation meetings will be used to improve the tool.

Versioning



An assessor must always use the most current version of the assessment tool. They should never be stockpiled but accessed directly when they are needed.

This requires a strict quality management process. The version number of the tool should appear on every copy of the tool. The version number of the tool should be archived so that they cannot be accessed by accident.

The RTO should have a process for managing the versioning of the tool. When a learning or assessment resource is modified, the version number should be updated in the continuous improvement register, identifying the reason for the change and the version number.

The documented reasons for the change should be retained, as they will provide details of the reasons for the change to the assessment tool.

Version numbers should be used to identify the document. A common versioning method is:

- V0.1 – first draft
- V0.2 – second draft
- V1.0 – final version
- V1.1 – first minor update (usually correcting a typing or grammatical error)
- V2.0 – second major update (where the content was modified)

The date of the document should be included in the footer, frequently with a review date which is usually 12 months from the date of the document.

Therefore, the record of a validation meeting should state the version number and date of the tool which was validated.

Assessment Tasks

Now refer to your assessment task workbook and complete the tasks