TAAASS404B Participate in assessment validation
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Modification History
Not applicable.

Unit Descriptor
This unit specifies the competence required to participate in an assessment validation process.

Application of the Unit
Validation is a process involving assessors working in collaboration to review, compare and evaluate their assessment process and their assessment outcomes in relation to the same unit/s of competency. This includes validating assessment methods/tools, the evidence that was collected using these assessment methods/tools and the interpretation of that evidence to make a judgement of competence.
Validation forms part of the quality systems of the training/ and/or assessment organisation (refer to definition in the Range Statement) and is undertaken to improve the quality of the assessment process.
Validation may be undertaken prior to and post the assessment of candidates and includes validation of formative and summative assessment activities (the latter includes assessment for recognition purposes).
Validation may be an internal process involving assessors from the same training and/or assessment organisation, or it may occur as an external exercise involving assessors from different organisations.
This unit focuses on the skills and knowledge needed to participate in assessment validation. It does not address the competence of leading the validation process - that function is addressed in TAAASS501B Lead and coordinate assessment systems and services. The achievement of this unit includes interpretation of competency standards (where competency standards are used as the benchmarks for assessment). TAADES401B Use Training Packages to meet client needs addresses this skill in depth.
Achievement of this unit requires competence in conducting assessment. Therefore TAAASS402C Assess competence is a prerequisite/co-requisite unit.
Interpretation of the effectiveness of the assessment plan and selected/modified assessment tools also forms part of this unit of competency. Therefore, competence in the following units is also highly recommended.
TAAASS401C Plan and organise assessment
TAAASS403B Develop assessment tools
The competence specified in this unit is typically required by assessors, lead assessors, training and/or assessment consultants.
Licensing/Regulatory Information
Not applicable.

Pre-Requisites
Not applicable.

Employability Skills Information
This unit contains employability skills.

Elements and Performance Criteria Pre-Content
Elements describe the essential outcomes of a unit of competency. Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.

Elements and Performance Criteria

<table>
<thead>
<tr>
<th>Element</th>
<th>Performance Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Prepare for validation</td>
<td>1.1 The <strong>purpose, focus</strong> and <strong>context</strong> of validation is confirmed and discussed with <strong>relevant people</strong></td>
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<tr>
<td></td>
<td>1.2 The <strong>approach to validation</strong> is discussed and confirmed in accordance with the defined purpose/s, context, relevant <strong>assessment system policies</strong> and <strong>procedures</strong> and organisational/ legal/ethical requirements</td>
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<td></td>
<td>1.3 Relevant <strong>benchmarks for assessment</strong> are analysed and the <strong>evidence</strong> needed to demonstrate that competency is collectively agreed</td>
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<td>1.4 Any <strong>related documentation</strong> relevant to validation proceedings is identified and collectively agreed</td>
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<tr>
<td></td>
<td>1.5 <strong>Material/s</strong> to be used in validation sessions are obtained, read and interpreted and <strong>validation activities</strong> collectively agreed</td>
</tr>
</tbody>
</table>
2 Contribute to validation process

2.1 Active participation in validation sessions and activities is demonstrated using appropriate communications skills

2.2 Participation in validation sessions and activities, includes the review, comparison and evaluation of:
   - the overall assessment process
   - assessment plans
   - interpretation of competency standards or other benchmarks for assessment
   - selection and application of assessment methods
   - selection and use of assessment tools
   - the collected evidence
   - assessment decisions including the exercise of judgement

2.3 The review, comparison and evaluation is undertaken in accordance with the principles of assessment and rules of evidence

2.4 All documents used in the validation process are checked for accuracy and version control

3 Contribute to validation outcomes

3.1 Validation findings are collectively discussed, analysed and agreed to support improvements in the quality of assessment

3.2 Recommendations to improve assessment practice are discussed, agreed and recorded

3.3 Changes to own assessment practice, arising from validation and appropriate to assessment role and responsibilities, are implemented

Required Skills and Knowledge

Not applicable.
Evidence Guide

Overview of Assessment

To demonstrate competence against this unit candidates must be able to provide evidence that they have actively participated in and have contributed to a minimum of two validation sessions, using different validation approaches and validation activities.

The evidence provided must: explain the validation purpose and context and the legal and ethical responsibilities of assessors; include the collation of documentation to be submitted to the validation process; demonstrate access and interpretation of the competency standard and evidence requirements; demonstrate communication and liaison with relevant people and participation in providing feedback and interpreting documentation in validation sessions; demonstrate how the critical aspects of validation were addressed; show involvement in reviewing findings/outcomes, including, where relevant, contributing to the finalised validation documentation.

Evidence Requirements

Required knowledge includes:

- what is competency-based assessment including vocational education and training as a competency-based system
- assessment is criterion referenced/distinction to norm referenced assessment
- criterion used in national VET is endorsed or accredited competency standards defining specifications for performance of work/work functions and skills/knowledge
- reporting of competency-based assessment
- competency standards as the basis of qualifications
- the principles of competency-based assessment
- the structure and application of competency standards
- how to interpret competency standards and other related assessment information to determine the evidence needed to
demonstrate competency including:
the components of competency
assessment of Employability Skills, dimensions of competency and OHS requirements
Training Package Assessment Guidelines
the qualification level of units

Australian Qualifications Framework Guidelines including characteristics of AQF levels
different assessment methods and which methods may be appropriate and relevant to different units/ different parts of individual units
different types of assessment tools, what tools work for what types of evidence, what are well constructed assessment tools and why
what are the principles of assessment and how they guide assessment and validation processes
what are the rules of evidence, why are they important, particularly in a validation context
the various reasons for carrying out validation and the different approaches to validation that may be appropriate:
before assessment
during assessment
after assessment

the critical aspects of validation, including validation of:
assessment processes
methods and tools
the collected evidence leading to assessment decisions
assessment decisions
different aspects of quality systems such as:
local/relevant strategies to meet the AQTF
continuous improvement systems
quality assurance policies and processes
Assessment system policies and procedures
records management systems

relevant policy, legislation, codes of practice and national standards including national Commonwealth and state/territory legislation for example:
Training Packages/competency standards/other assessment benchmarks
licensing requirements
providing accurate information
meeting environmental standards
industry/workplace requirements
duty of care under common law
recording information and confidentiality requirements
anti-discrimination
workplace relations
industrial awards/enterprise agreements

relevant OHS legislation, codes of practice, standards and guidelines, impacting on assessment
Required skills and attributes include:

research skills to:
access and analyse relevant documents for validation
use a range of source documents to access information for validation

evaluation/revision skills to:
determine evidence requirements from competency standards
review assessment process
review assessment methods and tools
review collected evidence

literacy skills to:
read and understand the documents relevant to validation

observation skills to:
evaluate and compare assessment planning, organisation, methods, tools, and evidence documentation leading to assessment judgements
identify where improvements to the assessment process can be made

communications and interpersonal skills to:
effectively participate and contribute to validation activities and sessions
collaborate with colleagues
seek and receive feedback on assessment practice

share sensitive information
maintain confidentiality of sensitive information
gain and maintain trust of colleagues
provide advice and support to colleagues
planning skills to:
participate within agreed timeframes

problem solving skills to:
identify information that is inconsistent,
ambiguous or contradictory
suggest/confirm recommendations for
improvements in assessment

**Products that could be used as evidence include:**

recommendations as a result of reviewing assessments, and why
evaluations of the quality of assessment tools against the identified competency standards
evaluations of the evidence collected against identified competency standards, and whether it meets the rules of evidence
suggested recommendations discussed for modification

**Processes that could be used as evidence include:**

how competency standards and other documents were interpreted and evidence requirements identified
how assessment decisions were evaluated
how assessment feedback was collated and evaluated
what contribution was made to validation activities

**Resource implications for assessment include:**

access to competency standards and other related assessment documentation
access to completed assessment tools
access to assessment reports/records
access to suitable assessment validation venue/equipment
access to a validation group
access to relevant workplace documentation
cost/time considerations
meeting personnel requirements retime management
The collection of quality evidence requires that:

- assessment must address the scope of this unit and reflect all components of the unit i.e. the Elements, Performance Criteria, Range Statement, Evidence Guide, Employability Skills
- a range of appropriate assessment methods/evidence gathering techniques is used to determine competency
- evidence must be gathered in the workplace whenever possible. Where no workplace is available, a simulated workplace must be provided
- the evidence collected must relate to a number of performances assessed at different points in time and in a learning and assessment pathway these must be separated by further learning and practice
- assessment meets the rules of evidence
- a judgement of competence should only be made when the assessor is confident that the required outcomes of the unit have been achieved and that consistent performance has been demonstrated

Specific evidence requirements must include:

- active participation in a minimum of two validation sessions/meetings which, in combination, address the critical aspects of validation using different validation approaches and activities
- clear explanations of the purposes of validation and the legal and ethical responsibilities of assessors
- collation of all documentation relating to the validation process in a logical manner
- demonstration of communications and liaison with relevant people
- provision of feedback and interpretation of documentation in validation sessions
- record of contribution to validation findings

Integrated assessment means that:

- this unit can be assessed alone or as part of an integrated assessment activity involving relevant units in the TAA04 Training and
Assessment Training Package.

Range Statement

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

Training and/or assessment organisation refers to:

- a Registered Training Organisation (RTO), i.e. an organisation registered to provide recognised training and assessment services;
- includes TAFE institutes, private commercial colleges/companies, enterprises, community organisations, group training companies and schools
- an organisation working in a partnership arrangement with an RTO to provide recognised training and assessment services
- an organisation that provides non-recognised training and assessment services

Purpose and focus of validation may include:

- as part of organisational quality assurance processes
- to address an identified area of risk in assessment practice and quality
- to demonstrate compliance with the Australian Quality Training Framework (AQTF) Standards for Registered Training Organisations (RTOs)
- to ensure assessments meet the evidence requirements of the competency standards or other assessment benchmarks
- to provide evidence for external audit
- to provide evidence for internal audit
- to improve assessment practices
- to evaluate the quality of assessment tools
to provide professional development

to increase assessor confidence

to determine whether different assessors
using the same tools collect the same types
and levels of evidence

to determine whether different assessors
interpret the same evidence similarly

to determine whether assessment decisions
reflect the principles of assessment and rules
of evidence

**Context of validation** may include:

- internal to the organisation, e.g. same site or
  across sites
- external to the organisation, e.g. in a
  industry, region, city, state, assessor network
- through licensing or similar body
- with co-assessors
- with peers/colleagues from other training
  and/or assessment organisations

**Relevant people** must include:

- other assessor/s involved in the validation
  exercise

**Relevant people** may include:

- lead assessors
- managers, supervisors
- technical and subject experts, including
  occupational health and safety (OHS) experts
  and language, literacy and numeracy
  specialists
- personnel or partners with responsibilities for
  input into the quality assurance system
- training and/or assessment coordinators
- industry clients
- industry regulators
- employee and employer representatives
- members of professional associations
- personnel from a state or territory registering
  body
- independent validators
**Approach to validation** may include:

- assessment panels
- moderation meetings
- collectively developing/reviewing banks of assessment tools and exemplars
- benchmarking
- field testing, trialling and piloting assessment tools
- peer review
- team assessment
- internal audit process
- client feedback mechanisms
- mentoring of less experienced by more experienced assessors
- use of independent assessment validator to review validation processes

**Assessment system policies and procedures** may include:

- candidate selection
- rational and purpose of competency-based assessment
- assessment records/data management/information management
- recognition of current competency/recognition of prior learning/credit arrangements
- assessors - needs, qualifications, maintaining currency
- assessment reporting procedures
- assessment appeals
- candidate grievances/complaints validation
- evaluation/internal audit
- costs/resourcing
- access and equity/reasonable adjustment
- partnership arrangements
- links with human resource or industrial relations systems
- links with overall quality management
Organisational/legal/ethical requirements may include:

- Legal and ethical responsibilities of assessors
- Assessment system policies and procedures
- Reporting, recording and retrieval systems for assessment, including documenting the agreed approach to validation
- Licensing/legal ramifications of assessing competence
- Requirements of training and/or assessment organisations relating to assessment and validation
- Quality assurance systems
- Business and performance plans
- Access and equity policies and procedures
- Collaborative/partnership arrangements
- Policies, procedures and programs
- Defined resource parameters
- Mutual recognition arrangements
- Industrial relations systems and processes, awards/enterprise agreements
- AQTF Standards for Registered Training Organisations (RTOs), in particular Standard 8, RTO assessment registration scope
- Human resource policies/procedures and legal requirements including anti-discrimination, equal employment, job role/responsibilities/conditions
- Relevant industry codes of practice
- Confidentiality and privacy requirements of information relating to completed assessments
- OHS considerations, including:
  - Ensuring OHS requirements are adhered to during the assessment process
  - Identifying and reporting OHS hazards and concerns to relevant personnel
**Benchmark/s for assessment** refers to: the criterion against which the candidate is assessed which, may be a competency standard/unit of competency, assessment criteria of course curricula, performance specifications, product specifications

**Evidence:** is material collected which, when matched against the specifications in the competency standards, provides proof of competency achievement

**Related documentation** may include: the Assessment Guidelines of the relevant Training Package/s

information from the competency standards about the resources required for assessment, the assessment context, appropriate assessment methods

standards

assessment activities identified in accredited modules derived from the relevant competency

assessment activities in Support Materials related to the relevant competency standards

any requirements of OHS, legislation, codes of practice, standards and guidelines

indicators and levels of competence of the National Reporting System

organisational requirements for demonstration of work performance

product specifications
Material/s may include:

- assessment tools
- samples of collected evidence
- documentation outlining the basis of assessment decisions
- reports/records of assessment decisions
- validation templates
- validation checklists
- assessment exemplars and competency standards
- sampling techniques
- banks of assessment tools
- survey pro formas

Validation activities may include:

- analysing and reviewing assessment tools
- analysing and reviewing collected evidence
- analysing and reviewing assessment decisions/records of assessment outcomes
- examining assessment records
- examining assessment systems
- discussing the assessment process, issues, difficulties in interpretation
- holding interviews with each other or with management, trainers/facilitators, candidates
- analysing client feedback
- observing assessment conduct
- using validation tools
- reviewing and interpreting Assessment Guidelines
- examining assessor qualifications
- analysing appeals processes
- recording evidence of validation processes and outcomes

Assessment process is defined as:

- key steps involved in the assessment cycle

Assessment plan is the overall planning document for the assessment process and may include:

- the purpose and aims of the assessment
- the context of assessment
- relevant competency standards to be used as
the benchmarks for assessment
other assessment information/documentation identified as relevant
identified personnel
identified assessment methods and assessment tools
possibilities for clustering units of competency for assessment purposes
identified OHS hazards, including assessed risks and control strategies
material and/or physical resources required
organisational arrangements for conducting assessment
OHS reporting requirements
any special assessment needs, e.g. personal protective equipment requirements
outline of assessment milestones, time lines and target dates
candidate self-assessment procedures
connections to relevant organisational plans, polices and procedures

Assessment methods are the particular techniques used to gather evidence and may include:

direct observation, for example:
real work/real time activities at the workplace
work activities in a simulated workplace environment

structured activities, for example:
simulation exercises/role-plays
projects
presentations
activity sheets

questioning, for example:
written questions, for example, on a computer
interviews
self-assessment
verbal questioning
questionnaires
oral or written examinations (applicable at higher AQF levels)

portfolios, for example:
collections of work samples compiled by the candidate
product with supporting documentation
historical evidence
journal/log book
information about life experience

review of products, for example:
products as a result of a project
work samples/products

third party feedback, for example:
testimonials/reports from employers/supervisors
evidence of training
authenticated prior achievements
interview with employer, supervisor, peer
Assessment tools contain:

- the instruments to be used for gathering evidence such as:
  - a profile of acceptable performance measures
  - templates/proformas
  - specific questions or activities
  - evidence/observation checklists
  - checklists for the evaluation of work samples

- candidate self-assessment materials

- the procedures, information and instructions for the assessor/candidate relating to the use of assessment instruments and the conditions for assessment

Judgement is a two-step process and means:

- the decision made by the assessor on whether the evidence provided meets the principles of assessment and rules of evidence

- the decision made by the assessor, based on the evidence provided and evaluated, on whether the candidate is competent/not yet competent

Principles of assessment are:

- validity
- reliability
- flexibility
- fairness

Rules of evidence are:

- validity
- sufficiency
- currency
- authenticity

Recommendations for improvement may include:

- ongoing professional development strategies for assessors
- changes to assessment system policies and procedures
- changes to assessment strategies
- changes to assessment plans
- changes to selected assessment methods
- changes/development of new assessment
tools
improved records management
changes to assessment resources
instigation of/changes to partnership arrangements
improvements to evidence collection
provision of additional information for assessors/candidates
greater advice/support/supervision of assessors
exemplars
liaison with technical experts/specialist support

Unit Sector(s)
Not applicable.

Competency Field
Assessment