



Australian Government

Department of Education, Employment and Workplace Relations

TAAASS404B Participate in assessment validation

Release: 1

TAAASS404B Participate in assessment validation

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

Elements and Performance Criteria

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

- 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

Evidence Guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

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

	<p>planning skills to:</p> <p>participate within agreed timeframes</p>
	<p>problem solving skills to:</p> <p>identify information that is inconsistent, ambiguous or contradictory</p> <p>suggest/confirm recommendations for improvements in assessment</p>
Products that could be used as evidence include:	<p>recommendations as a result of reviewing assessments, and why</p> <p>evaluations of the quality of assessment tools against the identified competency standards</p> <p>evaluations of the evidence collected against identified competency standards, and whether it meets the rules of evidence</p> <p>suggested recommendations discussed for modification</p>
Processes that could be used as evidence include:	<p>how competency standards and other documents were interpreted and evidence requirements identified</p> <p>how assessment decisions were evaluated</p> <p>how assessment feedback was collated and evaluated</p> <p>what contribution was made to validation activities</p>
Resource implications for assessment include:	<p>access to competency standards and other related assessment documentation</p> <p>access to completed assessment tools</p> <p>access to assessment reports/records</p> <p>access to suitable assessment validation venue/equipment</p> <p>access to a validation group</p> <p>access to relevant workplace documentation</p> <p>cost/time considerations</p> <p>meeting personnel requirements retime management</p>

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

system

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:	<p>the Assessment Guidelines of the relevant Training Package/s</p> <p>information from the competency standards about the resources required for assessment, the assessment context, appropriate assessment methods</p> <p>standards</p> <p>assessment activities identified in accredited modules derived from the relevant competency</p> <p>assessment activities in Support Materials related to the relevant competency standards</p> <p>any requirements of OHS, legislation, codes of practice, standards and guidelines</p> <p>indicators and levels of competence of the National Reporting System</p> <p>organisational requirements for demonstration of work performance</p> <p>product specifications</p>

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 proformas

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,
policies 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:	<ul style="list-style-type: none">the instruments to be used for gathering evidence such as:<ul style="list-style-type: none">a profile of acceptable performance measurestemplates/proformasspecific questions or activitiesevidence/observation checklistschecklists for the evaluation of work samples candidate self-assessment materialsthe 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:	<ul style="list-style-type: none">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:	<ul style="list-style-type: none">validityreliabilityflexibilityfairness
Rules of evidence are:	<ul style="list-style-type: none">validitysufficiencycurrencyauthenticity
Recommendations for improvement may include:	<ul style="list-style-type: none">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