



The Australian Skills Quality Authority (ASQA) Assessment validation requirements & RMIT policy and process overview

Academic Governance & Quality
February 2019

Overview

Validation of assessment is a quality assurance and improvement process. It involves checking that the assessment tool produces valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the relevant aspects of the training product have been met. It includes reviewing and making recommendations for future improvements to the assessment tool, process and/or outcomes. Clauses 1.8 – 1.12 of The Standards for Registered Training Organisations (RTOs) 2015 specify the requirements for assessments and validation used in Vocational Education and Training (VET). There is also further information in the ASQA User's Guide to the Standards and the ASQA Fact Sheet on Conducting Validation.

RTO's are required to have a 5-year-plan for the ongoing systematic validation of assessment practices and judgements for all training products explicitly¹ listed on their scope of registration. Training products refer to qualifications, accredited skillsets and stand-alone units of competency. RMIT's Validation Schedule is to be kept on the ARG's Academic Governance and Quality (AGQ) unit's Google drive and is updated annually by the AGQ Team in conjunction with School and College representatives, taking into account various risk factors¹ and changes to scope which occur.

Each training product is to be validated at least once every five years, with at least 50% of products validated within the first 3 years. Schools may choose to validate their training products more often, for example, if risk indicators demonstrate that more frequent validation is required. Indicators of risk could include:

- the use of new assessment tools;
- delivery of training products where safety is a concern;
- the level and experience of the assessor; or
- changes in technology, workplace processes, legislation, and licensing requirements.

¹ Explicitly listed training products, are qualifications, skillsets, accredited courses and units of competency that RMIT has specifically applied to have on our scope of registration. (RMIT has no accredited skillsets explicitly listed on its scope.)





Preparing for Validation

Responsibility sits within the colleges/schools to:

1. Review the annual validation schedule distributed by AGQ and update the items listed below:
 - a. Allocate the month in which validation will occur for each product. Taking into account the number of products being validated that year, and the months where intakes occur.
 - b. Nominate the lead validator for each product, (this cannot be the program manager).
 - c. For programs; select 2 units (1 core and 1 elective), at minimum, to undergo validation, as specified in the Training and Assessment Strategy document.
 - d. For RMIT skillsets; only skillsets that contain explicit units of competency² require validation.
 - e. For stand-alone units of competency explicitly listed on our scope, only that 1 unit needs to be validated.
2. Confirm members of the validation team ensuring the criteria as specified in the 'Conditions for assessment validation' below are met.
3. Check qualifications to ensure the validation team members hold the required training and assessment and vocational competencies, as well as have current training and assessment and industry knowledge relevant to the units being validated³.
4. Assemble all the required materials using the validation checklist.
5. Use ASQA's [validation sample size calculator](#) to assist you in determining the required sample size. Taking into account program plans, streams and skillsets where the same assessment tool is used.

Conducting the Validation

The lead validator should share the following validation guidelines with other validators:

- The purpose of validation is to check that our assessments are compliant and valid and identify any improvements that can be made to ensure we maximise student outcomes and provide appropriately trained people for industry.
- The process is undertaken in a supportive and positive manner with no bias.
- Validation follows the criteria provided on the Assessment Validation Report.
- Any recommendations for improvement must be detailed on the report once consensus is reached by participants.
- All participants must agree to the outcomes and comments provided on the completed Assessment Validation Report.
- If the assessment tools of one or two units sampled are not valid, further sampling of other units needs to occur or the program needs to be referred for comprehensive review as soon as possible.

² See ASQA fact-sheet; [Scheduling validation](#) for risk indicators.

³ special requirements apply to validation of qualifications from the TAE Training Package. Refer to the Standards 2015 for these.





Validation can take place in a face to face meeting, web or teleconference, or electronically via email and/or file sharing services (e.g. Google docs/OneDrive).

1. Review of assessment tools to meet the Principles of Assessment – valid, reliable, flexible and fair, and the assessment requirements specified in the Training Package or accredited course. While certain assessment tools will go through validation via the 5-year cycle, the expectation is that this is also completed, in some form, during development of assessment tools by the program team/ASQA delegation reviews, where applicable.
2. Review of assessment judgements to meet the following Rules of Evidence: valid, current, sufficient and authentic. This should be completed after the unit has been delivered to appropriately assess the rules of evidence and assessment judgements, using a valid statistical sample of completed student work.
3. The completed Assessment Validation Report must be provided to the Head of School/Deputy Head of School for approval within 1 week of completing validation and submitted to your College for uploading to the shared Google folder. Please save the file name with the national program/unit code.
4. Actions arising from the Assessment Validation Report must be submitted to the College for review and once completed uploaded to the shared Google folder by the due date specified in the report.

Conditions for assessment validation

Assign one person to lead validation and complete the report. This person should be someone who doesn't currently train or assess the training product and is independent of the program team.

Make sure that those participating in the validation include one or more people who are independent of the program team/delivery and assessment of the training product and together have:

- Appropriate vocational competency and currency (may be other trainers and/or industry representatives with skills/knowledge required by this unit);
- An approved Certificate IV in Training and Assessment qualification outlined in the Standards for RTOs 2015, as listed below;
- Current knowledge and skills in VET teaching and learning (e.g. other trainers).

Note: trainers/assessors of the unit being validated can participate but are not able to be involved in the decisions.

- Remember the purpose is to help improve assessments and student outcomes;
- Respect and listen to the input from others in the validation group;
- Don't take feedback personally and don't make it personal – it is always to be given for the purpose of improving assessment and student outcomes; and
- Check the assessment tools against all criteria in this report.





Governance

ARG are to provide governance for annual review of the Training and Assessment Strategy (TAS) for each program and plan and tracking of associated assessment validation reporting as a baseline for VE quality.

Tasks and responsibilities are outlined as follows:

ARG will:

- Maintain a central repository of completed TAS documents and assessment validation activity.
- Provide an annual summary report on the programs that have undergone validations and the results to the Internal Audit, Compliance, Regulation and Reporting team (IACRR) in Q1.
- Submit an annual report to VE Taskforce on progress in Q4 of each year.
- Complete bi-annual scope audits to ensure accuracy of RMIT's scope of registration to inform accuracy of schedules.
- Prompt colleges and schools to ensure all relevant training products have assessment validated within a 5-year period, and complete quarterly milestone checks.

Schools/Colleges will:

- Work with AGQ to follow-up on the submission of outstanding TAS and assessment validation documentation.
- Provide representation and report on progress at relevant VE governance and management committees, and follow-up on business arising.
- Perform assessment validation for at least 2 units from each of their training package qualifications and accredited courses, and explicit units of competency on RMITs scope of registration within a 5-year period. (Advice can be sought from AGQ as to how schools/colleges manage their validation schedules.)

IACRR are responsible for:

- Submission of the annual statement on compliance to ASQA regarding alignment with the Standards. To be submitted in Q1-Q2 each year as specified by ASQA.





Appendix 1 - Extract from ASQA website, Clauses 1.8 – 1.12

Choosing validators

Choose validators who are independent of delivery and assessment of the training product being validated and, particularly, the assessment judgements being considered to maintain professional distance and integrity.

People involved in validation must have:

- appropriate vocational competencies
- current industry skills and knowledge
- an appropriate training and assessment qualification or assessor skill set
- current knowledge and skills in vocational teaching and learning.

On or after 1 April 2019:

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

Item 2 - One of the following credentials:

TAE40116 Certificate IV in Training and Assessment or its successor, or

TAE40110 Certificate IV in Training and Assessment, **and** one of the following:

- TAELLN411 Address adult language, literacy and numeracy skills **or** its successor **or**
- TAELLN401A Address adult language, literacy and numeracy skills

and one of the following:

- TAEASS502 Design and develop assessment tools **or** its successor **or**
- TAEASS502A Design and develop assessment tools **or**
- TAEASS502B Design and develop assessment tools.





Item 5 - One of the following credentials:

TAESS00011 Assessor Skill Set **or** its successor

or

TAESS00001 Assessor Skill Set, **and** one of the following:

1. TAEASS502 Design and develop assessment tools **or** its successor **or**
2. TAEASS502A Design and develop assessment tools **or**
3. TAEASS502B Design and develop assessment tools.

RTOs may choose to take a 'team' approach to validation, in which the validation team members collectively hold the required qualifications, skills and knowledge. Trainers and assessors can be involved in validation activities, as long as they were not directly involved in the particular instance of delivery and assessment of the training product being validated (Except for validation of TAE Training Products—refer to the previous page for guidance on choosing TAE validators.).

Sampling approach to validation

RTOs must conduct validation activities systematically to confirm assessment judgements are being made correctly. While you are not required to validate every assessment judgement, a valid sampling approach provides a quality review process and allows you to infer that, overall, your RTO's assessment judgements have been valid.

Make sure that the sample of assessment judgements selected for validation is random and that it is representative of all assessment judgements. This will allow you to reliably predict the likelihood of any assessment judgement being valid. ASQA's [validation sample size calculator](#) can assist you in determining the required sample size—this is likely to be smaller than you would think, particularly where large numbers of assessment judgements have been made.

