

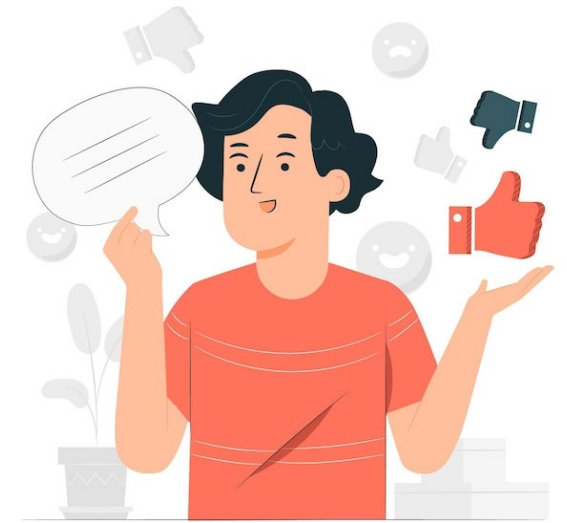
# Assessment Validation

Dr Russell Docking

We wish to acknowledge the traditional custodians of the land we are meeting on, the Whadjuk people. We wish to acknowledge and respect their continuing culture and the contribution they make to the life of this city and this region

# Topics for this workshop

- RTO Standards and assessment validation
  - Assessment validation vs assessment moderation
  - Pre-use, in-use, and post-use assessment validation
  - What might assessment validation lead to?
- 
- Pre-Reading
    - The need for high quality assessment practices
    - Quality criteria for assessment



# RTO Standards & assessment validation

- **1.9** ongoing systematic validation of assessment practices and judgements
- **1.10** each training product is validated at least once every five years
- **1.11** systematic validation of an RTO's assessment practices and judgements is undertaken by appropriate persons
- **1.8** validity of the RTO's assessment system
- **Standard 2** – 2.1, 2.2a&b, 2.3, 2.4

# Assessment validation and assessment moderation

**Assessment moderation** involves making adjustments either statistically or through discussion to assessment judgements where there are no specified outcome standards, process standards or judgement standards against which to assess.

**Assessment validation** involves a systematic and analytic process to evaluate assessment tools, processes and judgements with defined standards.



# What is assessment validation?

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

*Standards for RTOs 2015, Glossary, p.13*

# Criteria for assessment validation

Assessment validation needs to address all of the following:

- The definition of competency (Glossary)
- Adequacy of resources and time (1.1 – 1.4)
- Industry relevance (1.5 & 1.6)
- Responsiveness to individual needs (1.7 & 1.12)
- The quality of the assessment process, tools and judgement ... the Principles of Assessment and the Rules of Evidence (1.8)
- The credentials of assessors and observers (1.13- 1.20)
- The work of the assessor and observers

# Pre-use, in-use, and post-use assessment validation

**Pre-use assessment validation** is conducted by the developer, purchaser and/or user of the assessment resources to ensure quality meets the requirements of the training package and compliance with the Rules of Evidence and the Principles of Assessment (Clause 1.8b)

**In-use assessment validation** is the application stage

**Post-use assessment validation** is conducted by the RTO to ensure quality and comply with Clauses 1.8 – 1.11. As the use of the tools by the assessor is part of the post-use validation the assessor cannot conduct this validation.

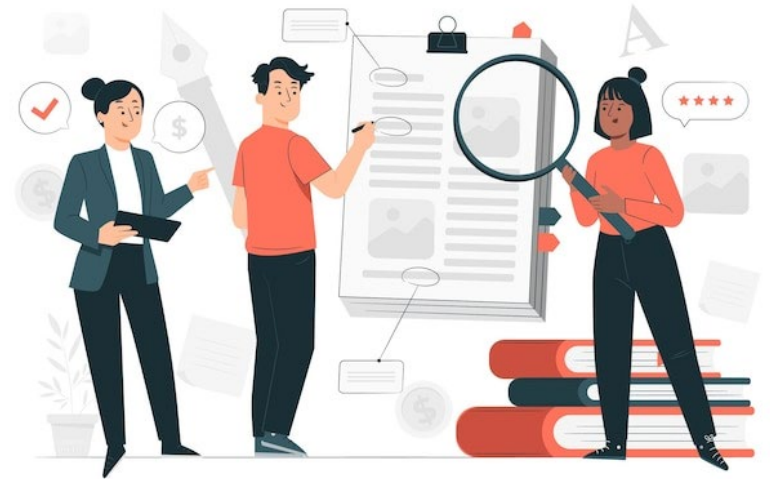




# Pre-use validation of assessment tools

We need to verify that RTO-made or purchased assessment tools:

- Reflect the unit of competency requirements
- Utilise suitable and accessible resources
- Reflect industry practices
- Respond to student needs
- Meet the rules of evidence of validity and sufficiency
- Meet the principles of assessment of validity and reliability
- Utilise VET and industry expertise



# Pre-use validation of assessment tools developed by someone else

Even when assessment tools are **industry approved**, **industry validated** and/or **industry preferred** tools, you cannot assume that the tools are compliant with the Standards.

The assessor and the RTO are wholly responsible for any errors that might arise from the use of the tools and as they were not developed by the RTO, it is the **RTO's responsibility** to map the tool to the requirements of the unit to identify any gaps.

# Resources for Pre-use assessment validation

Pre-assessment validation involves the review of the following documentation:

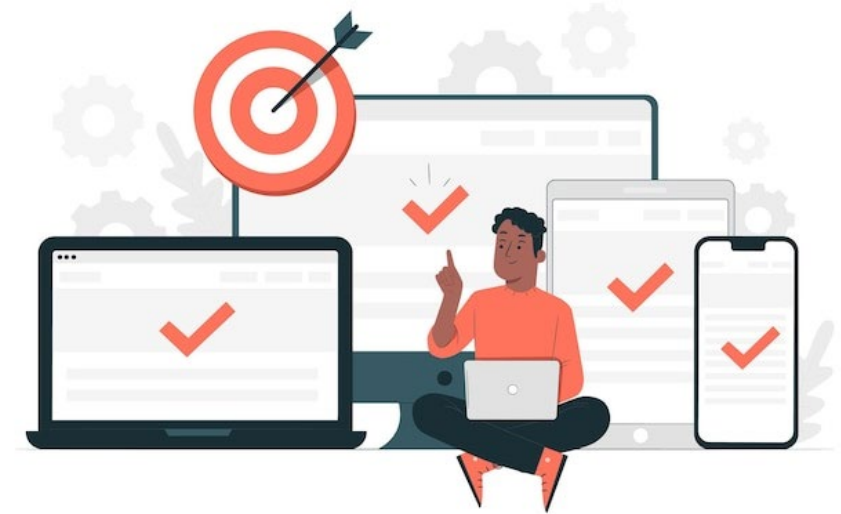
- The unit of competency and assessment requirements
- The Training and assessment Strategy (TAS)
- The Learning and Assessment Plan (LAP)
- The assessment mapping
- The knowledge evidence tools and marking guide
- The skills assessment tools and observation guide
- The assessment summary / judgement tool
- The RPL process and tools



# In-use assessment validation

The use of the assessment tools needs to be continuously monitored by the assessor, taking note of:

- The clarity of observer instructions
- The clarity of learner instructions
- The fidelity of administration of the tools
- The suitability of the recording methods
- The impact on the learner



# Validation of evidence-gathering

In the use of the assessment tools, the observer:

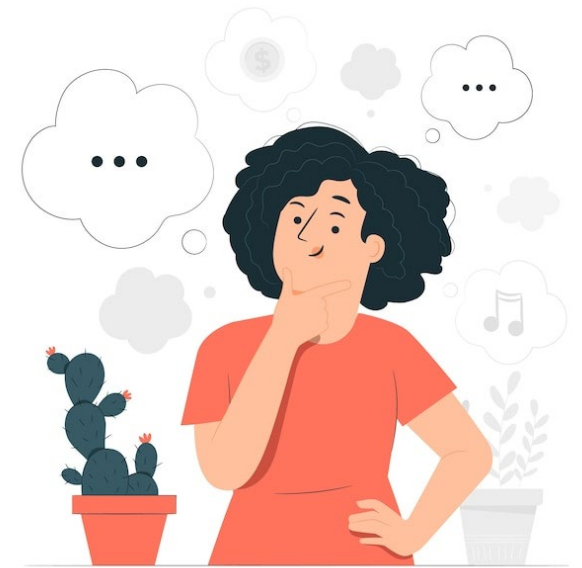
- Complies with the administration instructions
- Provides adequate time and resources
- Responds appropriately to individual needs
- Meets the rules of evidence of authenticity & currency.
- Meets the principles of assessment of fairness & flexibility
- Is suitably qualified to use the tools.



# Post-use assessment validation

In making the assessment decision, the assessor:

- Manages and monitors observers
- Gathers all relevant evidence
- Distributes clustered evidence
- Ensures that all accepted evidence meets the rules of evidence
- Meets the principles of assessment of validity, fairness, flexibility and reliability
- Ensures that VET and industry expertise are involved
- Gathers evidence of quality, including follow-up



# The requirements of Clauses 1.9 – 1.11

Assessment validation must involve appropriate:

- Systematic plan (policies and process)
- Validation schedule (risks, at least once in every 5 years)
- Personnel involved (independent, qualified)
- Representative sample of student work
- Documentation of outcomes
- Resultant action (localised and institutional)



# Sampling student assessments

What is a **representative sample** (described as a “statistically valid” sample in the glossary definition of “Validation”, p.13) Statistically valid is in turn defined in the glossary (p.12) as “...a random sample of appropriate size ... to enable confidence that the result is sufficiently accurate to be accepted as representative of the total population of assessments ...”

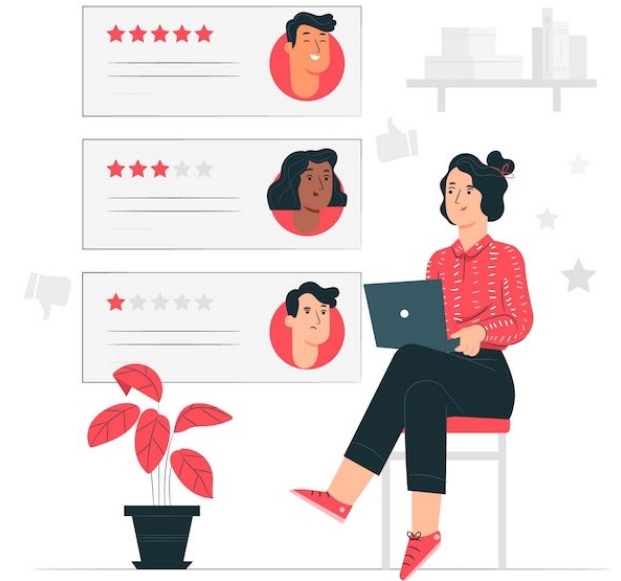
To avoid huge sample sizes it is recommended that you use a **stratified random sample**:

1. Identify distinct student assessment cohorts (Assessor, RPL, campus-based, remote, workplace, 3<sup>rd</sup> party, ...)
2. Randomly select two (2) students from each cohort.
3. Extend the sample if validity issues are identified.



# Sources of evidence for assessment validation

- Credentials of assessors
- Document analysis of assessment tools
- Observation of the use of assessment tools
- Review of a representative sample of student evidence
- Re-assessment and comparative analysis
- Feedback from observers
- Feedback from candidates (including appeals and complaints)
- Follow-up of graduates
- Feedback from industry
- Feedback from VET regulators



# Quality Assurance

The outcomes of assessment validation (and appeals) contribute to the quality assurance of the RTO's operations (Standard 2), specifically compliance with:

- Standard 1 (2.1);
- systematically monitoring assessment strategies (2.2a);
- evaluating and improving assessment strategies (2.2b); and
- monitoring assessment services delivered by a third party (2.3 & 2.4).

# Activity

Select one of the benchmarks and identify a specific assessment requirement for that benchmark.

Indicate what evidence would need to be collected to validate that requirement, what potential problems might be observed, and what remedies might be employed to address them.

Complete the activity and put your answers in the chat box for discussion



**10 Minutes**

Benchmark	Assessment requirement	Source(s) of evidence	Potential problems	Potential remedies
<b>The definition of competency (Glossary)</b>	Evidence of: <ul style="list-style-type: none"> <li>Consistency</li> <li>Application</li> <li>Knowledge</li> <li>Skills</li> <li>Workplace standard</li> <li>Transfer to new situations</li> </ul>	Analysis of: <ul style="list-style-type: none"> <li>Assessment mapping</li> <li>Assessment tools</li> <li>Industry engagement</li> <li>Employer feedback</li> </ul>	One-shot evidence of elements. <ul style="list-style-type: none"> <li>Repeated situations.</li> <li>Artificial context that does not reflect all the dimensions of competency.</li> <li>Skills assessed as knowledge.</li> <li>Elements fragmented.</li> </ul>	Use at least two measures for each element with different context/resources. <ul style="list-style-type: none"> <li>Use observation for elements and performance evidence.</li> <li>Ensure all performance criteria observed for each element in the same task.</li> </ul>

Benchmark	Assessment requirement	Source(s) of evidence	Potential problems	Potential remedies
Sufficient and appropriate resources and time (1.1 – 1.4)				
Industry relevance (1.5 & 1.6)				
Responsiveness to individual needs (1.7 & 1.12)				
The quality of the assessment process, tools and judgement ... the Principles of Assessment and the Rules of Evidence (1.8)				
The credentials of assessors and observers (1.13- 1.20)				
The correct use of the tools by observers (1.8b)				
The judgement processes of the assessor (1.8b)				

# What might assessment validation lead to?

- Changes to assessment strategies and tools;
- Changes to assessors and observers;
- Changes to the management of assessment;
- Changes to the use of the tools;
- Changes to the assessment judgement process;
- Changes to training and assessment strategy and/or learning and assessment plan;
- Implications for other assessors, other training products, RTO systems, procedures and policies;
- Professional development.



# Review

The core business of an RTO is the certification of the industry-relevant ***competencies*** of individual candidates

This certification must be based upon a judgement of competency made by a ***qualified assessor***

This ***judgement*** must be ***valid, reliable, fair and flexible***

This judgement must be based upon ***evidence gathered through assessment tools*** that is ***valid, sufficient, current and authentic***

**The RTO and the assessor are accountable for the validity of these judgements**

# References and Resources

- Standards for RTOs
- The TAC Users' Guide for the Standards
- Fact Sheets:
  - Assessment
  - Assessment Validation
  - Records Management
  - Complaints and Appeals
  - Industry Engagement Fact Sheet
  - Vocational Competence and Industry Currency
  - Assuring the Quality of RTO Processes, Practices and Products
  - Identifying and Meeting Learner Needs
  - Amount of Training
  - Third Party Arrangements

# Questions?

## Contact TAC



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