Assessment Validation Procedure

# Audience

This procedure is relevant to TasTAFE Managers Education and Training, Education Managers, Teachers, Education Quality Consultants, and Executive Director Students and Education.

# Purpose

The purpose of this Procedure is to outline processes for the systematic review of assessment practices and judgements for TasTAFE Training Products.

# Procedure statement/details

Validation is a quality review process and an essential requirement of the Standards for Registered Training Organisation (RTOs) 2015 (the Standards). Clauses 1.9, 1.10, and 1.11. Review and reflection on the standard of assessment within the training products TasTAFE delivers is essential for maintaining the confidence industry has in TasTAFE graduates.

The Standards have additional requirements when validating any training product from the Training and Education (TAE) Training Package, in accordance with Clause 1.25. Refer to the TAE section of this procedure for these additional requirements.

Validation activities are conducted **after** assessment is complete so that teachers can consider the Principles of Assessment and Rules of Evidence and how these are applied to both the **assessment practices and assessment judgements**. Validation includes reviewing a statistically valid sample of the assessments, making recommendations for future improvements to the assessment tool, improving the process and/or outcomes of the assessment tool and acting upon these recommendations.

To comply with the Standards, TasTAFE needs to ensure that **all training products** listed on the TasTAFE Scope of Registration are validated within a five-year cycle. This includes units of competency **explicitly** added to TasTAFE’s scope of registration.

All TasTAFE teams are required to validate **50%** of their training products **within the first 3 years of the 5-year schedule** and achieve 100% within five years.

Planning and Monitoring Tools

TasTAFE has developed two tools to assist teams to plan and monitor their assessment validation progress, and delivery teams will need to work together with their Education Quality Consultants to develop these:

* [5 Yearly Validation Plan](https://doccentre.tastafe.tas.edu.au/documents/5%20yearly%20validation%20plan.xlsx)
* [Annual Training Product Validation Schedule](https://doccentre.tastafe.tas.edu.au/documents/annual%20training%20product%20validation%20schedule.xlsx)

## 5 Yearly Validation Plan

The [5 Yearly Validation Plan](https://doccentre.tastafe.tas.edu.au/documents/5%20yearly%20validation%20plan.xlsx) lists all active training products delivered by the team, when the validation is due and when it has been completed.

The frequency of validation may be influenced by a training product that:

* holds CRICOS registration
* sits in a Third-Party Arrangement (Commercial or VET in Schools)
* is delivered across regions
* leads to a licenced outcome
* includes a variety of delivery modes
* are high risk units, short courses, skill sets, and training products linked to complaints or issues.

## Annual Training Product Validation Schedule

The [Annual Training Product Validation Schedule](https://doccentre.tastafe.tas.edu.au/documents/annual%20training%20product%20validation%20schedule.xlsx) provides the detail of the planned validation activity, including but not limited to the units, the validation year and date, the participants and the number of student assessment samples.

The 4 Phases of Validation

The validation process has been divided into 4 phases as outlined below.

## Phase 1, Schedule – Monitor the 5 Yearly Validation Plan

* Education Quality Consultants, in consultation with Education Managers, will develop and monitor the [5 Yearly Validation Plan](https://doccentre.tastafe.tas.edu.au/documents/5%20yearly%20validation%20plan.xlsx).
* Education Quality Consultants will maintain the [5 Yearly Validation Plan](https://doccentre.tastafe.tas.edu.au/documents/5%20yearly%20validation%20plan.xlsx), including updating the plan as products come on and off TasTAFE’s Scope of Registration.
* If a product is inactive in EBS, the product is not included in the [5 Yearly Validation Plan](https://doccentre.tastafe.tas.edu.au/documents/5%20yearly%20validation%20plan.xlsx) regardless of the product’s validation status.

## Phase 2, Preparation – Action the Annual Training Product Validation Schedule

* Education Quality Consultants, in consultation with Education Managers, will prepare an [Annual Training Product Validation Schedule](https://doccentre.tastafe.tas.edu.au/documents/annual%20training%20product%20validation%20schedule.xlsx).
* Education Quality Consultants will use the Validation Learner Selector on [Power BI](https://app.powerbi.com/groups/me/apps/470121c6-d86f-44c5-a3d6-4ab4c51298ba/reports/6514068f-65fe-4833-b98c-67eb787f1492/ReportSection5c2c6f409a09d7dbb67f?openReportSource=Commenting) to select the sample of students for the validation activity. Education Quality Consultants will be able to select student records by team, campus, training product, unit, offering, fund source and result.
* Education Quality Consultant will provide the student samples to the Education Manager to allow for the student file and evidence to be collated.

## Phase 3, Facilitation – Prepare the Assessment Validation Record and Conduct the Validation

* Education Managers are to organise the validation team, ensuring the participants are eligible to validate (refer to [Who can Validate](#whocanvalidate)).
* Education Quality Consultants are to attend and support the facilitation of the validation process.
* Education Quality Consultants to prepare a separate [Assessment Validation Record](https://recordsmanager.education.tas.gov.au/linkgeneratorapi/record/4713032/LatestFinalFile) for each unit of competency being validated.
* Lead Validator to complete the [Assessment Validation Record](https://recordsmanager.education.tas.gov.au/linkgeneratorapi/record/4713032/LatestFinalFile).

## Phase 4, Follow Up – Record the Outcome

* Education Managers are to co-ordinate workloads of teaching staff to undertake actions recorded on **Part C – Validation Outcomes** of the [Assessment Validation Record](https://recordsmanager.education.tas.gov.au/linkgeneratorapi/record/4713032/LatestFinalFile).
* Education Managers, in consultation with Education Quality Consultants, will store and access all evidence to support completed validation activity in alignment with the [5 Yearly Validation Plan](https://doccentre.tastafe.tas.edu.au/documents/5%20yearly%20validation%20plan.xlsx).
* Education Quality Consultants will support continuous improvement actions and record these on the Education Manager’s Action Plan and Continuous Improvement Plan.
* Education Managers or Education Quality Consultants are to verify changes, record completed actions and sign off on the Education Manager’s Action Plan and Continuous Improvement Plan.

Who can Validate?

The Education Manager must ensure the validation process is completed by people who collectively hold:

* vocational competencies and current industry skills relevant to the training product being validated,
* current knowledge and skills in vocational teaching and learning, and
* the TAE40110 Certificate IV in Training and Assessment (or its successor) or the TAESS00001 Assessor Skill Set (or its successor).

Validators can be employees of TasTAFE or external industry or independent validators. As long as they meet the above requirements, you can seek participation in your validation from:

* employers and employer associations
* other industry bodies
* trainers and assessors, or
* consultants.

The teacher who delivered/assessed the training product being validated:

* can participate in the validation process as part of a team
* cannot conduct the validation on his/her own
* cannot determine the validation outcome for any assessment judgements they made, and
* cannot be the lead validator in the validation team.

**TasTAFE teachers who are the sole teacher state-wide will need to look at utilising industry personnel or staff from other RTOs to meet the requirements of this process.**

How Many Units to Validate?

As per the ASQA User Guide to the Standards for Registered Training Organisations (RTO’s) 2015, at least two (2) units from each training product must be validated.

The Education Quality Consultants will work with Education Managers to determine which units are selected. Validation of more than two units can occur and would be influenced by:

* Workplace Health and Safety outcomes,
* Units that lead to licencing,
* Products with high enrolment numbers, and/or
* Skill sets/short courses that include units determined to be high risk - these require validation in their own right. If they are not determined to be high risk, they should be validated as part of the qualification that the units come from.

A validated unit cannot be counted towards multiple qualifications within the same team.

How Many Student Assessment Samples to Review?

The Standards for RTOs 2015 require TasTAFE to use a statistically valid sample of completed student assessments within 6 months of the result being awarded. TasTAFE is using a “Stratified Random Sample” approach. This involves identifying distinct groups of students and then selecting samples from each of these groups to validate.

TasTAFE requires teams, as a minimum, to select **15 completed student assessment samples per unit** to validate from one training product. The selected student assessment samples should be **equally distributed** among the following groups:

* All TasTAFE delivery regions (North, North West, South or Regional) where the training product is delivered,
* All delivery sites (workplace, campus based, online),
* All fund sources,
* A mix of results of CP, NP and RCP.

If the sample is less than 15 students**,** then select **all** student records with CP, NP and RCP.

Third-Party Arrangements

Where the training product is delivered under a Third-Party Arrangement, a separate validation will need to be undertaken.

Validation of Training Products from the Training and Education (TAE) Training Package

The Standards for Registered Training Organisations (RTOs) 2015 have specified **additional requirements** when validating training product from the TAE Training Package.

Validation of a TAE qualification or the assessor skill set, must be carried out by someone who has had no involvement or interest in TasTAFE operations other than conducting the validation activity. They must not be employed or sub-contracted by TasTAFE to provide training and assessment. The TAE Assessment Validation Record identifies the independent validator/s and their TAE credentials and CV.

[**Refer to Clause 1.25**](https://www.asqa.gov.au/standards/chapter-4/clause-1.25) **–** Independent validation of training and assessment qualifications. To deliver any AQF qualification or assessor skill set from the Training and Education Training Package, the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes. **Note:** units of competency or other skill sets in the Training and Education package are not subject to the requirements of Clause 1.25.

TAE validation activity will include:

* Using the TAE Assessment Validation Record Template
* Validating at least two coded “ASS” units annually
* Validating at least one other TAE unit biannually.
* Reviewing the TAE40116 Training and Assessment Strategy, including any additional Training and Assessment Strategies for individual TAE product delivery, e.g., Commercial Client delivery with specific units.
* Ensuring that validated TAE Assessment Tools are used within all teams who may have a TAE unit listed within their Training Package as an elective unit. These must be approved by the Education Manager, Educator Capability.
* Verifying that the independent validator has current knowledge and skills in vocational teaching and learning and the training and assessment qualification or assessor skill set at least to the level being validated.

Location of Validation

Validation can be undertaken either face to face or via digital communication (Teams, Zoom etc.)

# Responsibilities

## Education Managers

* Ensure validation is completed in line with the [Annual Training Product Validation Schedule](https://doccentre.tastafe.tas.edu.au/documents/annual%20training%20product%20validation%20schedule.xlsx) and [5 Yearly Validation Plan.](https://doccentre.tastafe.tas.edu.au/documents/5%20yearly%20validation%20plan.xlsx)
* Determine location for the validation.
* Establish validation team and identify the Lead Validator.
* Liaise with industry to participate in the validation (if required).
* Organise validation activity and follow up meetings as required.
* Document and ensure that improvement action outcomes from validation have been completed.
* Store and be able to access all evidence to support completed validation activity in alignment with the [5 Yearly Validation Plan](https://doccentre.tastafe.tas.edu.au/documents/5%20yearly%20validation%20plan.xlsx).

## Education Quality Consultants

* Work collaboratively with Education Managers to develop the [5 Yearly Validation Plan](https://doccentre.tastafe.tas.edu.au/documents/5%20yearly%20validation%20plan.xlsx).
* Identify students to be validated using the Validation Learner Selector on Power BI.
* Work with teams to assist them to plan for and undertake validation.
* Communicate regularly with Education Manager to ensure validation targets are being met and actions completed.
* Regularly update [5 Yearly Validation Plan](https://doccentre.tastafe.tas.edu.au/documents/5%20yearly%20validation%20plan.xlsx) and [Annual Training Product Validation Schedule.](https://doccentre.tastafe.tas.edu.au/documents/annual%20training%20product%20validation%20schedule.xlsx)
* Ensure Education Manager’s Continuous Improvement Plan/Action Plan and Quality Profile are maintained.

## Teacher

* If nominated as a Lead Validator, facilitate the validation sessions
* Actively participate in validation
* Contribute to the review and improvements in assessment through validation
* Action any improvements that are allocated.

# Associated legislation/documents

* [ASQA’s Standards for Registered Training Organisations (RTOs) 2015](https://www.asqa.gov.au/about/asqa-overview/key-legislation/standards-rtos-2015)
* Assessment [Procedure](https://recordsmanager.education.tas.gov.au/linkgeneratorapi/record/4796053/LatestFinalFile)
* [Assessment Validation Record](https://recordsmanager.education.tas.gov.au/linkgeneratorapi/record/4713032/LatestFinalFile)
* [5 Yearly Validation Plan](https://doccentre.tastafe.tas.edu.au/documents/5%20yearly%20validation%20plan.xlsx)
* [Annual Training Product Validation Schedule](https://doccentre.tastafe.tas.edu.au/documents/annual%20training%20product%20validation%20schedule.xlsx)
* [Continuous Improvement Plan/Action Plan](https://recordsmanager.education.tas.gov.au/linkgeneratorapi/record/4712855/LatestFinalFile)
* TAE Assessment Validation Record
* Quality Profile

# Measure of procedure effectiveness

The effectiveness of this Procedure will be measured by:

* Achievement of validation targets set by ASQA
* Level of progress reported on Quality Profiles
* Outcomes from external audits conducted by ASQA.
* Actions identified on Continuous Improvement Plan and Action Plan are achieved within set timeframes and recorded on Quality Profiles.

# Definitions/acronyms

**ASQA** Australian Skills Quality Authority

**AQF** Australian Qualifications Framework

**VET** Vocational Education & Training

**EBS** Education Business System (Student Management System)

**CV** Curriculum Vitae

### Assessment

The process of collecting evidence and making judgements on whether competency has been achieved to confirm that an individual can perform to the standard expected in the workplace, as expressed by the relevant endorsed industry/enterprise competency standards of a training package or by the learning outcomes of a VET accredited course.

### Validation

Validation is the quality review of the assessment process and is generally conducted after assessment is complete. Validation involves checking that your assessment tools have produced valid, reliable, sufficient, current and authentic evidence, enabling your RTO to make reasonable judgements about whether training package (or VET accredited course) requirements have been met. Validation 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.

### Evidence

Information gathered to support a judgement of competence against the specifications of the relevant unit/s of competency.

Evidence can take many forms and be gathered from a number of sources. Assessors often categorise evidence in different ways, for example:

* direct, indirect and supplementary sources of evidence, or a combination of these.
* evidence collected by the candidate or evidence collected by the assessor.
* historical and recent evidence collected by the candidate and current evidence collected by the assessor.

Evidence must be authentic, current, sufficient and valid.

### Industry

Industry means the bodies that have a stake in the services provided by RTOs. These can include, but are not limited to:

* enterprise/industry clients, e.g., employers.
* group training organisations.
* industry organisations.
* industry regulators.
* industry skills councils or similar bodies.
* industry training advisory bodies; and
* unions.

### Power BI

The Business Intelligence product used to organise and assist in the analysis of data.

# Policy control

## Contact points

| **Responsibility** | **Position title** | **Contact person** | **Contact number** |
| --- | --- | --- | --- |
| **Executive owner** | Director Quality and Academic Services | Lyndene Bowen | 6232 7638 |
| **Policy owner** | Quality Manager | Simon Partridge | 6232 7636 |
| **Contact person** | Quality Support Officer | Alison Lawes | 6777 2701 |

## Consultation

The following teams/positions were consulted during the development of this Procedure:

* Education Quality Consultants
* Education Manager, Educator Capability

## Endorsement required by:

Education and Training Committee

## Dates:

**Last endorsed:**  7/04/2022

**Last approved:**  28/04/2022

**Next review**: 24/03/2025

## Version history

| **Version** | **Date** | **Description of changes** |
| --- | --- | --- |
| 1.0 | 18.02.2016 | Updated to new Procedure template and to incorporate new organisational structure. |
| 2.0 | 24.08.2017 | Updated with ASQA changes and clearer language. |
| 3.0 | 15.09.2017 | Document updated to improve readability. Major changes to units required and sample size. |
| 4.0 | 26.09.2017 | Draft revised procedure |
| 5.0 | 25.10.2017 | Inclusion of TAE Validation and dashboard for sample identification |
| 5.1 | 02.02.2018 | Review of procedure against standards updated to provide clear responsibilities for teams undertaking validation |
| 6.0 | 29.01.2020 | Updated to new template and to reflect changes to organisation structure |
| 7.0 | 15.07.2020 | Updated to reflect changes to organisation structure as well as provide more clarity with some information |
| 8.0 | 24.03.2022 | Updated to include Continuous Improvement Plan/Action Plan and Quality Profile. Updated to reflect changes to organisation structure. Improved clarity of information on process of Validation, external and independent validation, responsibilities and definitions. New Template version. |
| 9.0 | 11.08.2022 | Updated clarification of requirements for TAE on page 5 for better understanding. |
| 10.0 | 17.08.2023 | Updated Committee from Academic Committee to Education and Training Committee. |
| 10.1 | 20.12.2024 | Updated links to the 5 Year Validation Plan and the Annual Training Product Validation Schedule. |

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