

## Assessment Validation Policy and Procedure

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### 1. PURPOSE

The purpose of this policy and procedure document is to ensure that JMC Academy RTO's training and assessment strategies and practices are systematically validated to ensure that they are responsive to industry and learner needs and meet the requirements of all nationally registered accredited training products.

In particular, the purpose of this document is to ensure that all assessments conducted by JMC Academy RTO are valid and reliable and allow for sufficient and current evidence to be collected to determine students' competence.

### 2. SCOPE

This policy and procedure applies to all assessment activities of JMC Academy RTO whether conducted by JMC Academy RTO or third party contractors.

### 3. DEFINITIONS

#### Validation<sup>1</sup>

This is a quality review process utilised to confirm JMC Academy RTO's assessment system produces consistent results between students, cohorts and campuses.

Validation usually occurs *at the conclusion of the assessment process* and involves:

- Checking that assessment tools have produced valid, reliable, sufficient, current and authentic evidence—evidence that allows your RTO to make reasonable judgements about whether training product requirements have been met.
- Reviewing a statistically valid sample of the assessments and making recommendations for future improvements to the assessment tool, process and/or outcomes if applicable.
- Acting upon any recommendations for future improvement.

#### Pre-assessment validation

This is a process that JMC Academy RTO utilises to review the effectiveness of the assessment tools prior to publication.

#### Moderation<sup>2</sup>

Moderation is another type of quality control process aimed at bringing assessment judgements into alignment. Moderation is generally conducted *before the finalisation of student results* as it ensures the same decisions are applied to all assessment results within the same unit of competency.

Please refer to *JMC Academy Glossary* for any terms not identified above.

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<sup>1</sup> ASQA 2020. *Conducting Validation (Clauses 1.9 – 1.11.)*, as at 24.05.2020 from <https://www.asqa.gov.au/resources/fact-sheets/conducting-validation>

<sup>2</sup> ASQA 2020. *What is the difference between validation and moderation? (Clauses 1.9 - 1.11)*, as at 24.05.2020 from <https://www.asqa.gov.au/faqs/what-difference-between-validation-and-moderation-clauses-19-111>

## 4. POLICY AND PROCEDURE

### 4.1 POLICY

- 4.1.1 JMC Academy RTO will ensure that at all times its training and assessment strategies and practices are systematically validated in accordance with the requirements of the *Standards for Registered Training Organisation 2015*.
- 4.1.2 JMC Academy RTO relies on information published by the Australian Skills and Quality Agency to guide the conduct of its assessment validations.
- 4.1.3 The Supervisor/Trainer and assessor, in concert with the Education Team, develops an assessment validation schedule to ensure that all units of competency and qualifications delivered and assessed by JMC Academy RTO are validated according to regulatory requirements.
- 4.1.4 JMC Academy RTO's validation schedule is a five-year plan that arranges for:
  - 4.1.4.1 An assessment tool to be validated prior to publication
  - 4.1.4.2 A unit of competency to be validated at least once in five years
    - 4.1.4.2.1 Statistically valid sampling; calculating sample size  
JMC Academy RTO uses ASQA's validation sample size calculator to ensure the results of the validation process are accurate and representative.
  - 4.1.4.3 A qualification to be validated at least once in five years, and
  - 4.1.4.4 No less than 50 per cent of training products are validated in the first three years of the schedule.
- 4.1.5 The Supervisor/Trainer and Assessor is the lead auditor and ensure that assessment practice is reviewed as per *JMC Academy RTO's Guidelines for Reviewing Assessment Practice* (see attachment 1)
- 4.1.6 It is the responsibility of the VET C&DC committee to monitor the Validation schedule, and provide guidance, direction and feedback to proposed actions
- 4.1.7 If risk indicators demonstrate that more frequent validation is required, the Director of Education, CEO and/or Supervisor/Trainer and assessor can initiate a validation out of sequence of any of the training products on JMC Academy RTO's scope.

## 4.2 PROCEDURE

The purpose of this procedure is to support the implementation of the above policy to ensure that assessments conducted by JMC Academy RTO are valid and reliable and allow for sufficient and current evidence to be collected to determine competence.

## 4.2.1 The Validation Process

### 4.2.1.1 The Validation Plan

JMC Academy RTO has a documented validation plan that describes:

4.2.1.1.1 Who will lead and participate in the validation activities, but always as a collective the participants will hold:

- Vocational competencies and current industry skills relevant to the assessment being validated

People with current industry skills can provide input on:

- The industry relevance of the context and conditions of the assessment
- The industry relevance of the resources used during assessment
- The tasks the learner completed, and
- The judgements made by the assessor.

People who are vocationally competent will hold competency in the training product (or similar/related) being validated.

- Current knowledge and skills in vocational teaching and learning, and
- The TAE40116 Certificate IV in Training and Assessment or the TAESS00011 Assessor Skills Set

4.2.1.1.2 JMC Academy RTO may seek participation from:

- Employers and employer associations
- Other industry bodies
- Trainers and assessors
- Current students/alumni
- Consultants, and
- For the purposes of benchmarking, representatives from other RTOs.

4.2.1.1.3 Noting that the trainer and assessor 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 assessment team.

This arrangement will ensure that current vocational training practices are reflected and contemporary knowledge of the vocational education and training environment is used to inform critical review and outcomes.

4.2.1.1.4 Which training products will be the focus of the validation, in accordance with the validation schedule (*see 4.1.3 to 4.1.7 above*)

4.2.1.1.5 When assessment validation will occur (*see 4.1.3 to 4.1.8 above*), and

4.2.1.1.6 How the outcomes of those activities will be documented, including proposals for actions and presentation at a meeting of the VET C&DC Committee for input, feedback and/or approval for implementation.

4.2.1.1.7 It is the responsibility of the Supervisor/Training and Assessor to ensure amendments are made as approved, and notify trainers and/or assessors of the outcomes.

#### 4.2.1.2 Reviewing the assessment practice

- 4.2.1.2.1 All participants in the assessment validation process are responsible to carefully review documentation provided, and to provide advice on whether or not the system is providing valid, reliable, current, and authentic assessment products with sufficient output to make a judgement of competency
- 4.2.1.2.2 Only those not originally involved in the training or assessment of the training product can be involved in determining the outcomes of the validation process
- 4.2.1.2.3 Participants are to follow *JMC Academy RTO's Guidelines for Reviewing Assessment Practice* in the conduct of the review of the assessment.

#### 4.2.1.3 Reporting on validation outcomes

- 4.2.1.3.1 The Supervisor/Trainer and assessor is responsible for collating all validation reports, synthesising data and providing a final report to the Director of Education or CEO for review and/or approval prior to presentation at a next schedule meeting of the VET C&DC.
- 4.2.1.3.2 The report will include, as relevant, recommendations (as appropriate) to modify:
  - Assessment tools
  - Context and conditions for the assessment
  - The actual assessment task
  - Advice to students about the assessment
  - Criteria used for judging the quality of performance (e.g. The decision-making rules, evidence requirements etc.),
  - Resources need for assessment, and
  - Meeting the principles of assessment and rules of evidence.
- 4.2.1.3.3 In consultation with the Education Team and the Director of Education, the Supervisor/Trainer and Assessor will prepare an implementation plan to guide and monitor any resulting change process.

#### 4.1.1.1 Monitoring validation outcomes

- 4.2.1.3.4 The Supervisor/Trainer and Assessor for ensuring:
  - 4.2.1.3.4.1 Changes are made as planned, and
  - 4.2.1.3.4.2 For reporting to the VET C&DC progress made on implementing approved changes to any part of an assessment system.

## 5. COMPLAINTS and APPEALS

JMC staff may access the Grievance Handling Policy to appeal against any decisions made under this Policy and Procedure document.

## 6. POSITIONS RESPONSIBLE FOR IMPLEMENTING POLICY and PROCEDURE

- Supervisor/Trainer and Assessor
- VET Curriculum and Delivery Committee
- Education Team
- Director of Education

- Chief Executive Officer
- Senior Management

## 7. RELATED DOCUMENTS

- JMC Academy Glossary
- Attachment One JMC Academy RTO's Guidelines for Conducting Assessment Validation
- Industry Engagement Policy and Procedure
- VET C&DC Terms of Reference

## 8. RELATED LEGISLATION

This Policy and Procedure supports JMC Academy's compliance with the following legislation:

- Standards for Registered Training Organisations (RTOs) 2015 (Cth):
  - 1.5. The RTO's training and assessment practices are relevant to the needs of industry and informed by industry engagement
  - 1.6. The RTO implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of:
    - a) its training and assessment strategies, practices and resources; and
    - b) the current industry skills of its trainers and assessors.

## 9. POLICY and PROCEDURE REVIEW DATE

10<sup>th</sup> September, 2022

## 10. VERSION CONTROL

Title	<i>Assessment Validation Policy and Procedure</i>			
Maintained By	The Education Team			
Approving Authority	The Director of Education and/or the CEO			
Approved Date	01.06.2020			
Version Number	Modified By	Modifications Made	Date Modified	Status
1.1	Dr Stanford	Ensured terminology was consistent with related P&Ps	10.05.2020	Approved

## Effective validation

Validation determines if assessment tools have produced the intended evidence.

Validators must look at the evidence in the sample, and determine if it is valid, reliable, sufficient, current and authentic.

Validation only considers the assessment evidence retained within the sample. While validators may discuss the assessment process with the assessor who conducted the assessment, only the evidence collected, retained and recorded will support a validation decision.

For more information about validation, please refer to the [Standards for Registered Training Organisations 2015 Clauses 1.9 – 1.11](#).

## Reviewing assessment practice

In **reviewing assessment practice**, validators should consider whether the assessment tools:

- Comply with the assessment requirements of the relevant training product
- Ensure the principles of fairness, flexibility, validity and reliability are adhered to
- Have been designed to produce valid, sufficient, authentic and current evidence
- Are appropriate to the contexts and conditions of assessment (this may include considering whether the assessment reflects real work-based contexts and meets industry requirements)
- Are appropriate in terms of the level of difficulty of the tasks to be performed in relation to the skills and knowledge requirements of the unit
- Provide sufficient instruction to clearly explain the tasks to be administered to the learner (if the assessment samples demonstrate the evidence provided by each learner is markedly different, this may indicate that instructions are not clear)
- Give sufficient guidance as to the evidence to be gathered from the learner
- Outline appropriate reasonable adjustments that could be made to the gathering of assessment evidence
- Provide sufficient instructions for the assessor on collecting evidence, making a judgement, and recording the outcomes of the assessment (assessment samples should validate recording and reporting processes)
- Are supported with evidence criteria to judge the quality of performance (if the assessment samples demonstrate the judgements made about each learner are markedly different, this may indicate that decision-making rules do not ensure consistency of judgement), and
- Adhere to the requirements of the RTO's assessment system.

## Reviewing assessment judgements

In **reviewing the assessment judgements**, validators should consider whether the learners' assessment evidence:

- Complies with the assessment requirements of the relevant training product
- Demonstrates that the assessment was conducted with fairness, flexibility, validity and reliability, and
- Is valid, sufficient, authentic and current.

## Validation outcomes

The **validation outcomes** can identify recommendations for improvement to the assessment tool, assessment process or assessment outcome.

Sometimes the validation outcome can identify critical issues in the collection of valid evidence.

Should this occur, the following options for action are available:

- Increase the validation sample size to assist in identifying patterns of issue
- Validate completed assessments from other units of competency to see if the issue is spread across the whole of the qualification, and
- Look for patterns of error (for example, consider if it is one assessor making invalid judgements—this could indicate the assessor requires further training in competency-based assessment).

The Supervisor/Trainer and assessor provides a report of the validation process and outcomes to a next scheduled meeting of the VET C&DC. The committee reviews the report and can approve the recommendations for change and/or provide input. Feedback and/or guidance on other work that might need to be done to ensure the assessment meets requirements.

The amended assessment tool is pre-validated to ensure it meets all requirements. Changes to that assessment tool can be approved by the Director of Education, in consultation with the Supervisor/trainer and assessor.

## **The validation plan; records management**

There is a **record of validation template** for validation activities (see appendix one, following).

The template has provision for recording the:

- Training product/s being validated
- The person leading and people participating in the validation activities (including their qualifications, skills and knowledge)
- The sample pool
- The validation tools used
- All assessment samples considered, and
- Validation outcomes.

The Supervisor/Trainer and assessor is responsible for ensuring all documentation is stored in accordance with the file management protocols and that relevant personnel are informed of any necessary changes in practice.

Adapted from 'Conducting validation', ASQA 13 May 2015 at:  
<https://www.asqa.gov.au/resources/fact-sheets/conducting-validation>

## Assessment Validation Report (PART A)

Please indicate if this validation is for:

- One or more** assessment tasks for a unit of competency
- All** the assessment tasks for one unit of competency
- A qualification** (where all the assessment tasks for a minimum of two units of competency must be sampled and validated)

Please indicate if this validation is being conducted:

- Prior to publication OR**
- When the assessment process has been completed**

**One Assessment Validation Report must be completed for each and every assessment task that is the focus of the validation activities.**

For example:

- If all the assessment tasks are being validated for one unit of competency, then one of these Reports must be completed for each assessment task, or
- If only one assessment task is being validated from one unit of competency, then only one of these Reports needs to be completed, or
- If two units of competency are being validated to validate a qualification, then a Report must be completed for the total number of assessment tasks covering the evidence required from both those units of competency.

It is the responsibility of the Supervisor/Trainer and assessor to collate all documentation and synthesise into a final report for the VET C&DC.

*To be completed for all validation activities*

Qualification code		Title	
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Unit of competency code:		Title	
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Details of assessment task	<i>Only provide details for the assessment task that is being validated</i>		

Date of meeting:	
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Validation panel members	Name	Role/position/company	Trainer/Assessor or Industry member

## Assessment Validation Report (PART B)

*The following comments and recommendations for improvement have resulted from the validation.*

### Assessment Inputs

<p><b>Target group:</b> Diversity of cultural experience, language, literacy and numeracy skill levels underpinning the course of study.</p> <ul style="list-style-type: none"> <li>• Is the target group clear?</li> <li>• Is the language used in the assessment appropriate to the target group?</li> </ul>	Comments:
<p><b>Method of assessment:</b> Is the method of assessment:</p> <ul style="list-style-type: none"> <li>• appropriate to the context, the unit of competency and associated assessment requirements, and the individual?</li> </ul>	Recommendation(s):
<p><b>The assessment task:</b> Is the assessment task:</p> <ul style="list-style-type: none"> <li>• fair, given the background and capacities of the students and AQF level?</li> </ul>	Comments:
	Recommendation(s):

## Assessment Validation Report (PART B)

<p><b>The assessment task:</b> Does the assessment task:</p> <ul style="list-style-type: none"> <li>cover the broad range of skills and knowledge that are essential to competent performance?</li> </ul>	Comments:
	Recommendation(s):
<p><b>The context and conditions for the assessment:</b></p> <ul style="list-style-type: none"> <li>Do the assessments give information and consideration of these matters?</li> </ul>	Comments:
	Recommendation(s):
<p><b>The advice to students about assessments:</b></p> <ul style="list-style-type: none"> <li>Is the advice to students clear about the assessments?</li> <li>What they are expected to do?</li> <li>How they will be measured?</li> </ul>	Comments:
	Recommendation(s):

## Assessment Validation Report (PART B)

<p><b>The criteria used for judging the quality of performance:</b> (e.g. the decision making rules, evidence requirements, model answers etc)</p> <ul style="list-style-type: none"> <li>• Are the expected responses accurate?</li> <li>• Do they reflect appropriate knowledge and skill?</li> <li>• Do they reflect current industry practice and terminology?</li> <li>• Are they fair?</li> </ul>	<p>Comments:</p> <hr/> <p>Recommendation(s):</p> <hr/>
<p><b>Mappings of assessments:</b></p> <ul style="list-style-type: none"> <li>• Do the assessment mappings show that all requirements of the unit of competency will be assessed?</li> <li>• Are the mappings complete and accurate?</li> </ul>	<p>Comments:</p> <hr/> <p>Recommendation(s):</p> <hr/>
<p><b>The resources for available for assessment:</b></p> <ul style="list-style-type: none"> <li>• Is it clear what resources are needed for assessments?</li> <li>• Do students have necessary access?</li> <li>• Are the resources available appropriate for the unit of competency?</li> </ul>	<p>Comments:</p> <hr/> <p>Recommendation(s):</p> <hr/>

## Assessment Validation Report (PART B)

*The following comments and recommendations for improvement have resulted from the validation.*

### Assessment Outputs

<p><b>Sample size</b></p> <ul style="list-style-type: none"> <li>• How many assessments?</li> <li>• How many different trainers/assessors?</li> </ul>	Comments:
<p><b>Marking and feedback</b></p> <ul style="list-style-type: none"> <li>• Were all assessments accurately and completely marked with appropriate feedback/comments to students?</li> </ul>	Recommendation(s):
<p><b>The assessment of knowledge and skill to the standard of performance prescribed within the training package:</b></p> <ul style="list-style-type: none"> <li>• Did all assessments marked as satisfactory and units marked as competent display expected responses or meet expected criteria?</li> </ul>	Comments:
	Recommendation(s):

## Assessment Validation Report (PART B)

<p><b>Training and assessment strategies:</b></p> <ul style="list-style-type: none"> <li>• Were the assessments undertaken by students consistent with those proposed and described in the training assessment planning documents?</li> <li>• Did the student complete all required/specified assessment tasks?</li> </ul>	<p>Comments:</p>   <p>Recommendation(s):</p>   
<p><b>Sufficiency:</b></p> <ul style="list-style-type: none"> <li>• Was there sufficient evidence to warrant determination of competency?</li> </ul>	<p>Comments:</p>   <p>Recommendation(s):</p>   
<p><b>Evidence of plagiarism or collusion or other issues of assessment integrity:</b></p> <ul style="list-style-type: none"> <li>• Did the assessments show any evidence of copying, collusion, cheating, use of model answers, other people's work etc?</li> <li>• Did the assessor undertake any assessment integrity checks?</li> </ul>	<p>Comments:</p>   <p>Recommendation(s):</p>   

## Assessment Validation Report (PART B)

<p><b>The workplace aspect of performance including task skills, management skills, contingency management skills and job role environment skills:</b></p> <ul style="list-style-type: none"> <li>• Did the assessments indicate that the student could operate effectively and consistently in the workplace?</li> </ul>	Comments:						
<p><b>Consistency of assessor judgments:</b></p> <ul style="list-style-type: none"> <li>• Were the judgements of a single assessor consistent across the sample and/or were the judgements of a number of assessors consistent across the sample?</li> </ul>	Recommendation(s):						
<table border="1"> <tr> <td rowspan="2">Report prepared by:</td> <td>Name</td> <td>Role</td> </tr> <tr> <td></td> <td></td> </tr> </table>			Report prepared by:	Name	Role		
Report prepared by:	Name	Role					
Report authorised by <b>Supervisor/Trainer and assessor</b>	Name: Signature: Date:						
Report accepted by: <b>Director of Education or CEO</b>	Name: Signature: Date:						