



CANBERRA VALLEY INSTITUTE

Document: Assessment Validation Policy and Procedure

(Aligned to RTO Standards 2025)

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Assessment Validation Policy and Procedure

LUMINOUS EDUCATION PTY. LTD. T/As Canberra Valley Institute | RTO Code: 41498 | CRICOS Code: 03937D

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1. Overview

This policy outlines ensures that Canberra Valley Institute (CVI) implements a systematic, risk-based, and documented approach to validating assessment tools, processes, practices, and outcomes. This ensures that all assessment conducted by the College is valid, reliable, sufficient, current, and authentic, in accordance with:

- Standards for RTOs 2025 – Standard 2 (Quality Training and Assessment)
- Outcome Standard 1.5 (Assessment System Validation)
- ESOS Act 2000 and National Code 2018
- ASQA’s Assessment Assurance and Validation Guidelines

This policy supports compliance with:

➤ **Standards for RTOs 2025 – Standard 2**

- Validation must be systematic, documented, risk-based, and conducted by qualified and independent validators.
- Validation outcomes must drive continuous improvement.

➤ **National Code 2018 (CRICOS)**

- Standard 6 – Student Support Services
- Standard 9 – Deferring, suspending, or cancelling enrolment (where assessment outcomes impact progress)

➤ **ASQA Guidance**

- Assessment Validation Model
- Assessment Assurance Reviews
- ASQA Sampling Calculator

2. Scope

This policy applies to:

- All CRICOS and domestic training products offered by Canberra Valley Institute (CVI)
- All assessment tools, resources, and samples of completed student work
- All trainers, assessors, validators, and members of validation panels
- All assessment types, including RPL, practical tasks, observations, third-party evidence, and theory-based assessments.

3. Definitions

For this policy document, Canberra Valley Institute (CVI) has identified the necessity to define the following expressions:

Risk-Based Validation: A prioritisation method in which units with greater likelihood of error



or impact (e.g., high enrolments, poor outcomes, multiple assessors) are validated first or more frequently.

Assessment System: The complete set of tools, instructions, benchmarks, TAS documents, procedures, and evidence-collection instruments that comprise the assessment process.

Assessment Outcome Validation: A review process that examines assessor judgements and evidence to ensure consistency, accuracy, and sufficiency in competency decisions.

4. Policy and Procedures

Canberra Valley Institute (CVI) implements a structured Assessment Validation Framework that includes:

1. Pre-validation of assessment tools before first use
2. Post-assessment validation of assessor judgements and outcomes
3. A risk-based prioritisation model
4. A scheduled five-year validation cycle covering all training products
5. Use of qualified and independent validators
6. Continuous improvement based on validation outcomes

This framework ensures assessment practices demonstrate compliance with training package requirements and meet the Principles of Assessment and Rules of Evidence.

4.1 Risk-Based Assessment Validation Plan

Canberra Valley Institute (CVI) maintains a five-year validation plan that covers 100% of all training products. The plan uses a structured risk-based model that prioritises units based on factors including:

- Enrolment volume
- Poor learner outcomes (Not Competent, withdrawals, re-assessment rates)
- Number of assessors involved in delivery of a unit.
- Newly introduced or updated training products
- Safety or licensing implications
- Complaints or appeals
- History of ASQA regulatory interest
- Cluster weighting in a qualification
- Practical or workplace assessment requirements

A. Risk Rating Matrix: Each unit is assessed using nine risk factors, scored as follows:

- High = 3 - Serious compliance or quality risk
- Medium = 2 - Moderate risk or mixed performance
- Low = 1 - Stable, proven, low likelihood of error

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B. Risk Criteria and Scoring (Explicit and Auditable): Units are rated using the following criteria:

Risk Factor	Low (1)	Medium (2)	High (3)
Enrolment volume	< 20 per year	20–50	> 50
Poor outcomes (NYC, re-assessments, withdrawals)	<10%	10–25%	>25%
Number of assessors	1 assessor	2 assessors	3+ assessors
New or updated unit/product	No updates in 24 months	Recently updated	New training product
Licensing/safety consequence	Low/no risk	Moderate	High-risk or licensed
Complaints/appeals	None	1–2 minor issues	Formal appeals/complaints
ASQA interest history	None	Moderate	Previous compliance issues
Cluster weighting in qualification	<10%	10–20%	>20%
Workplace/practical requirement	Theory only	Combination	Heavy practical/workplace

C. Overall Risk Score: Total Score (summing of all 9 criteria) determines priority:

- High = 22 - 27 - Validate within 12–18 months
- Medium = 15 - 21 - Validate within 2 years
- Low = 9 - 14 - Validate anytime in 5-year cycle

4.2 Prioritisation Requirements (Standard 1.5(2)(c))

- High-risk units are validated within the first 12–18 months.
- Medium-risk units validated within the first 2 years.
- Low-risk units validated any time in the five-year cycle, unless triggered earlier by evidence.

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- 50% of all products validated within 3 years.
- Reviews may be brought forward if new risks emerge.
- Validation frequency is established using a documented, risk-based methodology in line with Outcome Standard 1.5(2)(c). The five-year validation cycle applies only to assessment tools assessed as low risk and does not prevent earlier validation when risk indicators are present.
- Units of competency and assessment tools are assigned a risk rating based on defined risk indicators, which may include assessment volume, learner cohort characteristics, assessment complexity, regulatory history, previous validation results, and complaints data. Risk ratings must be reviewed following validation activities, learner complaints, internal audits, or regulatory engagement.
- Where an increased level of risk is identified, validation schedules must be revised accordingly, and impacted assessment tools must be prioritised for earlier validation

4.3 Pre-Validation Requirements

Pre-validation occurs before assessment tools are used and must:

- Be completed at least 4 weeks before first delivery
- Use the Pre-Validation Checklist
- Confirm alignment with training package requirements
- Verify instructions for assessors and learners
- Validate the sufficiency, authenticity, validity, and currency of required evidence
- Confirm marking guides and assessment benchmarks
- All issues must be corrected prior to delivery.
- Where urgent changes to assessment tools are required, pre-validation must be completed before the tools are used, even if the four-week timeframe cannot be met.
- Pre-validation is mandatory and cannot be waived due to delivery schedules or time constraints.

4.4 Post-Assessment Validation (Judgement Validation)

Post-validation includes:

- Reviewing completed student assessments
- Checking assessor judgements against benchmarks
- Ensuring evidence sufficiency
- Comparing outcomes between assessors
- Identifying inconsistencies or trends
- Reassessment or moderation when required.

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4.5 Validation Panel Requirements

Each validation session must include at least one validator who:

- Holds TAE40116/TAE40122 or equivalent
- Is vocationally competent
- Maintains current industry skills
- Was not involved in assessing or delivering the unit
- Has appropriate assessment and validation skills
- Each validation panel must include a minimum of one independent validator who was not involved in the development or delivery of the assessment.

4.6 Validation Activities (Detailed Process Required by Standard 1.5)

The validation panel must:

- Review assessment tools and supporting documents
- Confirm the accuracy of mapping documentation
- Examine TAS alignment
- Review a sample of completed assessments across cohorts
- Identify errors, inconsistencies, gaps, and unclear instructions
- Determine corrective actions and complete the Assessment Validation Report.

4.7 Validation Outcomes and Continuous Improvement

Possible outcomes include:

- Revision of assessment tools and benchmarks
- Updates to marking guides
- Assessor upskilling or mentoring
- Reassessment where necessary
- Modifications to the TAS or delivery arrangements
- RPL process improvements

All corrective actions must:

- Be recorded in the Continuous Improvement (CI) Register
- Have a responsible officer and due date assigned
- Be reviewed for effectiveness within 15 days

4.8 Managing Post-Issuance Validation Findings (Critical Requirement)

If validation identifies that a qualification or unit outcome was issued based on **invalid, insufficient, plagiarised, or otherwise non-compliant assessment evidence**, Canberra Valley Institute (CVI) must:

- a. *Conduct a formal Assessment Review*

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- Determine the nature and severity of the non-compliance
 - Identify which student assessments and assessor decisions are affected
 - Document findings in an Assessment Review Report
- b. *Suspend further certification*
- Temporarily halt issuing new certificates for the identified unit/training product until corrective actions are completed
- c. *Notify affected learners in writing*
- Explain the issue
 - Advise that the assessment outcome must be re-evaluated
 - Provide options for re-assessment at **no cost** to the learner
 - Provide support to minimise disadvantage
- d. *Conduct re-assessment*
- Collect new or additional evidence from affected learners
 - Use a qualified, independent assessor
 - Ensure new evidence meets the rules of evidence (valid, sufficient, current, authentic)
- e. *Issue replacement certification if required*
- If the original certificate/SoA is invalid:
- Revoke the original certificate (with a written notice)
 - Issue a corrected certificate once the learner is deemed competent
- f. *Notify ASQA if there is a systemic or serious breach*
- ASQA must be notified under the provider obligations (Standard 8, significant changes or events) when the issue suggests systemic non-compliance.
- g. *Enter corrective actions into the CI Register*
- Update processes, training, or assessment tools
 - Undertake assessor retraining or moderation
 - Review other units delivered by the same assessor (risk-based trigger)
- h. *Review effectiveness within 15 days*
- Confirm corrective actions were completed
 - Confirm the assessment system is functioning correctly
 - Ensure no further impacts to learners remain

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4.9 Recording and Storage (Expanded)

Canberra Valley Institute (CVI) stores:

- Validation Plan (including risk ratings)
- Pre-Validation Checklists
- Post-Validation Reports
- Completed Form-046A
- Completed Form-050
- Validation Report
- Updated assessment tools
- Mapping documents
- CI Register entries
- Evidence of implemented improvements
- Retention period: 7 years.

5. Pre- validation

5.1 Pre-Validation Checklist

- Pre-Validation Checklist must be completed before assessment use to confirm alignment with the relevant training package or accredited course and compliance with Clause 1.8. The checklist is completed by a qualified trainer and assessor during assessment development or review.
- The checklist confirms that all unit requirements are addressed, including performance criteria, evidence requirements, foundation skills, and assessment conditions, and that assessment instructions, methods, and evidence meet the Principles of Assessment and Rules of Evidence.
- Completion of ~~Form-046A~~ provides formal evidence of pre-assessment validation. Any non-conformances or required improvements must be rectified prior to implementation. Use of assessment tools is not permitted until the checklist has been completed, reviewed, and retained as validation evidence.

5.2 Record of Assessment Cover Sheet

- Record of Assessment cover sheet is used to formally record and confirm the final assessment outcome for each unit of competency. It captures key details including learner information, unit code and title, assessment decision (Competent/Not Yet Competent), assessor name and signature, and the assessment date.
- The form becomes part of the learner's assessment evidence and is stored in accordance with Canberra Valley Institute's (CVI) records management and retention procedures.

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Using ensures consistent, transparent, and accurate recording of assessment outcomes, providing clear evidence of valid and reliable assessment decisions in line with the Standards for RTOs 2025.

5.3 Validation Report

- Validation Report serves as primary evidence that validation has occurred and that assessment judgements comply with Outcome Standard 1.5. Validation is not considered complete until the form is fully completed, endorsed by the validation panel, and any corrective actions have been recorded.

6. Responsible person

- Chief Executive Officer
- Compliance Officer
- Lead Validator
- Validators
- Trainers/Assessors
- Administration

7. Related Documents

- Pre-Validation Checklist
- Record of Assessment
- Assessment Validation Report
- Assessment Mapping Document Template
- Annual Quality Assurance Report
- Continuous Improvement Register
- TAS (Training and Assessment Strategy)
- Assessment System Procedures Manual

8. Review of Policy

Canberra Valley Institute (CVI) will review the *Assessment Validation Policy and Procedure* every 12 months or on an as needs basis (whichever occurs first).

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