

# Validation and Moderation Policy and Procedure

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## 1 Purpose and Scope

Validation is the quality review of the assessment process and is critical in ensuring that; assessment is appropriately rigorous, at the correct AQF level, and students are fully capable of carrying out the tasks that their qualification claims they can complete.

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. It also includes input from trainers, learners and industry.

This policy applies to the entire operations of AIE, in particular AIE's Trainers and Assessors and those staff involved in the design of AIE's courses, such as Academic Managers (roles assigned to Heads of Schools and Deputy Heads of School) and Heads of Faculty. See Academic Management Organisational Chart.

## 2 The Policy

It is AIE's policy to systematically validate AIE's assessment practices and judgements such that all units of competency or modules on its Scope of Registration are validated over a rolling 5-year period.

When new additions of units of competency, skillsets or qualifications are made to AIE's Scope of Registration, an external independent validator will be engaged to undertake validation of such assessment system, tools, processes and outcomes to comply with the RTO Standards.

## 3 Implementation

The CEO is responsible for the approval of this policy after it has been drafted or reviewed by the National Compliance Coordinator.

The National Compliance Officer, (with the support of the Heads of Faculty and Academic Managers) has the responsibility for coordinating and monitoring AIE's validation activities and responsibilities. The National Compliance Officer reports to the CEO.

The policy is to be implemented via induction and training of all staff responsible for course design and delivery. It is to be made available via the AIE Intranet and other publications as required. It will also be sent to all staff involved in validation 4 weeks prior to the AIE validation and moderation day.

## 4 Procedure/s

AIE's assessment resources have been designed, developed and modified by trainers and assessors with experience utilising training packages, designing assessment instruments and evaluating their

effectiveness. Feedback from assessment resources is also obtained from feedback, through regular surveys of learners and industry and directly from learner- trainer engagement.

#### 4.1 Internal Validation of All Assessments over a 5-Year Period

Internal validation of all assessments on AIE's Scope of Delivery is undertaken in accordance with the RTO Standards. The process requires:

- a. The creation of a rolling 5-year validation calendar
- b. A validation and moderation day - usually held in the first 2 weeks of July
- c. Academic Manager (Relevant Head of School/Deputy Head of School) and National Compliance Officer sign-off of the Assessment Validation Report
- d. Where recommended, changes are made to assessments
- e. For any recommended changes to be documented in AIE's a continual improvement register.

##### 4.1.1 Validation Calendar Creation and Maintenance

A validation calendar is prepared by the Heads of Faculty and the National Compliance Officer to ensure that all Units of Competency and Modules are validated in a 5-year rolling schedule that covers all assessments in any given 5 year period. Each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five-year cycle, taking into account the relative risks of all of the training products on AIE's scope of registration, including those risks identified by ASQA. ASQA may from time to time determine specific training products that must have particular attention paid. This advice is published to [www.asqa.gov.au](http://www.asqa.gov.au).

The validation calendar is reviewed annually, or when changes have been made to qualifications on AIE's Scope of Registration by the Heads of Faculty and the National Compliance Officer.

The Academic Managers are also responsible to review this calendar at least annually to quality assure that it is up-to-date.

AIE's Validation Calendar file location is **Academic Management/Compliance/Files/Validation**.

##### 4.1.2 Validation and Moderation Day

Internal validation and moderation of assessments are undertaken annually at AIE's Validation and Moderation Day.

The validation and moderation day is usually scheduled in the first 2 weeks of July, so that the majority of Trainers and Assessors can be involved.

At least 4 weeks prior to the Validation and Moderation day the Heads of Faculty are to:

- a. Distribute the Units of Competency details (that by the validation calendar are due for validation) to their team of trainers and assessors.
- b. Delegate team leaders for each unit of Competency that require validation in conjunction with the relevant academic manager
- c. Select and distribute a random sample of assessments for each Unit of Competency being evaluated of an appropriate size – as detailed in Section 4.1.2.1 Random Selection of Assessments.

The National Compliance Officer is to ensure all members in the validation teams are provided with:

- a. Validation Fact Sheet
- b. The Assessment Validation Tool. AIE uses a Validation tool that is adapted from a VELG template.
- c. File Location: **Academic Management/Compliance/Files/Validation/VELG Validation Tools**
- d. A copy of the Validation Policy and Procedure or a link to it
- e. Training and Assessment Strategy
- f. Subject and Assessment Guide
- g. Other necessary documentation as required

#### **4.1.2.1 Key aspects of assessments that are reviewed during validation**

The key aspects of assessment that are reviewed through AIE's validation processes are:

- a. The assessment process — policy, enrolments and assessments, recording, reporting and appeals
- b. Assessment tools — specific assessment tasks, instructions for students, instructions for assessors, evidence guides, checklists, assessment criteria, rules of judgement, and examples of acceptable responses to, and descriptions of, typical competent performance
- c. Evidence of assessment — for example, third party reports, observation and simulation
- d. Application of assessment tool — assessors use of the tool
- e. Recognition of prior learning process — tools and evidence of assessment.

#### **4.1.2.2 Random Selection of Assessments**

This process ensures the assessments sample provides adequate coverage of varying levels of student performance, and is performed by the Heads of Faculty under the guidance of the National Compliance Officer.

A random selection of assessments for a given unit of competency are chosen by:

- a. Using an alphabetical class list – sorted by surname of all students who submitted work for the training product being validated
- b. From this list, the fifth surname is highlighted and then every third name thereafter
- c. if necessary going back to the beginning of the list to identify a sufficient sample size.

Those highlighted then become the randomly selected students whose work is submitted for validation.

The sample size should be greater than or equivalent to 10% of the class cohort with a minimum sample size of 8.

Additional completed assessments may also be added (for example, in order to include both competent and not competent assessments, or to include multiple assessors' decisions, multiple delivery modes and locations) to ensure the validation process is representative of all assessment judgements.

#### **4.1.2.3 Assessment Validation Report**

An Assessment Validation Report forms the basis of evidence of validation and is kept current and reviewed annually by the Compliance Officer and the Academic Management Team.

AIE retains evidence of all validation processes, including:

- a. The person/Individuals leading and participating in the validation activities (including their qualifications, skills and knowledge);
- b. The sample pool;
- c. The validation tools used;
- d. All assessment samples considered; and
- e. The validation outcomes.
- f. include confirmation that the assessment system and outcomes meet the requirements of Standard One of the Standards for RTOs 2015 and the Training and Education Training Package. AIE uses the following tools to conduct validation:
- g. Validation Checklist
- h. Assessment tool (Subject and Assessment Guides and Teacher Guides)
- i. Competency analysis (Assessment Mapping)
- j. Collected evidence (Student Work)
- k. Results (Completed Assessment Feedback Sheets)

All validation activities are recorded in the Assessment Validation Report, with any recommendations or amendments being actioned through the raising of an Improvement Notice on the AIE's Continuous Improvement Register.

Assessment Validation Reports and records completed during this process are located at:

**Academic Management/Compliance/Files/Validation/ Validation Reports.**

## 4.2 External Validation

Independent validation of assessment is important for ensuring quality assessment outcomes that are consistent and meet industry expectations and ensures that assessment practices are appropriate to the outcomes of training, are consistently applied, meet standards for assessment, and are aligned with industry and Training Package requirements for units of competency.

The benefits of an independent process for assessment validation include:

- a. Obtaining industry acceptance of VET outcomes
- b. Ensuring assessment strategies meet industry needs
- c. Gathering feedback to improve assessment processes
- d. Building assessor confidence and capabilities
- e. Fostering the development of informal networks
- f. Facilitating assessor acquisition of up-to-date industry knowledge
- g. Assisting assessors to apply consistent standards and make consistent judgements.

### 4.2.3 Independent External Validation when adding new qualifications to scope

The following process is to be undertaken when adding new qualifications to scope:

- a. The National compliance Officer will ensure that a suitably qualified external validator is hired to undertake external validation of all units of Competency that are new to AIE's Scope of Registration
- b. The National Compliance Officer is to obtain a Quote for the external validation which requires approval by the CEO (See Purchasing Policy and Procedure)

- c. Evidence of this validation is to be retained. This can either be in terms of a report generated by the external validator using their own documentation or utilising AIE's validation report.

## 5 Definitions

### Assessment Validation Report

A report that forms the basis of evidence of validation and is kept current and reviewed annually by the Compliance Officer and the Academic Management Team.

### Independent External validation

Independent external validation means that the validation is carried out by a validator or validators who are not employed or subcontracted by AIE to provide training and assessment and have no other involvement or interest in the operations of AIE.

### Industry

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

- a. Enterprise/industry clients, e.g. employers
- b. Group training organisations
- c. Industry organisations
- d. Industry regulators
- e. Industry skills councils or similar bodies
- f. Industry training advisory bodies
- g. Unions
- h. networks of relevant employers and industry representatives
- i. Exchanging knowledge, personnel, and/or resources with employers, networks and industry bodies.

### Scope of Registration

Qualifications and Units of Competency on training.gov.au.

### 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.

## 6 Related documents

The following documents are related to this policy:

- a. Assessment Policy and Procedure
- b. Moderation Policy and Procedure
- c. Assessment Validation Report
- d. Validation Calendar
- e. Academic Management Organisational Chart.

The following legislation and standards are related to this policy:

- a. Clauses 1.9 – 1.11. Standards for Registered Training Organisations 2015.

## 7 Review

This policy will be reviewed annually by the National Compliance Officer.

## 8 Revision History

| Approval Authority | Prepared/revised by          | Revision                            | Change                              | Date Approved/updated                         |
|--------------------|------------------------------|-------------------------------------|-------------------------------------|---|
| CEO                | Linda Burrows, Casey Gregory | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | New Policy and Procedure<br>22 October 19     |
|                    | Vicki De Margheriti          | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | Revised and approved new policy and procedure |
|                    | Nick Markesinis              | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | 14 April 2021                                 |
|                    |                              | <input type="checkbox"/>            | <input type="checkbox"/>            |   |

## Appendix A: Experience and Qualifications of Validators

Personnel who have undertaken or are undertaking validation require the following:

- a. Vocational competencies and current industry skills relevant to the assessment being validated
- b. Current knowledge and skills in vocational teaching and learning
- c. The training and assessment credential as per the following:

| On or prior to 30 June 2019   | On or after 1 July 2019  |
|---|--|
| a. TAE40110 Certificate IV in Training and Assessment<br>b. TAE40116 Certificate IV in Training and Assessment or its successor   | a. TAE40116 Certificate IV in Training and Assessment or its successor<br>b. TAE40110 Certificate IV in Training and Assessment  |
| Or:   | And one of the following   |
| a. TAE40110 Certificate IV in Training and Assessment   | a. TAE LLN411 Address adult language, literacy and numeracy skills or its successor  |
| And one of the following:   | Or:  |
| a. TAE LLN411 Address adult language, literacy and numeracy skills or its successor   | a. TAE LLN401A Address adult language, literacy and numeracy skills  |
| Or:   | And one of the following:  |
| a. TAE LLN401A Address adult language, literacy and numeracy skills   | a. TAE ASS502 Design and develop assessment tools or its successor<br>b. TAE ASS502A Design and develop assessment tools<br>c. TAE ASS502B Design and develop assessment tools<br>d. TAE SS00011 Assessor Skill Set or its successor |
| And one of the following:   | Or:  |
| a. TAE ASS502 Design and develop assessment tools or its successor<br>b. TAE ASS502A Design and develop assessment tools<br>c. TAE ASS502B Design and develop assessment tools<br>d. TAE SS00001 Assessor Skill Set<br>e. TAE SS00011 Assessor Skill Set or its successor | a. TAE SS00001 Assessor Skill Set  |
| Or:   | And one of the following:  |
| a. TAE SS00001 Assessor Skill Set   | a. TAE ASS502 Design and develop assessment tools or its successor<br>b. TAE ASS502A Design and develop assessment tools<br>c. TAE ASS502B Design and develop assessment tools   |
| And one of the following:   |  |
| a. TAE ASS502 Design and develop assessment tools or its successor<br>b. TAE ASS502A Design and develop assessment tools<br>c. TAE ASS502B Design and develop assessment tools  |  |

The trainer and assessor who delivered/assessed the training product being validated:

- a. Can participate in the validation process as part of a team
- b. Cannot conduct the validation on his/her own
- c. Cannot determine the validation outcome for any assessment judgements they made, and
- d. Cannot be the lead validator in the assessment team.

### **TAE Training Products**

Where AIE's scope of registration includes the delivery and assessment of an AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), validation must be conducted by one or more persons who collectively have:

- a. Current knowledge and skills in vocational teaching and learning; and
- b. The training and assessment qualification or assessor skill set at least to the level being validated.