POLICY -
ASSESSMENT VALIDATION

Purpose	The purpose of this Policy & Procedure is to ensure that the RTO provides quality assessment through systematic conduct of assessment validation.

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Definitions	Evaluation is a quality review process applied to all aspects of RTO operations
	Assessment 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.
	(Source: Standards for RTOs 2015)
	Assessment Moderation is a quality control process
	It is the process of bringing assessment judgements and standards into alignment ensuring the same standards are applied to all assessment results within the same Unit of Competency. It is an active process in the sense that adjustments to assessor judgements are made to overcome differences in the difficulty of the tool and/or the severity of judgements. (Prior to the final determination of Competency)
	(Source AQTF Users Guide to the Essential Conditions and Standards for Continuing Registration)
	A valid assessment judgement is one that confirms a learner holds all the knowledge and skills described in a training product.
	(Source: ASQA Fact Sheet – Conducting Validation)
	Statistically valid means for the purposes of these Standards, a random sample of appropriate size is selected to enable confidence that the result is sufficiently accurate to be accepted as representative of the total population of assessments being validated.
	(*Source: Standards for RTOs 2015)*
	Training Product means AQF qualification, skill set, Unit of Competency, accredited short course and module.
	(Source: Standards for RTOs 2015)

Requirement	The Standards for RTOs 2015 require RTOs to undertake validation of assessment processes and judgements which is a quality review. To do this successfully an RTO must have a well-developed and systematic approach to assessment validation to ensure that:
	• assessment judgements are consistently made on a sound basis, and
	• validation of assessment judgements is carried out.

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These validation activities are not intended to be used to make adjustments or changes to assessment outcomes, but this does not prohibit an RTO from undertaking activities such as moderation in order to increase the quality of assessment.

A systematic approach should be based on a validation plan, which ensures:

- each training product on the RTO's scope of registration undergoes validation at least once every five years.
- the plan allows for validation of at least 50 per cent of the training products in the first three years of that cycle.

Certain training products may need to be validated more often where specific risks have been identified, for example, if the RTO's industry consultation identifies areas of particular risk.

Sampling

Not every assessment judgement has to be validated; however, a valid sampling approach is required. The sample of assessment judgements selected for validation must be random and representative of all assessment judgements.

- The RTO needs to demonstrate they have a documented, systematic approach to validation which is realistic for the size of the organisation and can be defended
- The approach needs to ensure valid and reliable evidence is collected by the assessment process.
- The RTO needs to demonstrate how the sample validated was selected and have a reliable way to record the sample
- The RTO also needs to show the actions taken in response to validation outcomes.

People undertaking validation

Validators must be independent of delivery and assessment of the training product being validated and the assessment judgements being considered to maintain professional distance and integrity.

People involved in validation must collectively have:

- vocational competencies and current industry skills relevant to the assessment being validated
- current knowledge and skills in vocational teaching and learning, and
- the training and assessment qualification or assessor skill set referred to in Item 2 or 3 of Schedule 1 of the Standards for RTOs 2015.
- Industry experts may be involved in validation to ensure there is the combination of expertise set out above.

Validation may be undertaken through a 'team' approach where, collectively, team members hold the required qualifications, skills and knowledge. Trainers and assessors can be involved in validation activities, as

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	long as they are not directly involved in deciding the validation outcome for their assessment decisions.

Reference Documentation	Other reference documentation which relates to this P&P includes: • User Guide – Standards for RTOs – 2015 • ASQA Fact Sheet - Conducting validation • TAC Fact Sheet - Conducting validation

Tools & Templates	This P&P is supported by the Tools & Templates identified at each stage in the process.

Policy	All aspects of the organisation's operations are to be reviewed regularly including:
	
	• evaluation of each of the Training Products on the scope of registration
	• validation of assessment practices and judgements for each Training Product
	• evaluation of Signet Institute of Australia operations and Quality Management System, including:
	  ☐ Policies & Procedures,
	  ☐ Process Reference Pages, and
	  ☐ Tools & Templates

	Evaluation of training and assessments systems Training and assessments systems for each Training Product are to be systematically evaluated prior to the implementation of the assessment process as well as after assessments have been used. Evaluation of the training and assessment processes and tools is to ensure the requirements of the Training Package and industry, as well as any legislative or regulatory obligations are being met.
	Validation of assessment judgements and practices Signet Institute of Australia must systematically conduct validation activities to confirm assessment practices are being implemented consistently and that judgements are being made correctly. The assessment practices include a sample of the assessment processes, tools and evidence contributing to the competency judgements made.

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Validation involves checking that your assessment tools have produced valid, reliable, sufficient, current, and authentic evidence; evidence that allows Assessors to make reasonable judgements about whether Training Product requirements have been met.

Signet Institute of Australia Validation Plan Calendar

Validation of each Training Product on Signet Institute of Australia current scope of registration is to occur at least once every five years, in accordance with the Signet Institute of Australia Validation Plan Calendar. At least 50 per cent of Signet Institute of Australia Training Products must be validated in the first three years of the schedule.

A risk-based approach is to be taken when scheduling the validation of each Training Product which include:

- Changes to the Training Package requirements
- the introduction and use of new assessment tools
- delivery of Training Products where safety is a concern
- the level and experience of the assessor
- the number of location where assessment is conducted
- changes in technology, workplace processes, legislation, and licensing requirements.
- Training Products identified as 'high-risk' by the regulator ASQA

Sampling

Assessment validation includes reviewing a statistically valid sample of the assessment judgments and making recommendations for future improvements to the assessment tool, process and outcomes and acting upon such recommendations.

Signet Institute of Australia uses a 'stratified random sample' which involves identifying distinct groups of candidates (such as campus based, workplace based, RPL, etc) and randomly selecting two students from each group for close analysis. (See TAC Fact Sheet – Assessment Validation)

When validating a whole qualification, a skill set or accredited course, the assessment practices and judgements of at least two Units of Competency must be validated.

In larger qualifications more Units may be validated using a risk analysis approach considering the complexity of the qualification and the risks associated with each Unit of Competency.

If the validation indicates that assessment judgements are not valid then more units should be validated.

A valid assessment judgement is one that confirms a learner holds all of the knowledge and skills described in a Training Product. Validation of assessment practices are generally conducted after assessment is complete, so that the validity of both assessment practices and judgements can be considered.

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People undertaking validation

Validation is undertaken through a 'team' approach where, collectively, team members have:

- vocational competencies and current industry skills relevant to the assessment being validated
- current knowledge and skills in vocational teaching and learning, and
- the TAE40116 Certificate IV in Training and Assessment (or its successor) or the TAESS00001 Assessor Skills Set (or its
- successor).
- Where possible, industry experts are also to be involved in validation process.

The Trainers & Assessors who delivered or assessed the Training Product being validated must be involved in validation activities but must not be directly involved in determining the validation outcome for any assessment judgements they made; nor can they be the lead validator in the Validation Team.

Training & Assessment staff are to participate in regular moderation activities where assessment judgements are compared.

Acting on recommendations

Where inconsistencies in the assessment practices and judgements are identified recommendations for future improvement are to be documented and addressed in accordance with P&P– Continuous Improvement.

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Procedure

Validation of assessment practices and judgements	
Assessment practices and judgements for each Training Product on Signet Institute of Australia current scope of registration is to occur at least once every five years, in accordance with the Signet Institute of Australia Validation Plan Calendar. At least 50 per cent of Signet Institute of Australia Training Products must be validated in the first three years of the schedule. Signet Institute of Australia Validation Plan Calendar is to be adjusted when adding a new Training Product. When making adjustments, Signet Institute of Australia is to ensure the schedule continues to meet the timeframe and completion requirements.	**Tools & Templates** Template – Validation Plan Calendar **Responsibility** Compliance Manager
Output: Updated Signet Institute of Australia Validation Plan Calendar	

Selecting what Training Products to be reviewed	
Training Products The assessment judgements and practices for every Training Product on Signet Institute of Australia scope of registration will be systematically validated in accordance with the Signet Institute of Australia Validation Plan Calendar.	**Tools & Templates** Template - Validation Plan Calendar
Risk based approach Certain Training Products may need to be validated more often based on specific risks identified. The risk assessment process is to take into consideration: • The number of students (The more students the greater the risk if an assessment is found to be "not valid") • The scope of delivery • The number, competence, and experience of the assessors. (The more assessors the higher the risk of inconsistency in the judgements) • The implications of deeming the students competent (Is the assessment linked to a licence etc – what are the safety implications?) • The number and length of the course (If the RTO runs dozens of days courses the risk is much greater than if they deliver a qualification to one cohort per year.) • The number of locations at which the assessment is being conducted, in house or in the workplace. (The more locations greater risk of inconsistency)	**Responsibility** Compliance Manager

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- Where the assessments are being conducted under 3rd Party arrangements (The new standards are very hot on 3rd Party arrangements) - The mode of assessment. (RPL or online) - The changes to the Training Packages. (The RTO has to demonstrate the assessments have been updated.) - The introduction of new assessment tools. - Changes in technology, workplace processes, legislation, and licensing requirements - Where the Regulator (TAC / ASQA) or industry consultation identifies areas of "High Risk". - Audit, validation, and moderation history - Feedback from clients, trainers, and students - Completion rates The sample of assessment judgements selected for validation must be random and representative of all assessment judgements**.**	
Output: Signet Institute of Australia Validation Plan	

Sampling

Signet Institute of Australia uses a 'stratified random sample' of the assessment judgments which involves identifying distinct groups of candidates (such as campus based, workplace based, RPL, etc) and randomly selecting two students from each group for close analysis. (See ASQA Fact Sheet – Assessment Validation) The assessment practices and judgements of at least two Units of Competency must be validated. If the validation indicates that assessment judgements are not valid then more units should be validated.	**Tools & Templates** Template – Validation Form **Responsibility** Compliance Manager
Output: Valid Sample	

The Validation Team	
Validation will be undertaken through a 'team' approach which ensures all the competency requirements for persons participating in the validation process are addressed. Training Coordinator is responsible for managing the validation process and forming a Validation Team that meets the competency requirements.	**Tools & Templates** **Responsibility** Compliance Manager
Output: The Validation Team	

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Conduct the validation activities	
Validation is to be conducted using the Template – Validation Form A record of the validation session is to be completed by the Training Coordinator using the templates in order to demonstrate how the sample of documentation validated was selected and include a record of that sample. The records are to be supported by evidence of the actions taken in response to validation outcomes	**Tools & Templates** Template – Validation Form **Responsibility** Compliance Manager
Output: Completed Validation Forms and supporting evidence.	

Continuous Improvement Action	
If continuous improvements activities are identified these will be actioned in accordance with P&P- Continuous Improvement	**Tools & Templates** P&P– Continuous Improvement **Responsibility** Compliance Manager
Output: Continuous Improvement Record with the completed Validation Report and evidence attached	

Key Performance Indicator
All assessment judgements and practices for each Training Product on Signet Institute of Australia scope of registration have been systematically validated at least once every five years in accordance Signet Institute of Australia Validation Plan.

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