



EMPIRE
INSTITUTE OF EDUCATION

National Code 2007
Standard 14.2
Policy & Procedure





Assessment Validation and Moderation Policy

Purpose

The purpose of the Assessment Validation Policy & Procedure is to ensure that assessment tasks are valid, flexible, reliable and fair, and that decisions are made on the basis of sufficient and appropriate evidence. To meet the standard that govern this Policy and Procedure: SNR 15.3, 15.5 and National Code Standard 14.2

Scope

Definitions

Accredited Course:	A structured sequence of vocational education and training that has been accredited and leads to an Australian Qualifications Framework (AQF) qualification or Statement of Attainment.
Assessment:	The process of collecting evidence and making judgments on whether competency has been achieved to confirm that an individual can perform to the standard expected in the workplace, as expressed in the relevant endorsed industry/enterprise competency standards or the learning outcomes of an accredited course.
Audit:	A systematic, independent and documented process for obtaining evidence to determine whether the activities and related outcomes of a training organisation comply, or continue to comply, with the Standards for Registered Training Organisations. Audits may be: <ul style="list-style-type: none"><input type="checkbox"/> Internal — conducted by officers of the Institute annually; or<input type="checkbox"/> External — conducted by auditors from other agencies, e.g. the State Training Authority.
Auditee:	The organisation that is the subject of the audit.
Internal Review:	A quality improvement process undertaken by the school in each vocational training area to review and evaluate learning and assessment strategies and the related human and physical resources.
Quality Indicators:	Parts of the Essential Standards for Registration. The three quality indicators measure employer satisfaction, learner satisfaction and competency completion rates.
Non-Compliance:	Failure to comply with one or more parts of the Essential Standards for Registration.
Objective Evidence:	Information relating to the products or services provided by the school that can be verified or tested. Information can be in the form of documents, records, unbiased observations, or facts that can be measured or tested.
Observation:	A statement of fact that can be verified by objective evidence.



**Assessment Validation
Action Plan:**

Used to plan assessment validation activities for all qualifications or units of competency on scope of registration.



Policy

Validating and moderating the relevance and consistency of assessments and assessment judgments is critical. We ensure that the assessments meet the accredited course and training package requirements.

We will validate our assessment strategies and tasks by:

- Reviewing, comparing and evaluating the assessment processes, tools and evidence contributing to judgments made by a range of assessors against the same competency standards, at least annually; and
- Documenting any action taken to improve the quality and consistency of assessment.

Examples of evidence that will be collected in this process will be:

- Records/minutes of validation meetings,
- Feedback from clients regarding assessment processes and tools used, Reports on assessment outcomes,
- Earlier drafts of assessment tools,
- Reports regarding changes made to assessment processes and tools,
- Review of evidence collected, procedure for ongoing review of assessment processes and tools,
- Professional development activities focusing on improving assessment strategies,
- Examples of materials used in the process to review, compare and evaluate assessment tools, and evidence contributing to judgments made by a range of assessors against the same competency standards,
- Earlier drafts of assessment tools, reports regarding changes made to assessment processes and tools, and
- Memos/emails/minutes of meetings explaining changes made to assessment instruments.

The RTO Manager will be responsible for

- Development of the validation action plan,
- Organizing validation meeting,
- Providing guidelines for assessors about the material to be used at validation meetings and how it should be collected and presented,
- Maintaining records of validation documentation used, sessions held and filing reports of the process for later reference,
- Reviewing the validation process on a regular basis and modifying or improving the process as required,
- Ensuring curriculum documentation is updated, and
- Advising relevant staff of all changes.



Procedure

Assessment validation and moderation will be conducted on units of study delivered and assessed according to the **Validation schedule**. Qualifications within our scope of registration also will undergo assessment validation and moderation according to the Validation schedule. Validation and moderation methods¹ will include:

- An assessment review panel,
 - A lead assessor or supervisor with training and assessment competencies,
 - Validation meetings will be conducted where the assessors will get together to examine the instruments, processes and outcomes of assessment and come to agreement about the use and effectiveness of these,
 - Industry Consultation Committee Standardized assessment tools, and
 - Benchmarking against evidence guides such as Training Package Assessment Guidelines, Industry and workplace requirements, and other national and international providers.
1. The RTO manager, based on the Validation schedule, will prepare an Assessment Validation and Moderation Action Plan, to determine the types of validation and moderation methods, and frequency of the assessment validation and moderation meetings.
 2. Prior to the assessment validation and moderation meeting, the RTO manager will inform the trainer to prepare for assessment moderation and validation by collecting examples of assessment processes used, assessment tools used and evidence used to conduct assessment in a study period.
 3. The RTO manager will convene an Internal Assessment Review Panel or Industry Consultation Committee according to the Assessment Validation and Moderation Action required.

Plan to discuss:

- Feedback on assessments gained through individual debriefs of assessors and students,
- Suggested changes to assessments to meet industry needs, and
- Samples of graded assessments to ensure consistency of judgment.

Specific items of discussion to validate and moderate the assessment may include:

- Assessment method and task that covers all areas of the competency or learning outcome,
 - Whether assessment method and task are consistent and gather sufficient evidence,
 - Whether assessment task have clear instruction for assessor and student,
 - Whether assessment method and task meets the requirement of assessment principles, and
 - Whether marking criteria meet the competency or learning outcome requirement.
4. The RTO manager will record a summary of the assessment validation and moderation actions in the Assessment Validation and Moderation Record. Agreed improvement activities will be documented in an Assessment Validation and Moderation Record which assigns activities to specific people or groups of people and indicates completion dates.
 5. The RTO manager will maintain a record of assessment validation and moderation activities and record improvements in the Improvement Action Register in our review cycle. This register

¹ Moderation Activities refers to a facilitated, informal process in which a group of trainers and assessors meet to discuss their assessment processes and tools, with a view of identifying any issues and making improvements. Moderation also gives assessors the opportunity to exchange information about assessment methods and agree on a standard of validity.



will be reviewed by the Industry Consultation Committee at least once a year and will provide a report to the Quality Committee.

The following will be used to validate assessments:

The key aspects that we will validate are:		
Assessment Process: <ul style="list-style-type: none"><input type="checkbox"/> Enrolments<input type="checkbox"/> Assessments<input type="checkbox"/> Recording<input type="checkbox"/> Reporting<input type="checkbox"/> Appeals	Assessment Tools: <ul style="list-style-type: none"><input type="checkbox"/> Specific assessment tasks<input type="checkbox"/> Instructions for candidates<input type="checkbox"/> Instructions for assessors (open or closed book assessment)<input type="checkbox"/> Evidence guides, checklists<input type="checkbox"/> Rules of judgment<input type="checkbox"/> Examples of acceptable responses and description of typical competent performance	Evidence: <ul style="list-style-type: none"><input type="checkbox"/> Simulation<input type="checkbox"/> 3rd Party Sources: Indirect, direct supplementary

Record keeping and confidentiality

Records of all Assessment Validation and Moderation Records and Assessment Validation and Moderation Action Plans collected under this procedure shall be maintained for a period of at least five years by the RTO manager for auditing purposes by the State or Territory Registering Body.

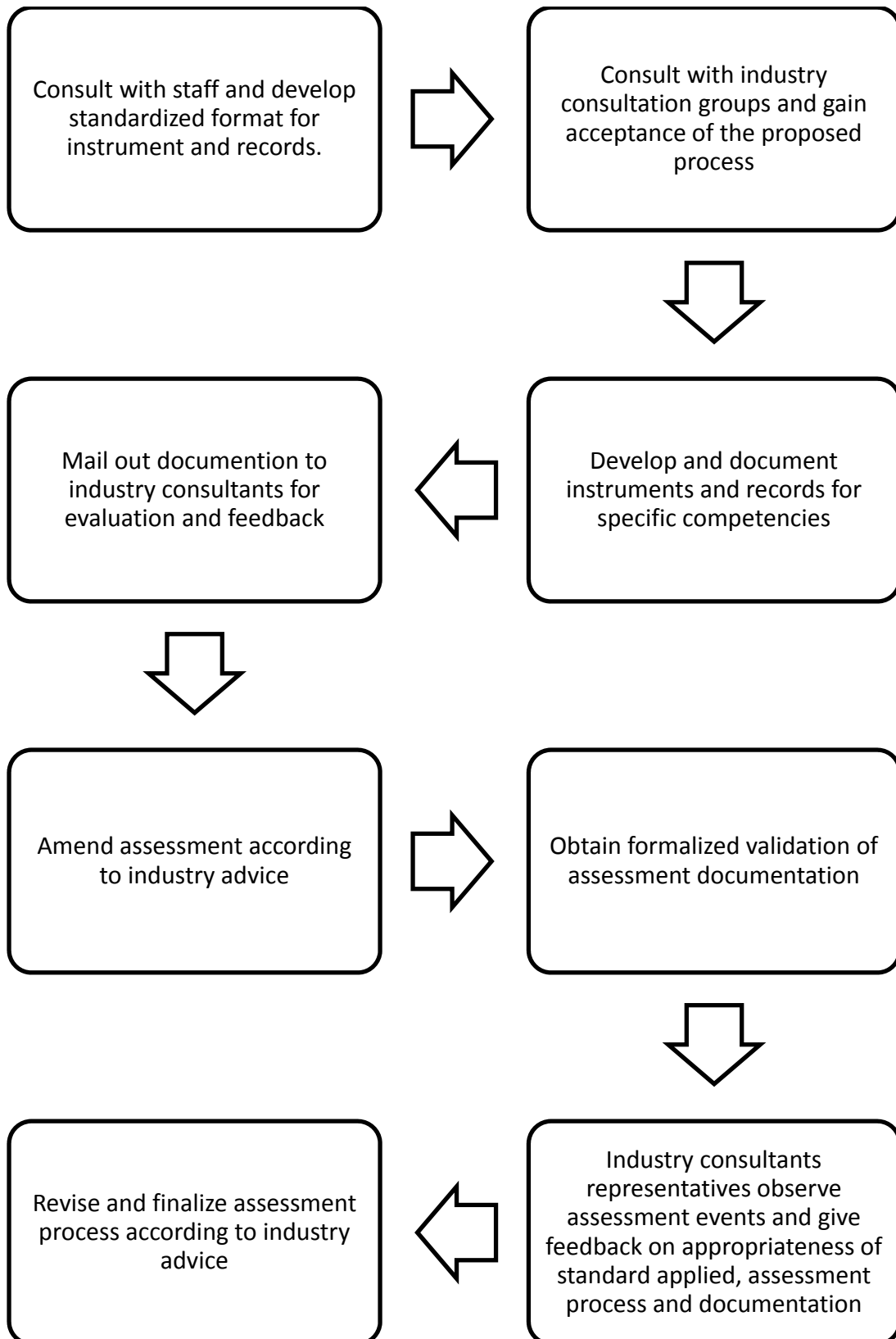
Validation Plan

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- Organizing validation meeting,
- Providing guidelines for assessors about the material to be used at validation meetings and how it should be collected and presented,
- Maintaining records of validation documentation used, sessions held and filing reports of the process for later reference, and
- Reviewing the validation process on a regular basis and modifying or improving the process as required.



Empire Institute QUALITY ASSURANCE PROCESS FOR ASSESSMENT OF COMPETENCIES





Validation Meeting

The basic aim behind the validation meeting will be:

- To discuss the assessment instruments that they have used,
- To discuss the assessment decisions that they have made,
- To scrutinize the evidence that has been presented by candidates, and
- To discuss any feedback provided by candidates.

The validation meeting will involve discussions based on:

1. The assessment task and the assessment process learner performance.
2. The assessment decision that has been made.
3. Reporting and record keeping.
4. Feedback from the candidates.
5. Whether assessment methods and tasks cover all areas of the competency or learning outcome.
6. Whether assessment methods and tasks are consistent and gather sufficient evidence.
7. Whether assessment tasks have clear instructions for assessors and students.
8. Whether assessment method and task meets the requirement of assessment principles.
9. Whether marking criteria meet the competency or learning outcome requirement.

Note

Once our internal validation process is established, to ensure quality we will then develop links with other RTO's assessing in the same industry area or, the relevant industry training advisory body (ITAB), or through professional or industry associations and networks.



Document Control

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