POLICY AND PROCEDURE – VALIDATION AND MODERATION

Purpose	The Management Edge (TME) is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SNRs 2015). As such, is required to implement a plan for ongoing systematic validation of assessment practices and judgments for each training product on its scope of registration. The purpose of this policy is to ensure ongoing systematic validation of assessment practices and judgments.
Standard reference	1.1, 1.2, 1.4, 1.5, 1.6, 1.9, 1.10, 1.11, 1.25, 2.2, 2.4
Who is responsible	The CEO is responsible for the validation process and ensuring that all Assessors, including those from third party providers are applying consistent standards and making consistent judgments when conducting assessments. **Assessors are responsible for:** • Implementing professional and effective assessment and validation practices. (See Assessment Policy); • implementing the assessment instruments and instructions provided for the process of conducting assessment; and • Ensuring that assessment complies with Principles of Assessment and Rules of Evidence. •
Policy review date	every 12 months
Definitions	The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015. **Assessment** means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course. **Assessment system** is a coordinated set of documented policies and procedures (including assessment materials and tools) that ensure assessments are consistent and are based on the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2. **Independent validation means**, for the purposes of Clause 1.25, that the validation is carried out by a validator or validators who: •are not employed or subcontracted by the RTO to provide training and assessment; and •have no other involvement or interest in the operations of the RTO.

	Industry means the bodies that have a stake in the services provided by RTOs. These can include, but are not limited to: • enterprise/industry clients, e.g. employers; • group training organisations; • industry organisations; • industry regulators; • industry skills councils or similar bodies; • industry training advisory bodies; and • unions. **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. **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
Policy	TME is committed to conducting ongoing systematic validation of its assessment practices, tools, processes and judgements made by assessors, including by third party providers. We ensure that: • A plan for ongoing systematic validation of assessment is implemented; • Each training product is validated at least every five (5) years; • Key stakeholders are involved in validation processes; • We document our validation activities, outcomes and actions taken to improve the quality and consistency of assessment; and • Validation is undertaken by appropriately qualified and experienced persons
Policy principles	Validation is used by TME to: • Verify and maintain industry relevance of training and assessment strategies, practices and resources; • Verify compliance with requirements of national Training Packages and VET Accredited Courses; • Monitor compliance with SNRs 2015; • Evaluate efficiency of training and assessment strategies and practices; • Engage with industry; • As a method for continuous improvement of training and assessment products and services; • Monitor services provided on its behalf by third party providers; • ensuring consistency and integrity, meeting the needs of industry.

Assessment documentation to be validated will include:
- Training and assessment strategies;
- Assessment tools;
- Assessment policies and procedures; and
- Assessment evidence and judgments.

Validation will be undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who 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 Schedule 1 of Standards for RTOs.
- Industry experts may be involved in validation to ensure there is the combination of expertise set-out in the validation document.

The validation process provides opportunity for dissemination of information and professional development on the processes, practice and procedures to Assessors.

The validation process will ensure individuals are respected and confidentiality is upheld. Confidentiality includes:
- No copying or use of materials made available for moderation without prior permission from the Intellectual property owner.
- Respect ethical practice.
- Respect privacy of assessors.
- Ensures discussions during validation validate:
- The effectiveness of assessment tools and practices;
- The standard of performance demonstrated and achieved;
- Evidence collected meets with Rules of Evidence; and
- The accuracy and consistency of the assessment judgments.

Validation Plan
The validation plan will cover a five (5) year cycle.
The validation plan will be reviewed and updated annually to accommodate changes in the business, industry / environment, scope and identified risk areas.
TME validation plan will include:
- Proposed dates for validation meetings;
- Full code and title of each of the nominated units/modules from the training product;
- The designated chair of the validation meeting;
- The suggested/nominated participants;
- How the outcomes of the validation will be documented; and
- How the outcomes of the validation will be acted upon.

At least 50% of products will be validated within the first three years of each five-year cycle; taking into account scope of delivery, relative risks, and industry needs.
Risks will be assessed based on some or all of the following factors:
- Unit of competency/ module
- Delivery site
- Delivery mode

- Third party arrangements in place
- Equipment used
- Financial concerns
- Assessment methods implemented
- Licensing requirements
- Numbers of Enrolments
- Assessment outcome rates / statistics
- Recent addition to scope
- Complaints
- Appeals
- Staff turnover
- Risks identified by the VET Regulator

Validation of Training and Assessment qualifications
TME abides by the requirements for "Independent Validation of Training and Assessment qualifications" on its scope of registration, as specified in SNRs 2015 (including Schedule 2).

Industry Engagement/Consultation - Validation
TME engages industry to validate training and assessment strategies, practices, and resources (including assessment tools) during the development phase of all training and assessment products to ensure:
- relevance of materials and tools to the needs of industry;
- Relevance of trainer and assessor industry skills.

Procedure	**1 Validation Planning** An TME representative will: - Develop and maintain a validation plan and schedule using the 'Validation Register' covering a five (5) year period. Ensure the Validation Plan covers: 50% of Training Products are validated within the first three (3) years; 100% of Training Products (including all units of competency/modules) are validated within the five (5) year period; - Priority is given to high risk Training Products; - Validation is undertaken by parties' independent to Assessment decisions for a particular Training Product. - Reviews the Validation Plan Annually. **Statistically valid sampling** A statistically valid sample will be determined according to the guidelines in the SNRs (2015) **The validation team;** Validation can be undertaken by one person or by a team of people. TME ensures the review process is completed by people who collectively hold: - vocational competencies and current industry skills relevant to the assessment being validated - current knowledge and skills in vocational teaching and learning, and - the TAE40110 Certificate IV in Training and Assessment (or its successor) or the TAESS00001 Assessor Skills Set (or its successor).

- Internal employees not involved in the validation sample chosen
- External validators as necessary

For example, TME may seek participation in the validation processes from:
- employers and employer associations
- other industry bodies
- trainers and assessors, or
- consultants.

It is preferred that the lead validator hold:
- Diploma of Quality Auditing

or the following units of competency or equivalents
- BSBAUD402 Participate in a quality audit
- BSBAUD501 Initiate a quality audit
- BSBAUD503 Lead a quality audit
- BSBAUD504 Report on a quality audit

If the opportunity presents TME will work with other RTOs—from the same or different industry areas—and collaboratively validate each other's assessment practices and judgements.

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

Validators and 'industry relevance' requirements
Validation helps ensure TME training and assessment practices are relevant to the needs of industry.

We will engage where we can people who have current skills, knowledge and experience in the vocational to 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 either:
- hold competency in the training product being validated, or
- be able to demonstrate they have skills and knowledge equivalent to the requirements of the training product.

Validators and 'vocational teaching and learning' requirements
The validator, or someone within the validation team, must hold either:
- the TAE40110 Certificate IV in Training and Assessment (or its successor), or
- the TAESS0001 Assessor Skill Set (or its successor).
- A person demonstrating 'equivalence of competency' is not sufficient to meet this requirement.

The validation process must:
- reflect current vocational training practices, and
- use contemporary knowledge of the vocational education and training environment.

2 Organising the Validation meeting
The Training manager must:
- Schedules the date and time for the meeting.
- Update the 'Validation Register'.
- Invite and confirm participants to the validation meeting.
- File is made up confirming the validators qualifications including: (validators can be made up of a mix of the following)
  - Copy of the TAE if applicable
  - Qualifications relating to the industry being validated. For example, if validating a diploma of business does the validator have a qualification to the level or higher
  - CV confirming industry currency with at least 3 years' experience
  - Auditing qualification or skillset to lead the validation or alternatively a high managerial agent of the organisation

The Administrator must:
- Prepare the validators file
- Prepare the venue for the meeting.
- Gather relevant documentation for the meeting:
- Qualification document (from training.gov.au);
- Unit of competency document (from training.gov.au);
- Training and Assessment Strategy (TAS);
- Assessment Tools;
- Assessment Plans;
- Marking Guides;
- Validation Form.

3 Conducting the Validation meeting
Chairperson/Leads auditor
- Open the meeting, providing information to the group regarding development and implementation of the training product and in particular the assessment processes and resources.
- Ensure all parties sign the 'Validation Form'.
- Chair /facilitate discussions in accordance with the 'Validation Form' and resources to be Validated.
- Complete the 'Validation Form', taking notes throughout the meeting.
- Agree on outcomes and recommendations with the group.
- Ensure all relevant paperwork is completed documenting the occurrence and outcomes of the meeting.
- Close the Meeting
- Provide all documentation to the Administrator for processing.

	4 Processing Validation meeting outcomes Training manager must: • Review 'Validation Form' for actions and continuous improvement recommendations. • Complete 'Continuous Improvement Request (CI) Form'. • Lodge 'Continuous Improvement Request (CI) Form' as per Continuous Improvement procedures. • File all Validation documentation in Validation Filing System. •
Records management	**Records Management** All documentation from Validation processes are maintained in accordance with Records Management Policy. **Monitoring and Improvement** All Validation practices are monitored by the CEO and areas for improvement identified and acted upon. Outcomes from validation feed into continuous improvement **Registers** Validation **Forms** Validation 5 Year plan Validation Report TAS Validation Report Assessment tools and Assessment judgement