

POLICY & PROCEDURE

ASSESSMENT VALIDATION

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1. Purpose

- 1.1 The purpose of this policy and procedure document is to ensure that Allens Training Pty Ltd training and assessment strategies and practices are systematically validated to ensure that they are responsive to industry and learner needs and meet the requirements of all nationally registered accredited training products.
- 1.2 In particular, the purpose of this document is to ensure that all assessments conducted by Allens Training Pty Ltd or the third parties delivering training and assessment on behalf of Allens Training are valid and reliable and allow for sufficient and current evidence to be collected to determine students' competence.

2. Scope

- 2.1 This policy relates to Allens Training Pty Ltd RTO 90909, its trainers and assessors and employed staff. It includes any third party providing services on behalf of the RTO, including their trainers and assessors and administration staff; contractors and consultants working on assessment related activities. It also covers students of the RTO and third party providers.

3. Policy Statement

Validation

- 3.1 Allens Training have a validation schedule to ensure thorough and rigorous assessment practices and results are conducted that reflects present vocational training practices and current knowledge of the vocational education and training environment. This is achieved through utilising a risk-based approach to systematic validation considering valid assessment outcomes, delivery modes, changes to training packages and any risk identified by the VET Regulator.
- 3.2 Validation of our Training and Assessment Strategies (TAS), assessment practices and judgements are conducted in accordance with the Standards for Registered Training Organisations (RTOs) 2015 as specified.
- 3.3 Our validation system ensures that assessment (including recognition of prior learning) complies with the requirements of the relevant training package or VET accredited course and is conducted in accordance with the Principles of Assessment and the Rules of Evidence.
- 3.4 Validation is a quality review process that confirms our assessment system consistently produces valid assessment judgements. Allens Training have implemented a plan for ongoing systematic validation of the review of assessment methods, processes, tools and judgements for each qualification currently on our scope of registration. The process involves reviewing a statistically valid sample of the assessments and making recommendations for future improvements to the tools, processes and/or outcomes and acting upon such recommendations as part of our continuous improvement cycle.
- 3.5 Each training product (AQF qualification, skill set, unit of competency, accredited course and custom course type) on our Scope of Registration has a training and assessment strategy that is developed for different delivery models or target groups. Our strategies are reviewed and verified by industry stakeholders to ensure our practices align to current methods, products and performance expectations for the workplace, particularly in areas where technology and/or techniques change rapidly.
- 3.6 The validation process is comprised of a series of activities throughout the lifecycle of a training program. This involves industry consultation, contextualisation of new training and assessment material, pre-validation of a new course, validation of a completed course and moderation.

Industry Consultation

- 3.7 Consultation with Industry ensures that students, employers and industry have confidence in the currency, value and integrity of Allens Training AQF certification through the delivery of high-quality training and assessment practices.
- 3.8 Industry consultation ensures that training and assessment meets industry needs, that training and assessment is responsive to industry, that it meets the requirements of the training package, and that it is delivered by suitably qualified trainers and assessors. Industry consultation further ensures that the student has access to suitable facilities and equipment necessary to gain the competencies specified in the relevant Training Package.
- 3.9 Industry consultation is conducted by Allens Training when a new course is developed and where the RTO seeks feedback from industry in relation to the industry relevance of our training and assessment practices.
- 3.10 Strategies Allens Training use for engaging with industry involve consultation at different stages. These stages include when a course has been designed, at the development of new Training and Assessment Strategies and at the review of existing Training and Assessment Strategies including sequence of units and duration. Another stage is the review of the trainer matrix, qualifications and industry currency and knowledge for delivery and assessment suitability. Industry is then consulted in validation scheduled events and validation meetings.

- 3.11 Evidence of industry engagement and consultation activities and communications are collated and recorded in Training Desk. This tool is used to record feedback from industry and identify any issues found and recommendations made.
- 3.12 Findings from industry consultation are used to inform the Training and Assessment Strategy, assessment practices, support services, facilities and equipment and trainer and assessor suitability of qualifications and industry currency.
- 3.13 Where there are changes to a training product, or a mode of delivery change, industry is engaged to inform training and assessment strategies, simulated workplace practice, assessment practices and relevance to industry and workplace requirements.

Pre-Validation

- 3.14 Pre-validation occurs when new materials are ready for launch after all development activities have been completed and 2-4 weeks prior to delivery.
- 3.15 During pre-validation, industry based trainers and assessors are invited to review and become familiar with the training and assessment material they are required to deliver and assess and in the mode they are to be delivered in; online with face to face assessment or a full face to face course.
- 3.16 Pre-validation requires trainers and assessors to confirm whether the assessments address the training package requirements, if the assessment questions are clear and understandable to the trainer and assessor and for students, and that the benchmark answers are clear and understandable in marking assessment tasks and making judgements of competency.
- 3.17 If any areas of concern are raised at this point, then these are addressed prior to delivery of the training and assessment to students.

Validation Panel

- 3.18 The validation panel will collectively hold:
 - a. Vocational competencies relevant to the training product being validated;
 - b. Current industry skills relevant to the training product being validated;
 - c. Current knowledge and skills in VET training and assessment;
 - d. Training and assessment qualifications; TAE40116 Certificate IV in Training and Assessment or its successor, or TAE40110 Certificate IV in Training and Assessment including the units of competency TAE LLN401A/411 Address adult language, literacy and numeracy skills and TAE ASS50/A/B Design and develop assessment tools.
- 3.19 Where there is a requirement for additional expertise, industry experts may be involved in the validation process to augment the capability of the validation panel's quality review of the assessment tools, judgements and assist in recommendations for improvements.
- 3.20 The validation panel will be made up of a minimum of 3 people:

Lead Validator – at a minimum the lead validator must hold the Training and Assessment qualification and hold current knowledge and skills in VET teaching and assessing;

The validation participants; minimum of 2 other participants must collectively hold the Training and Assessment qualification as per 9.1 d above, current knowledge and skills in VET teaching and assessing and current vocational competencies and industry skills relevant to the assessment being validated.

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

- can 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.

Validation Schedule

- 3.21 Allens Training have a 5 year Validation Plan and Validation Schedule in accordance with this policy and procedure. The Validation Plan and Schedule is contained within an excel spreadsheet and maintained in SharePoint.
- 3.22 The validation schedule has been developed to support the validation of each training product on the RTO scope of registration. The schedule is a five-year plan identifying when each training product will be and has been reviewed within that timeframe. The schedule takes into account the relative risks of all training products on the RTOs scope of registration, including risks identified by the VET Regulator.
- 3.23 Each training product will be validated at least once every five years with at least 50% of products validated within the first three years of each five-year cycle.
- 3.24 The validation activity addresses past/completed assessments, the assessment tool, the training and assessment strategy, the training package and unit of competency, any RPL completed, assessment benchmark answers, mapping documentation, resources and workbooks.
- 3.25 Each validation activity utilises a statistically valid sample that is large enough to inform the validation activity and so the outcome of the sample can be applied to the entire set of judgements. The sample is a random set of assessment judgements to ensure adequate coverage of varying levels of candidate performance.
- 3.26 Allens Training utilises the Training Desk CRM to record and host all documented evidence associated with the validation activity.
- 3.27 Allens Training has developed an Assessment Validation Team Register to record and maintain potential validators for each training product.

Moderation

- 3.28 Moderation activities will occur when an RTO has multiple classes for the same course to ensure that assessors are making consistent judgements about student assessments regardless of who marks the assessments, and to ensure benchmark answers are being followed.
- 3.29 Allens Training has developed internal moderation procedures to ensure moderation actions are consistent, reliable and justifiable.

Continuous improvement

- 3.30 Continuous improvement opportunities identified through validation activities are recorded in Training Desk and form part of the continuous improvement register. A monthly meeting is scheduled for review of continuous improvement feedback and actions delegated through Training Desk tasks with all decisions recorded.
- 3.31 In addition to validation feedback, staff, third parties and trainers are encouraged to provide regular constructive feedback for continuous improvement through Training Desk tickets, partner support requests or through the Training Desk Industry Consultation and Trainer Feedback tool. This feedback is spontaneous as and when an opportunity for improvement is identified and can be provided as an ongoing communication in identified areas for improvement.

4. Procedures

Validation Procedure

- 4.1 Validation is conducted with the intention to determine if assessment tools have produced the intended evidence.
- 4.2 The validation panel utilises the Validation tool to document and record the validation activity and outcomes. The panel is to review the evidence in the random sample and the assessment judgements and determine if they meet the principles of assessment and rules of evidence and compliance with training package assessment requirements.
- 4.3 The lead validator records the validation outcomes, findings and continuous improvement actions within the validation tool. Any recommendations for improvements to the assessment tool, training and assessment strategy, processes, and/or assessment system are recorded within the validation tool.
- 4.4 If the validation outcome identifies critical issues in the collection of valid evidence the lead validator will:
 - Increase the validation sample size to assist in identifying patterns of issues; and
 - Look for patterns of error
- 4.5 Recommended improvements will be raised and addressed with the General Manager Regulatory Compliance who will present to Senior Management with the view of implementing these recommendations. If recommendations affect all training products, not only those included in the sample, then this will be implemented as a continuous improvement measure.

5. Responsibilities

- 5.1 The General Manager Services and/or the General Manager Regulatory Compliance is responsible for the handling of the Validation Policy and will be responsible to keep the CEO informed throughout the process.

Compliance, monitoring and review

- 5.1 The General Manager of Regulatory Compliance is responsible for implementing, reviewing, monitoring, and ensuring compliance with this policy.
- 5.2 Allens Training is committed to ongoing monitoring and improvement of its policies and procedures, and to this end has an integrated strategy which includes the Allens Training Senior Management Team conducting a review of specific elements of the Validation Policy and Procedures when a student or trainer-assessor raises a possible problem to be addressed that has not been factored into the existing policy and/or procedure.
- 5.3 Recommendation for change will be referred to the General Manager Regulatory Compliance, to update the policy and seek approval from the CEO.
- 5.4 Staff at Allens Training with responsibilities relating to the managing of validation are encouraged to submit any concerns about and suggestions for making improvements to the Validation Policy and Procedure to the General Manager Regulatory Compliance who is responsible for ensuring that appropriate responses are reported to the Senior Management Team for consideration.

Reporting

- 5.5 No additional reporting is required.

Records management

- 5.6 For each Validation scheduled, a Ticket will be created in Training Desk to retain all evidence and subsequent tasks associated with the validation activity.
- 5.7 Each activity of the validation process (industry consultation, pre-validation, validation, moderation) is recorded in recorded in the respective tools and uploaded to the Validation Ticket in Training Desk. Completed tools and supporting evidence identifying outcomes, findings, continuous improvement and actions along with, assessment tools and completed student assessments which form part of the validation activity will be kept on file in Training Desk and SharePoint.
- 5.8 Employees must maintain all records in Training Desk relevant to administering this policy securely.

6. Definitions

Terms and definitions

Term	Definition
Assessment	The process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard expected in the workplace, as expressed by the relevant endorsed industry/enterprise competency standards of a training package or by the learning outcomes of an accredited course.
Australian Qualifications Framework (AQF)	The framework for regulated qualifications in the Australian education and training system, as agreed by the Commonwealth, State and Territory ministerial council with responsibility for higher education.
Competency	The consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.
Contextualisation	Adding meaning and context to training and assessment material for relevance to the student cohort, training package, the industry needs and workplace requirements
Continuous Improvement	Ongoing process to systematically review and improve learning and assessment methods.
Independent Validation	Validation is carried out by a validator or validators who: a) are not employed or subcontracted by the RTO to provide training and assessment; and b) have no other involvement or interest in the operations of the RTO.
Industry Engagement	Consultation with the bodies that have a stake in RTO training, assessment and client services, including industry skills councils, industry organisations, industry advisory bodies, specific enterprise and licensing bodies.
Moderation	Ensuring assessors make consistent judgements about student assessments regardless of who marks the assessments.
Scope of Registration	Training Products for which an RTO is registered to issue an AQF Certificate.
Simulated workplace environment	A simulated workplace environment is designed to reflect real workplaces in their function, equipment and mode of operation, where students can experience a variety of scenarios and inter-related activities that are similar to that of a particular job or workplace.

Statistically valid	A random sample (of appropriate size) of completed assessments is selected to enable confidence that the result is sufficiently accurate to be accepted as representative of the total population of assessments being validated.
Student	An individual person who is formally enrolled to study with Allens Training directly or through a third party delivering training and assessment on their behalf. The individual person is that who appears on Allens Training documents such as enrolment, assessment and payment documents, and who is assigned a student ID and Unique Student Identifier (USI).
Training and Assessment Strategies	Outlines the framework that guides the learning, training and assessment requirements.
Training Product	AQF qualification, skill set, unit of competency, accredited short course and custom course set.
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.

7. Related Legislation & Documents

[Standards for Registered Training Organisations \(RTOs\) 2015](#)

[National Vocational Education and Training Regulator Act 2011](#)

[ASQA User Guide Standards FAQs Assessment Validation](#)

8. Feedback

8.1 Feedback about this document can be emailed to compliance@allenstraining.com.au.

9. Approval and Review Details

Approval Authority			Next Review Date
CEO			June and December of each year
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