POLICY:	Assessment Validation and Moderation
2015 VET Standards:	**Standard 1**
IBI Ref:	**IBI - 1-A 3**
Policy	To ensure that all assessment and marking are valid, accurate fair and flexible. IBI will conduct the assessment validation and moderation process as per RTO 2015 Standards, clauses 1.9 -1.11 to review, compare and evaluate the assessment processes, tools and evidence which contribute to judgments made by a range of assessors against the same competency standards.
Purpose	Assessment validation and moderation will be conducted on units of competency, covering all qualifications in the IBI's Scope of Registration. Improvement actions will be recorded in the Validation Register, to improve the quality and consistency of assessment. Validation and moderation processes may include: • Moderation activities • Assessment Review Panel • Lead Assessor or Supervisor with training and assessment competencies • An independent external validator or Industry representation/Industry Advisory Group • Standardised assessment tools • Benchmark against evidence guides such as Training Package Assessment Guidelines, Industry and Workplace requirements.
Responsible Officer	The CEO is responsible for compliance with this policy and procedure. Training staff will also be referred to IBI's Assessment Policy and Procedure for additional information and guidelines regarding assessment processes.
Guidelines	This Policy and Procedure applies to all vocational education and training courses offered by IBI.
Legislation	• National Vocational Education and Training Regulator Act 2011 • Standards for Registered Training Organisations (RTOs) 2015

	• AQTF 2007/2010 • The Privacy Act 1988 and Guidelines • Information Privacy Act (Victoria) 2000 guidelines • National Privacy Principles 2001 • Freedom of Information Act (Vic) 1982 • Anti-Discrimination Act 1991 • Public Records Act (Victoria) 1973 • Australian Standard on Records Management AS4390
Definitions	**Assessment**: The process of collecting evidence and making judgments of whether competency has been achieved, to confirm that an individual can perform to the expected standard in the workplace, as expressed in the relevant endorsed industry/enterprise competency standards or the learning outcomes of an accredited course. **Assessment Context**: The environment in which the assessment will be carried out. This will include physical and operational factors, the assessment system within which the assessment is carried out, opportunities for gathering evidence in a number of situations, the purpose of the assessment who carried out the assessment and the period of time during which it takes place. (Extract: Training Package for Assessment and Workplace Training). **Assessment Guidelines**: Are an endorsed component of a Training Package, which underpins assessment and sets out the industry approach to valid, reliable, fair and flexible assessment. Assessment guidelines include the assessment system overview, assessor requirements, designing assessment resources, conducting assessment and sources for information on assessment. **Assessment Judgment**: Involves the assessor evaluating whether the evidence gathered is current, valid, authentic and sufficient to make the assessor decision. The assessment judgment will involve the assessor in using professional judgment in evaluating the evidence available. (Extract: ANTA Training Package Assessment Materials) **Assessment Materials**: Are any resources that assist in any part of the assessment process. They may include information for the candidate or assessor, assessment tools or resources for the quality assurance arrangements of the assessment system. (Extract: ANTA Training Package Assessment Materials). **Assessment Method**: Means the particular technique used to

gather different types of evidence. This may include methods or techniques such as questioning, observation, third party reports, interviews, simulations and portfolios. (Extract: ANTA Training Package Assessment Materials).

Assessment Plan: A document developed by an assessor that includes the elements or units of competency to be assessed, when the assessment will occur, how the assessment will occur, the assessment methods to be used and the criteria for the assessment decision. (Extract: Training Package for Assessment and Workplace Training).

Assessment Process: The agreed series of steps that the candidate undertakes within the enrolment, assessment, recording and reporting cycle. The process must best suit the needs of all stakeholders and be both efficient and cost-effective. The agreed assessment process is often expressed as a flow chart. (Extract: ANTA Training Package Assessment Materials)

Assessment System: A controlled and ordered process, designed to ensure that assessment decisions made in relation to many individuals, by many assessors, in many situations are consistent, fair, valid and reliable. (Extract: Training Package for Assessment and Workplace Training).

Assessment Task: Specific, discrete learning activities or exercises designed to obtain evidence about students' achievement of the published learning outcomes of a course. Examples of assessment tasks include an essay, a final examination, a presentation, performance or exhibition.

Assessment Tools: Incorporate both the instruments and the instructions for the gathering and interpreting of evidence. A variety of assessment tools should be used in the process of establishing competency. Evidence gathering/assessment tools include:
• specific instructions for candidates;
• examples of acceptable responses;
• rules of judgments in holistic competency assessment
• descriptions of typical competent performance
(Extract: Training Package for Assessment and Workplace Training).

Audit: A systematic, independent and documented process for obtaining evidence to determine whether the activities and related outcomes of a training organisation comply with the VET Quality Framework.

Australian Qualifications Framework (AQF): Means the policy

framework that defines all qualifications recognised nationally in post-compulsory education and training within Australia. The AQF comprises titles and guidelines, which define each qualification, together with principles and protocols covering articulation and issuance of qualifications and Statements of Attainment. .

Candidate: Is any person presenting for assessment. The candidate may be:
• a learner undertaking training in an institutional setting;
• a learner/worker undertaking training in a workplace
• a learner/worker wanting their skills recognised; or
• any combination of the above.
(Extract: ANTA Training Package Assessment Materials)

Competency: The specification of knowledge and skill and the application of that knowledge and skill to the standards of performance required in the workplace. (Extract: Training Package for Assessment and Workplace Training).

Competency Standards: Define the competencies required for effective performance in the workplace. Standards are expressed in outcome terms and have a standard format comprising a unit title, unit descriptor, the elements of competency, performance criteria, range of variables and evidence guide. Extract: Training Package for Assessment and Workplace Training).

Dimensions of Competency: The concept of competency includes all aspects of work performance and not only narrow tasks skills. The four dimensions of competency are:
• task skills
• task management skills
• contingency management skills
• job/role environment skills

Element: The basic building block of the unit of competency. Elements describe the tasks that make up the broader function or job, described by the unit. (Extract: Training Package for Assessment and Workplace Training).

Evaluation: Includes all the activities related to the registration of a training organisation to determine whether it meets, or continues to meet, all the requirements of the NVR Standards for Continuing Registration. Evaluation may include review of past performance, review of complaints and other feedback, risk assessment, examination of documentation, conduct of audit, consideration of audit reports and other relevant activities in relation to the organisation.

Evidence and 'Quality' Evidence: Information gathered which, when matched against the performance criteria, provides proof of competency. Evidence can take many forms and can be gathered from a number of sources. Direct evidence is the observation of a performance under real or simulated work conditions. Assessors often categorise evidence in different ways, for example:

• direct, indirect and supplementary sources of evidence
• evidence collected by the candidate or evidence collected by the assessor
• historical and recent evidence collected by the candidate and current evidence collected by the assessor.

Quality evidence is valid, authentic, sufficient and current evidence that enables the assessor to make the assessment judgment. (Extract: ANTA Training Package Assessment Materials)

Evidence Guide: Part of a unit of competency. Its purpose is to guide assessment of the unit of competency in the workplace and/or a training environment. The evidence guide specifies the context of assessment, the critical aspects of evidence and the required or underpinning knowledge and skills. The evidence guide relates directly to the performance criteria and range of variables defined in the unit of competency. (Extract: Training Package for Assessment and Workplace Training)

Holistic/Integrated Assessment: An approach to assessment that covers multiple elements and/or units from relevant competency standards. The approach focuses on the assessment of a 'whole of job' role or function that draws on a number of units of competency. This approach also integrated the assessment of the application of knowledge, technical skills, problem-solving skills and demonstration of attitudes and ethics. (Extract: Training Package for Assessment and Workplace Training)

Moderation: A process which involves assessors in discussing and reaching agreement about assessment processes and outcomes in a particular industry or industry sector. This enables assessors to develop a shared understanding of the requirements of specific Training Packages, including the relevant competency standards and assessment guidelines, the nature of evidence, how evidence is collected and the basis on which assessment decisions are made. (Extract: ANTA Training Package Assessment Materials)

Mutual Recognition: Applies nationally and means:
1. The acceptance and application of the registering body that has registered a training organisation or a course accrediting body that has accepted a course, by another registering body or course accrediting body, without there being any further requirements for a

process, including:

a) the recognition and application by the registering body of each State or Territory of the decisions of the registering body of other States and Territories in relation to the registration of, imposition of sanctions on, including the cancellation of registration of training organisations; and
b) the recognition and application by the course accrediting body of each State or Territory of the decisions of the course accrediting body of other States and Territories in relation to the accreditation of courses where no relevant Training Package exists.

2. The recognition by State and Territory registering bodies of the decisions of the National Training Quality Council in endorsing Training Packages.

3. The recognition and acceptance by a Registered Training Organisation of Australian Qualifications Framework qualifications and Statements of Attainment issued by other Registered Training Organisations, enabling individuals to receive national recognition of their achievements.

Performance Criteria: These evaluate statements that specify what is to be assessed and the required level of performance. The performance criteria specify the activities, skills, knowledge and understanding that provide evidence of competence performance for each element of competency.

Published Learning Outcomes: The intended Course Objectives, presented as observable learning outcomes, and provided in writing to students in the Course Description prior to the start of teaching. These learning outcomes serve as a reference point for the pre-assessment moderation of assessment tasks.

Published Assessment Criteria: The criteria against which students' performance in the course will be judged, made available in writing to students in the Course Description. The intent is to provide students with a clear and explicit understanding of the standards they are expected to achieve relative to the marks awarded. The assessment criteria provide a common reference point on which academic judgement can be based, thus promoting consistency in marking.

Qualification: In the Vocational Education and Training sector, qualification means the formal certification issued by a Registered Training Organisation under the Australian Qualifications Framework (AQF), that a person has achieved all the requirements for a qualification as specified in an endorsed National Training Package

or in an accredited course.

Recognition Process: Is a term that covers Recognition of Prior Learning, Recognition of Current Competency and Skills Recognition. All terms refer to recognition of competencies currently held, regardless of how, when or where the learning occurred. Under the Australian Quality Training Framework, competencies may be attained in a number of ways. This includes through any combination of formal or informal training and education, work experience or general life experience. In order to grant recognition of prior learning/current competency the assessor must be confident that the candidate is currently competent against the endorsed industry or enterprise competency standards or outcomes specified in Australian Quality Framework (AQF) accredited courses. The evidence may take a variety of forms and could include certification, references from past employers, testimonials from clients and work samples. The assessor must ensure that the evidence is authentic, valid, reliable, current and sufficient.

Registered Training Organisation (RTO): Means a training organisation registered with the National VET Regulator, within a defined scope of registration.

Scope of Registration: Means the defined scope for which a training organisation is registered that identifies the particular services and products that can be provided. A Registered Training Organisation may register to provide either:

a) training delivery and assessment services and products and issue Australian Qualifications Framework (AQF) qualifications and Statements of Attainment; or

b) assessment services and products and issue AQF qualifications and Statements of Attainment.

The scope of registration is further defined by AQF qualifications and/or endorsed units of competency.

Training Package: A set of learning and assessment resources that provide a basis for the achievement of national qualifications as a result of assessment against competency standards. Training Packages have endorsed components: national competency standards, national qualifications and national assessment guidelines. They also include non-endorsed components: learning strategies, professional development and assessment materials.

Unit of Competency: Describes a discrete job or functional is written in outcome terms. It is further developed through elements and performance criteria.

	Validation: Involves reviewing, comparing and evaluating assessment processes, tools and evidence contributing to judgments made by a range of assessors against the same standards. The process may involve having both technical and assessment specialists review the assessment tools, procedures and judgments for validity. The process may be internal with stake older involvement or external with other providers and/or stakeholders. (Extract: ANTA Training Package Assessment Materials)
Responsible Officer	The CEO is responsible for compliance with this policy and procedure. Training staff will also be referred to IBI's Assessment Policy and Procedure for additional information and guidelines regarding assessment processes.
Guidelines	This Policy and Procedure applies to all vocational education and training courses offered by IBI.
Procedure	1. Implementation Process 1.1 The CEO or equivalent officer will determine the types of validation and moderation, methods and timelines for the assessment validation and moderation meetings. 1.2 The Trainer, prior to the assessment and moderation meeting, will provide examples of assessment processes, tools and evidence used to conduct assessment in a study period. 1.3 The CEO will convene an Internal Assessment Review Panel or Industry Representative/s, to discuss: 1.3.1 feedback on assessments from assessors and students; 1.3.2 suggested changes to assessments to meet industry requirements 1.3.3 samples of trainers assessments to ensure consistency of results 1.4 Issues for discussion in relation to the validation and moderation of the assessment may include: 1.4.1 assessment method and tasks covers all areas of competency of learning outcome; 1.4.2 assessment method and tasks are consistent and provide sufficient evidence; 1.4.3 Assessment tasks provide clear instruction for assessor and student; 1.4.4 Assessment method and tasks comply with assessment principles; 1.4.5 Marketing criteria meet the competency or learning outcome requirement/s. 1.5 Each Course Coordinator will record a summary of

	assessment validation and moderation actions in the "Assessment Validation and Moderation Record"
	1.6 Each Course Coordinator will maintain a Record of Assessment Validation and Moderation activities.
	1.7 The Manager Quality Improvement or equivalent officer will record improvements in the Validation Register as and when required, to maintain an up-to-date register for submission by the RTO Manager to the Industry Advisory Group.
	1.8 The CEO will table the Validation Register for review by the Industry Advisory Group at least once annually.
	2. Record Keeping and Confidentiality
	All records relating to IBI's Assessment Validation and Moderation processes shall be maintained for the mandated period years for auditing purposes.

VERSION CONTROL

Review/ amendment history
Policy Approved by: Chief Executive Officer / RTO Manager
Responsible Officer: Chief Executive Officer / RTO Manager
Next Policy Review Date: July 2018

Version	Date	Details
1.0	July 2014	Policy issued
2.0	Dec 2014	Updated to reflect Standards for Registered Training Organisations (RTOs) 2015
3.0	July 2015	No material change
4.0	July 2016	No material change
5.0	June 2017	No Material change