



**Opulence  
College**

# **Assessment Validation and Moderation Policy and Procedure**

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## **1. PURPOSE**

- 1.1. This document specifies the assessment validation and moderation policy and procedure of Opulence College (the College).

## **2. SCOPE**

- 2.1. This document applies to:
  - a) All assessment systems used by the College, and
  - b) All college staff that are responsible for assessment-related activities.
- 2.2. This document does not apply to:
  - a) Informal assessments that do not contribute to a learner's overall assessment.

## **3. POLICY STATEMENT**

- 3.1. The College recognises that as a VET provider it is accountable to the industry to provide job-ready graduates for employers and clients. Those employers and clients have particular expectations of VET providers, not the least of which is to produce graduates who are able to contribute in meaningful ways. Within this landscape, the College must respond to the market demand, changes in regulation, professional requirements, industry imperatives and societal change.
- 3.2. This policy is designed to ensure the College's VET assessment methods and practices comply with the requirements of the *Standards for Registered Training Organisations (RTOs) 2015*.
- 3.3. The College ensures it applies a thorough and rigorous assessment system via a comprehensive plan of systematic validation and moderation.
- 3.4. The College uses a risk-based approach to developing the validation and moderation plan considering risk indicators such as the potential safety concerns to learners from an assessment outcome that is not valid, the mode of delivery, changes to training packages and/or licensing requirements.
- 3.5. Assessment validation and moderation embraces continuous improvement of the College's strategies, resources and staff and adheres to the following principles:
  - a) Transparent – the purpose, process, and implications of the validation and/or moderation should be transparent to all relevant stakeholders.
  - b) Representative – a representative sample should be used to validate and/or moderate tools and judgements.
  - c) Confidential – information regarding individuals (i.e. assessors and candidates) and providers must be treated with sensitivity and discretion. Confidentiality should be observed in relation to the identity of the assessors (i.e. those who developed the tools and/or made the judgments) and candidates (i.e. those whose evidence is submitted in the process).

- d) **Educative** – Validation and/or moderation should form an integral rather than separate part of the assessment process. It should provide constructive feedback, which leads to continuous improvement.
  - e) **Equitable** – Validation and/or moderation must be demonstrably fair, equitably applied, and unbiased.
  - f) **Tolerable** – any assessment includes a margin of error. The way in which evidence is gathered and interpreted against the standards will vary. The challenge is to limit the variation to acceptable proportions. Validation and/or moderation enables the variation to be identified and limited to what is tolerable.
  - g) **Include external parties** – regularly recorded meetings with industry advisors and experts focusing on quality reviews to provide tangible outcomes and recommendations for future improvements.
- 3.6. The College ensures its assessment systems for all qualifications follow the Principles of Assessment and Rules of Evidence as defined in the *Standards for Registered Training Organisations (RTOs) 2015*:

#### **Principles of Assessment**

Fairness	<p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.</p> <p>The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</p>
Flexibility	<p>Assessment is flexible to the individual learner by:</p> <ul style="list-style-type: none"> <li>• reflecting the learner's needs;</li> <li>• assessing competencies held by the learner no matter how or where they have been acquired; and</li> <li>• drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.</li> </ul>
Validity	<p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"> <li>• assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;</li> <li>• assessment of knowledge and skills is integrated with their practical application;</li> <li>• assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and</li> <li>• judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.</li> </ul>
Reliability	<p>Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.</p>

#### **Rules of Evidence**

Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.
Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

- 3.7. The procedure associated with this policy is based on the Plan-Implement-Evaluate-Review (PIER) model of quality assurance.
- 3.8. As part of the quality assurance practices associated with validation and moderation activities, trainers and assessors are required to maintain their professional development to provide evidence of their ongoing currency, improvement and education within the industry and chosen fields of delivery.

#### **4. APPLICATION OF THIS POLICY**

- 4.1. This policy applies to all 'samples', which are samples of training and assessment resources and de-identified samples of learner evidence.
- 4.2. These samples, compiled by the College for a validation or moderation review, must be handled in a professional manner ensuring that the anonymity of trainers and assessors, learners and graduates is maintained in an ethical manner.
- 4.3. The time taken for validation or moderation will differ dependent on the activities conducted.
- 4.4. It is essential that the purpose of a validation or moderation activity is clear to all involved parties and that validation or moderation activities are not used for purposes other than those stated in this policy and procedure.

#### **5. VALIDATION**

- 5.1. Validation is the quality review of the assessment process. Validation involves checking that the assessment tools will and/or have produced valid, reliable, sufficient, current, and authentic evidence, enabling the College to make reasonable judgements about whether training package requirements have been met.
- 5.2. Validation 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.

- 5.3. Validation sessions and activities are to be conducted as scheduled in the Validation Calendar.
- 5.4. Prior to implementation of any new unit of competency, internal validation of assessment tools is undertaken by the College Manager or delegated suitable College representative. Validation after delivery of a unit of competency is undertaken by a selection of trainers and assessors and other key staff members.
- 5.5. External validation may be conducted by carefully selected industry advisors (validators) and as with internal validation sessions, may require them to review and assess the Training and Assessment Strategy, course content, training and assessment tools, qualification structure and delivery and assessment methods as relevant to industry standards and the training package.
- 5.6. On some occasions the current knowledge and skills of existing college trainers and assessors will also be validated.
- 5.7. The outcomes of all validation sessions are to be recorded.
- 5.8. The outcome of validation may result in alternations to the assessment system following approval from the College Manager.

## **6. MODERATION**

- 6.1. Moderation is a quality control process aimed at bringing assessment judgements into alignment.
- 6.2. Moderation is generally conducted before the finalisation of learner results as it ensures the same decisions are applied to all assessment results within the same unit of competency.
- 6.3. Moderation sessions can occur at any time throughout a teaching period for identified issues within assessment items and may include internal and/or external participants.
- 6.4. Moderation requires a selection of moderators to review a sample of judged candidate evidence from at least 10 learners or 5% (whichever is greater) of submitted assessments from at least one specific unit of competency per course. A shared unit of competency across programs may also be included for review.
- 6.5. Moderation will focus on regulating the assessment process and judgements of candidate evidence across a broad range of units of competency with varying learner results. This is achieved by reviewing anonymous assessor judgements; the marking of learners' completed assessment items; and the assessment tools used to assist, qualify, or enable the assessor judgments.
- 6.6. The outcome of moderation may result in the alteration of learner grades following due process for approval by the College Manager.

## **7. SAMPLES FOR VALIDATION AND MODERATION**

- 7.1. Samples are compiled of tools and/or judged candidate evidence including RPL and from a broad range of competencies and results.
- 7.2. Samples are to be prepared by the College Manager or trainers/assessors.
- 7.3. A statistically valid sample is one that is taken randomly from a set of assessment judgments being considered and that is sufficiently large that the outcomes of validation of the sample can be applied to the entire set of judgements.
- 7.4. The required amount for each validation or moderation session will vary based on the sizes of the cohorts for each unit of study.

## **8. VALIDATOR AND MODERATOR SELECTION**

- 8.1. Collectively, the persons acting as validators or moderators must have:
  - a) Vocational competencies and current industry skills relevant to the assessment being validated.
  - b) Current knowledge and skills in vocational teaching and learning, and
  - c) The training and assessment credential specified in Item 1, or Item 2, or Item 4, or Item 5 of Schedule 1 of the *Standards for Registered Training Organisations (RTOs) 2015*. (Refer to **Appendix A** of this document.)
- 8.2. Within the group of persons, one or more must not be directly involved in the delivery and assessment of the assessment item/s being validated or moderated. The inclusion of a person not directly involved ensures professional distance and integrity. The trainer and assessor who delivered/assessed the training product being validated:
  - a) Can participate in the validation process as part of a team
  - b) Cannot conduct the validation on his/her own
  - c) Cannot determine the validation outcome for any assessment judgement they made, and
  - d) Cannot be the lead validator in the assessment team.
- 8.3. Industry experts may be involved in validation and moderation sessions.

## **9. RESPONSIBILITY FOR VALIDATION AND MODERATION**

- 9.1. The College Manager is responsible for:
  - a) Ensuring implementation of this policy and its associated procedure.
  - b) Ensuring each qualification and its units of competencies are validated at least once every 5 years, with at least 50% validated within the first 3 years of each 5-year cycle.
  - c) Ensuring validation and moderation activities are undertaken by appropriate groups of trainers/assessors and relevant staff.
  - d) Authorising final decisions on the outcomes of validation or moderation activities.

## **10. VALIDATION PROCEDURE**

- 10.1. The College Manager or delegated College representative:
  - a) Establishes and manages the College validation calendar.
  - b) Ensures that validation is undertaken as per the validation calendar.
  - c) Initiates the validation process.
- 10.2. The College Manager or delegated College representative engages stakeholders to act as a 'team' in the validation activity as required and informs them of their responsibilities during the activity. This step involves ensuring that the team members selected collectively satisfy the requirements of the *Standards for Registered Training Organisations (RTOs) 2015*.
- 10.3. The College Manager or delegated College representative collects and collates all required documentation for the activity, ensuring that all documents have been de-identified where possible.
- 10.4. The College Manager leads the validation activity.
- 10.5. The validation team reviews the assessment evidence to ensure that it:
  - a) Complies with the assessment requirements of the relevant training product
  - b) Demonstrates that the assessment was conducted with fairness, flexibility, validity, and reliability
  - c) Is valid, sufficient, authentic, and current, and
  - d) Identifies and makes recommendations for future improvements.
- 10.6. The College Manager or delegated College representative collects and collates all recommendations received from the validation activity and creates a summary report outlining the recommendations and describing any changes that need to be made to existing assessment tools/processes.
- 10.7. The College Manager or delegated College representative amends assessment tools/processes in response to the recommendations and communicates amendments in assessment tools/process to relevant people.
- 10.8. Amendments to existing assessment tools/processes are to be made within 4 weeks of the validation activity. Updated documents will then replace any existing documents and will be implemented for as soon as is reasonably practicable. Any learners currently undertaking a unit at the time it is updated will not be required to complete revised assessment tools.

## **11. MODERATION PROCEDURE**

- 11.1. The College Manager initiates the moderation process following the completion of an assessment task(s).
- 11.2. The College Manager or delegated College representative engages stakeholders to act as a 'team' in the moderation activity as required and informs them of their responsibilities during the activity. This step involves ensuring that the team members selected



collectively satisfy the requirements of the *Standards for Registered Training Organisations (RTOs) 2015*.

- 11.3. The College Manager or delegated College representative collects and collates all required documentation for the activity, ensuring that all documents have been de-identified where possible.
- 11.4. The College Manager leads the moderation activity.
- 11.5. The moderation team reviews the assessment evidence and results to ensure that assessment judgements are fair, reasonable and have been consistently applied to all samples.
- 11.6. The moderation team identifies and makes recommendations for future improvements based on their findings.
- 11.7. The College Manager or delegated College representative collects and collates all recommendations received from the moderation activity and alters learner results where necessary.
- 11.8. The College Manager or delegated College representative amends assessment tools/processes in response to the recommendations and communicates alternations to assessment tools/processes and/or alternations to learner results to relevant people.

## 12. RESPONSIBILITIES

- 12.1. Opulence College implements a RASCI Responsibility Matrix to assign and display responsibilities of individuals to carry out a process within the organisation.

R - Responsible – the person who is responsible for carrying out the entrusted task, monitoring compliance and maintaining records.

A - Accountable (also Approver) – the person who is responsible for the whole task and who is responsible for what has been done.

S - Support – the person who provides support during the implementation of the process.

C - Consulted – the person who can provide valuable advice or consultation for the process.

I - Informed – the person who should be informed about the process.

	CEO	Program Manager	Compliance Officer	Student Support Officer	Trainers & Assessors
R		X			
A	X				
S					X
C			X		
I				X	

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### 13. APPENDIX A

#### Schedule 1 of the Standards for Registered Training Organisations (RTOs) 2015

Item	Standard	Training and assessment credentials
1	1.11 1.14 1.15 1.24	The following credential: <i>TAE40110 Certificate IV in Training and Assessment.</i>
2	1.11 1.14 1.15 1.15 1.24	One of the following credentials:  Credential: <i>TAE40116 Certificate IV in Training and Assessment</i> <u>or</u> its successor  <u>or</u>  Credential: <i>TAE40110 Certificate IV in Training and Assessment</i> , <u>and</u> one of the following: (i) <i>TAELN411 Address adult language, literacy and numeracy skills</i> <u>or</u> its successor <u>or</u> (ii) <i>TAELN401A Address adult language, literacy and numeracy skills</i> <u>and</u> one of the following: (i) <i>TAEASS502 Design and develop assessment tools</i> <u>or</u> its successor <u>or</u> (ii) <i>TAEASS502A Design and develop assessment tools</i> <u>or</u> (iii) <i>TAEASS502B Design and develop assessment tools.</i>
3	1.14 1.15	The following credential: <i>A diploma or higher-level qualification in adult education.</i>
4	1.11 1.15	The following credential: <i>TAESS00001 Assessor Skill Set</i>
5	1.11 1.15	One of the following credentials: Credential: <i>TAESS00011 Assessor Skill Set</i> <u>or</u> its successor  <u>or</u>  Credential: <i>TAESS00001 Assessor Skill Set</i> , <u>and</u> one of the following: (i) <i>TAEASS502 Design and develop assessment tools</i> <u>or</u> its successor <u>or</u> (ii) <i>TAEASS502A Design and develop assessment tools</i> <u>or</u> (iii) <i>TAEASS502B Design and develop assessment tools.</i>
6	1.18	One of the following credentials: Credential: <i>TAESS00007 Enterprise Trainer – Presenting Skill Set</i>  <u>or</u>  Credential: <i>TAESS00014 Enterprise Trainer – Presenting Skill Set</i> <u>or</u> its successor  <u>or</u>

		<p>Credential: <i>TAESS00008 Enterprise Trainer – Mentoring Skill Set</i></p> <p><u>or</u></p> <p>Credential: <i>TAESS00013 – Enterprise Trainer – Mentoring Skill Set</i> <u>or</u> its successor</p> <p><u>or</u></p> <p>Credential: <i>TAESS00003 Enterprise Trainer and Assessor Skill Set</i></p> <p><u>or</u></p> <p>Credential: <i>TAESS00015 – Enterprise Trainer and Assessor Skill Set</i> <u>or</u> its successor</p>
7	1.23	<p>One of the following credentials:</p> <p>Credential: <i>TAE50111 Diploma of Vocational Education and Training</i></p> <p><u>or</u></p> <p>Credential: <i>TAE50116 Diploma of Vocational Education and Training</i> <u>or</u> its successor</p> <p><u>or</u></p> <p>Credential: <i>TAE50211 Diploma of Training Design and Development</i></p> <p><u>or</u></p> <p>Credential: <i>TAE50216 Diploma of Training Design and Development</i> <u>or</u> its successor</p> <p><u>or</u></p> <p>Credential: <i>A higher-level qualification in adult education.</i></p>