



<b>Institution</b>	Mercury Institute of Victoria
<b>Policy Name</b>	Validation Policy and Procedure
<b>Policy Governance</b>	Compliance Manager
<b>Reference to Standards</b>	Standards for RTO 2015 - Standard 1 Clause 1.1 - 1.4, 1.5 – 1.6, 1.8 - 1.12, 1.26-1.27, Standard 2 Clause 2.2
<b>Date of Approval</b>	April 2022
<b>Review Date</b>	April 2023

## PURPOSE

The purpose of the Validation Policy and 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.

Mercury Institute of Victoria establishes this policy and procedure to:

- Comply with the requirements of Standards for RTO 2015 - Standard 1 Clause 1.1 - 1.4, 1.5 – 1.6, 1.8 - 1.12, 1.26-1.27, Standard 2 Clause 2.2

## SCOPE

This policy applies to all areas offered in the Mercury Institute of Victoria scope of registration.

## 1. POLICY

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

Validation activities may include (but are not limited to):



- a) Validation of Training and Assessment Strategies (TAS)
- b) Validation of assessment tools and assessment processes
- c) Validation of evidence collected and decisions made
- d) Industry consultation – Training and Assessment Strategies and Assessment tools/processes
- e) Review of modified documentation (including assessment tools/processes) in alignment with validation recommendations to ensure continuous improvement
- f) Consultation with other RTOs to benchmark performance and processes
- g) Internal review processes for each qualification.

We will validate our assessment strategies and tasks by:

- h) 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;
- i) Documenting any action taken to improve the quality and consistency of assessment; and
- j) Training and Assessment Strategies will be validated upon addition to scope for RTO once every year as part of Continuous Improvement.

## 2. PROCEDURE

Assessment validation will be conducted on units of study delivered and assessed according to the **Validation and Moderation Calendar**. Qualifications within our scope of registration will undergo assessment validation according to the **Validation and Moderation Calendar**.

Validation methods will include:

- k) **Development of action plan** *will document procedures, time frames and target units/modules to be sampled:*
  - An assessment review panel
  - A lead assessor or supervisor with training and assessment competencies



### Who can participate in the validation:

Validators can be employees of our RTO, or we can seek external validators.

For example, we can seek participation in our validation processes from:

- employers and employer associations
- other industry bodies
- trainers and assessors, or
- consultants.

We could also 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:

- 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.

### **1. Planning Validation**

- Mercury Institute of Victoria maintains a plan for, and implements, systematic Validation of assessment practices and judgments.
  - The *Validation and Moderation Calendar* ensures that each Training Product on the RTO's scope of registration is validated at least once every five years, with at least 50% of those Training Products validated within the first three years of each five-year cycle. The schedule includes:
    - When assessment Validation will occur
    - Which training products will be the focus of the Validation
    - Who will lead and participate in the Validation activities.
- Mercury Institute of Victoria will determine the frequency and rate at which each Training Product will be validated in relation to various risk factors which may



include:

- The use of new assessment processes
  - Delivery of Training Products (or units of competency contained within a course) where safety is a concern
  - The level and experience of assessor/s
  - Changes in technology, workplace processes, legislation, and licensing requirements
  - Outcomes of previous Validation sessions
  - Other documented risks identified by Mercury Institute of Victoria, industry or regulatory bodies
- Similarly, units which have been identified as either ‘high risk’ or ‘high volume’ by either Mercury Institute of Victoria (which may be via feedback from stakeholders) or by the regulator, will be validated before and/or more frequently than other units.
  - The *Validation and Moderation Calendar* will be kept up to date when changes are made to Mercury Institute of Victoria’s scope of registration.

## 2. Conducting Validation

- Validation is conducted on a regular basis for each Training Product in line with the requirements of the Standards (Clause 1.10 & 1.11).
- For each Validation session, a leader will be assigned to lead the Validation process and finalise the outcomes and recommendations of the team. The Validation leader must not have been involved in making the assessment decisions that are being validated.
- Validation may be conducted by one person, or by a team of people, and may involve industry experts. All assessors engaged by the RTO to conduct assessment are required to regularly participate in Validation. Collectively, those involved in Validation must have:
  - vocational competencies and current industry skills
  - current knowledge and skills in vocational teaching and learning



- the training and assessment qualification or assessor skill set.
- Validation is conducted using the Validation Tool which guides the Validation team through the process and records outcomes.
- Mercury Institute of Victoria will validate a statistically valid sample size of assessment decisions and will randomly select the students' assessments to be validated – in line with the guidance provided by ASQA's Fact Sheet on *Conducting Validation*<sup>1</sup>.
- To determine a statistically valid sample size you can use an online sample size calculator tool such as <http://www.raosoft.com/samplesize.html>

### 3. Record keeping and improvements

- The lead validator will finalise the outcomes, decide if there are any critical issues undermining the validity of completed assessments, and suggest where additional Validation is needed to further investigate.
- A summary of the assessment validation actions will be recorded in the Validation Form by the Administration Manager/Training Coordinator. Validation outcomes are documented on the *Validation Register* and acted upon to bring about improvements to Mercury Institute of Victoria's training and assessment systems and practices.
- Validation Records will be maintained for a period of at least five years by the Administration Manager/Training Coordinator for auditing purposes by the State or Territory Registering Body.

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:

- An Industry Consultation Committee
- Standardized assessment tools.

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<sup>1</sup> Australian Skills Quality Authority Fact Sheet: Conducting Validation. Accessed on 7<sup>th</sup> February, 2016 from [https://www.asqa.gov.au/sites/g/files/net2166/f/publications/201701/fact\\_sheet\\_conducting\\_validation.pdf?v=1484890411](https://www.asqa.gov.au/sites/g/files/net2166/f/publications/201701/fact_sheet_conducting_validation.pdf?v=1484890411)



Plan to discuss:

- a) Feedback on assessments gained through individual debriefs of assessors and students
- b) Suggested changes to assessments to meet industry needs
- c) Specific items of discussion to validate the assessment may include:
  - o Assessment method and task that covers all areas of the competency or learning outcome
  - o Whether assessment method and task are consistent and gather sufficient evidence
  - o Whether assessment task have clear instruction for assessor and student
  - o Whether assessment method and task meets the requirement of assessment principles
  - o Whether marking criteria meet the competency or learning outcome requirement

### **Determining Possible Risk Factors**

The person responsible for organising and scheduling validation must ensure that the risk level of the training products, and units of competency are taken into account when scheduling validation. A number of factors must be taken into consideration including (but not limited to):

- a) The ASQA Risk Assessment Framework
- b) Industry specific risk factors
- c) Delivery of high risk, accredited or licensing qualifications, skill sets or units of competency
- d) RPL Assessment only training products
- e) Multiple training delivery sites
- f) Large volume of students, and/or number of trainers and assessors delivering the training product
- g) CRICOS delivery



Subject to clause 1.27 and unless otherwise approved by the VET Regulator, the RTO ensures that:

- a) where a training product on its scope of registration is superseded, all learners' training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the national register
- b) where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the national register
- c) where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the national register
- d) a new learner does not commence training and assessment in a training product that has been removed or deleted from the national register.

### Clause 1.27

The requirements specified in clause 1.26 (a) do not apply where a training package requires the delivery of a superseded unit of competency.

(Excerpt taken from Standards for RTO 2015 - Standard 1 Clause 1.26 – 1.27)

The following will be used to validate assessments:

**The key aspects that we will validate are:**



<p>↓</p> <p><b>Assessment Process</b></p> <ul style="list-style-type: none"> <li>• Enrolments</li> <li>• Assessments</li> <li>• Recording</li> <li>• Reporting</li> <li>• Appeals</li> </ul>	<p>↓</p> <p><b>Assessment Tools</b></p> <ul style="list-style-type: none"> <li>• Specific assessment tasks</li> <li>• Instructions for candidates</li> <li>• Instructions for assessors</li> <li>• Evidence guides, checklists</li> <li>• Rules of judgment</li> <li>• Examples of acceptable responses and description of typical competent performance</li> </ul>	<p>↓</p> <p><b>Evidence</b></p> <ul style="list-style-type: none"> <li>• 3<sup>rd</sup> party</li> <li>• Simulation</li> <li>• Sources: Indirect, direct supplementary</li> </ul>
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**Validation Plan**

The Administration Manager/Training Coordinator will be responsible for

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

Administration Manager/Training Coordinator will ensure all records are kept under the *Validation Register*.