Validation: The Front Line (webinar)
About the presenter

John Dwyer is a national AQTF/VQF trainer and consultant with experience in education spanning more than 50 years. He brings extensive registered training organisation (RTO) experience to Velg Training, having a comprehensive history in developing and delivering a range of workshops on assessment, compliance, recognition of prior learning (RPL), moderation and validation processes relating to AQTF/VQF compliance.

John Dwyer  Consultant  Velg Training

T  07 3866 0888
E  john@velgtraining.com
W  www.velgtraining.com
Control panel

- Attendee List: Names can be added and edited.
- Audio: Mic and speakers settings, indicating no mic detected.
- Chat: Messages for all audience members displayed here.

Leonie Test 26 June
Training ID: 317-834-740
GoToTraining
Audio test

Hands up who can hear me?

Raise your hand to indicate
Who’s online today?

POLL
Overview

This Webinar looks at ways of achieving improved validation and moderation practices in your registered training organisation (RTO), as a part of a systematic, continuous improvement approach.
AQTF Element 1.5 (d) / SNR 15.5 (d) requires assessment, including RPL, that is systematically validated.

This means that a planned and repeatable approach to validation is in place and that this leads to the continuous improvement of assessment.
Validation

Validation is a **quality review** process.

- It involves checking that the assessment tool **reliably** produced **valid, sufficient, current and authentic** evidence to enable reasonable judgements to be made as to whether the requirements of the relevant aspects of the Training Package or accredited course have been met.

- It includes **reviewing** and making **recommendations** for **future improvements** to the assessment tool, process and/or outcomes.

Source: *AQTF Users’ Guide to the Essential Conditions and Standards for Continuing Registration, 2010* (Adapted as above)
Moderation of assessment

The process of bringing assessment judgements and standards into alignment.

• It is a process that ensures the same standards are applied to all assessment results within the same Unit(s) of Competency.
• It is an active process in the sense that **adjustments to assessor judgements are made** to overcome differences in the difficulty of the tool and/or the severity of judgements.

Source: AQTF Users’ Guide to the Essential Conditions and Standards for Continuing Registration, 2010

**Moderation** is a **quality control** process.
Professional conversation

Encourage deep thinking about assessment procedures

Adopt a common understanding

Validation and Moderation involve a professional conversation between colleagues

Protect the integrity of national qualifications
## Validation & Moderation compared

<table>
<thead>
<tr>
<th>Features</th>
<th>Validation</th>
<th>Moderation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment Quality Management Type</td>
<td>Quality Review</td>
<td>Quality Control</td>
</tr>
<tr>
<td>Primary Purpose</td>
<td>Continuous improvement</td>
<td>Bring judgements and standards into alignment.</td>
</tr>
<tr>
<td>Timing</td>
<td>On-going</td>
<td>Prior to the finalisation of candidate results</td>
</tr>
<tr>
<td>Focus</td>
<td>Assessment Tools; and Candidate Evidence (including assessor judgements) (desirable only)</td>
<td>Assessment tools; and Candidate Evidence, including assessor judgements (mandatory)</td>
</tr>
<tr>
<td>Type of Approaches</td>
<td>Assessor Partnerships</td>
<td>Consensus Meetings</td>
</tr>
<tr>
<td></td>
<td>Consensus Meetings</td>
<td>External (moderators or panels)</td>
</tr>
<tr>
<td></td>
<td>External (validators or panels)</td>
<td>Statistical</td>
</tr>
<tr>
<td>Outcomes</td>
<td>Recommendations for future improvements</td>
<td>Recommendations for future improvements; and Adjustments to assessor judgements (if required)</td>
</tr>
</tbody>
</table>

Source: “Implementation Guide – Validation and Moderation; NQC; 2009; p.8
What does it all mean in practice?

Four Validation Targets

1. Assessment Process
2. Assessment Tools and Methods
3. Assessment Evidence
4. Assessment Judgement

Moderation

Adjustments achieved by discussing and reaching agreement before results are finalised.

CONTINUOUS IMPROVEMENT

QUALITY CONTROL
What does it all mean in practice

Assessing Defensibly

Is it legal to drive down this side of the road?

Yes – determined by the Rules of the Road

Our ‘Rules of the Road’
- Principles of Assessment
- Rules of Evidence

Outcome needs to be ‘DEFENSIBLE’
Applying the ‘Rules of the Road’ in Assessment Validation

**Four Validation Targets**

1. Assessment Process
2. Assessment Tools and Methods
3. Assessment Evidence
4. Assessment Judgement

**Our ‘Rules of the Road’**

- **Principles of Assessment**
- **Rules of Evidence**

**Moderation**

Adjustments achieved by discussing and reaching agreement before results are finalised
Validation of assessment

Enables assessors to develop a **shared understanding** of the requirements of specific Training Packages.

- The assessment guidelines
- The nature of evidence
- How evidence is collected
- The relevant competency standards

The basis on which assessment decisions are made.
Validation of......

Assessment processes
These are key steps in the assessment cycle and include:
• the timing and type of assessment information provided to candidates and assessors preparing the candidates
• collecting evidence and making the judgement
• providing feedback on assessment
• reassessment and appeals.

Assessment methods and tools
The validation process reviews the methods and tools in terms of:
• appropriateness for candidates
• validity of methods and tools
• reliability of methods and tools
• capacity for flexibility
• the instructions to candidates, assessors and third parties.

Interpretation of evidence
This involves collaboration with others to review whether the evidence collected:
• meets the rules of evidence (validity, currency, authenticity and sufficiency)
• covers all the requirements in the benchmark (including Employability Skills and dimensions of competency).

Importantly, it must be established whether the assessment process, methods and tools enable the candidate to provide evidence that would meet the requirements of the standard.
Find out

...more about validation & moderation

- **Systematic Validation – Assessment Fact Sheet 6**
- **Research Report – Validation & Moderation in Diverse Settings**
- **An Assessor Guide: Validation & Moderation**
- **Enhancing comparability of standards through validation and moderation: PowerPoint Presentation**
- **Implementation Guide: Validation & Moderation**
- **Validation and Moderation – Guide for developing assessment tools**
- **Validation and Moderation – Code of Professional Practice**
- **Workshop materials – Communication and Dissemination NQC products: validation and moderation**
- **PowerPoint Presentation Quality assessment and validation**
Some validation methods/approaches

1. Assessment panel
2. Assessment tool bank
3. Assessor networks
4. Bank of assessment exemplars
5. Benchmarking
6. Field testing, trialling and piloting
7. Lead assessor
# Approaches

<table>
<thead>
<tr>
<th>Approaches for Validation</th>
<th>Components of the assessment strategy to be validated</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Assessment process</td>
</tr>
<tr>
<td></td>
<td>A</td>
</tr>
<tr>
<td>Assessor networks</td>
<td>X</td>
</tr>
<tr>
<td>Assessment Panel</td>
<td>X</td>
</tr>
<tr>
<td>Assessment tool bank</td>
<td>X</td>
</tr>
<tr>
<td>Bank of assessment exemplars and benchmarks</td>
<td></td>
</tr>
<tr>
<td>Benchmarking</td>
<td>X</td>
</tr>
<tr>
<td>Client satisfaction surveys</td>
<td>X</td>
</tr>
<tr>
<td>Field testing, trialling and piloting</td>
<td>X</td>
</tr>
<tr>
<td>Independent validator</td>
<td>X</td>
</tr>
<tr>
<td>Information for assessors</td>
<td>X</td>
</tr>
<tr>
<td>Internal Audits</td>
<td>X</td>
</tr>
<tr>
<td>Lead assessor</td>
<td>X</td>
</tr>
<tr>
<td>Mechanisms to support professional judgement</td>
<td></td>
</tr>
<tr>
<td>Mentoring</td>
<td>X</td>
</tr>
<tr>
<td>Moderation meetings</td>
<td>X</td>
</tr>
<tr>
<td>Peer review</td>
<td>X</td>
</tr>
<tr>
<td>Professional development</td>
<td>X</td>
</tr>
<tr>
<td>RTO Self assessment</td>
<td>X</td>
</tr>
<tr>
<td>Sampling</td>
<td>X</td>
</tr>
<tr>
<td>Specialist assessor</td>
<td>X</td>
</tr>
<tr>
<td>Team assessment</td>
<td>X</td>
</tr>
</tbody>
</table>

Source: [Learning and assessment strategies - Part two: Resource Guide](#)
Examples of common methods/approaches

- Assessment panel
- Assessment tool bank
- Assessor networks
- Bank of assessment exemplars
- Benchmarking
- Field testing, trialling and piloting
- Lead assessor
- Peer review
Assessment Panel

Composed of individual assessors from the same RTO, perhaps supported by others, who meet to:

**Interpret**
and promote a common understanding of units of competency and Training Package requirements

**Determine**
reasonable adjustment

**Critique**
and sign off assessment tools

**Review**
assessment processes

**Provide**
a network of mentors and coaches for assessors

**Develop**
benchmarks of assessment exemplars

**Advise**
on professional development for assessors
Assessor Networks

Are groups of individuals (generally from different RTOs) involved in VET assessment who:

Meet to develop their professional practice

NB: Networks can vary in focus, size, structure and level of organisation

Contribute to consistency across RTOs through a forum in which assessors can build a shared understanding of training packages, and the assessment requirements of the AQTF / VET Quality Framework (VQF)

Offer (through a focused network) an environment in which assessors can validate assessment practices through exchanging ideas about:

- the meaning of specific competency standards
- evidence requirements
- ways of gathering evidence and
- the basis on which assessment decisions are made
Peer Review

Involves **assessors** from the same RTO **observing** each other assessing and then providing structured and specific feedback on the overall conduct of assessment use of the assessment tools and the range of evidence gathered, i.e.:

- Assessment planning interview with the candidate
- Evidence gathering tools selected
- Assessing competence
- Evidence collected; and
- Assessment judgement

**Involves assessors** from the same RTO **reviewing** developed assessment tools and providing structured and specific feedback about them; i.e.

- validity
- reliability
- flexibility
- fairness
Peer Review

Can be implemented **formally** (as part of the RTOs practices); or **informally** (agreement between colleagues)

May involve **pairing** a more experienced assessor with a less experienced assessor as part of a mentoring process often used for new assessors
Which of the following validation /moderation approaches have you found to be the most useful?

POLL
Which of the following groups do you involve in your validation/moderation processes?
Develop & implement a plan

**Decide**
which approach to validation/moderation best suits the RTO

**Agree**
on the procedures to be followed for validation as well as the forms that will be used

**Determine**
- when and how often validation will occur
- what assessment tools will be validated/moderated
- who will participate

**Confirm**
whether assessors require support or PD in validation processes
### Planning

<table>
<thead>
<tr>
<th>RTO Name</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Training Package Code</th>
<th>Training Package Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Qualification Code</th>
<th>Qualification Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Competency Code/s</th>
<th>Competency Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>What is the focus of the validation activity?</th>
<th>What principles / rules apply?</th>
<th>What methods / approaches will you use?</th>
<th>Who will you involve in the validation activity?</th>
<th>What resources will you need?</th>
<th>How will you record the activity?</th>
<th>How will you promote follow up?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Plan Developer</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

You could choose a single target or decide to validate a mix of the following:
- Assessment processes
- Assessment tools
- Assessment evidence
- Assessment judgements

**Processes and Tools**
- Principles of Assessment
- Rules of Evidence

**Evidence and Judgements**
- Evidence
- Judgements
What documentation is required?

Regardless of the assessment validation method used, the RTO must have a systematic validation and moderation approach and maintain records of the validation processes.

The forms of evidence that show validation has taken place may include:

- records of meetings where validation is covered (agendas, minutes, action plans);
- feedback from clients (student and/or employer satisfaction surveys: notes recording feedback from face-to-face or telephone interviews);
- records of benchmark activities;
- examples of materials used in reviewing, comparing and evaluating tools (quality criteria, review checklists).
Procedure

• What will you validate? (target - process, tools, evidence, judgement?)
• What principles/rules apply to validation?
• What methods/approaches will you use?
• Who will you involve in the validation?
• What resources will you need?
• How will you record the activity?
• How will you ensure/promote follow-up?
Systematic Validation and Moderation of Assessment Flowchart

1. Develop Validation Schedule
   - Responsibility: Training Manager

2. Plan Validation Meeting
   - Responsibility: Training Manager

3. Conduct Validation Meeting
   - Responsibility: Appointed Chairperson

4. Record Validation Meeting Outcomes
   - Responsibility: Appointed Recorder

5. Act on Recommendations
   - Responsibility: Individuals based on Action items

6. Review Effectiveness of Changes to Assessment
   - Responsibility: Training Manager

Version 1. July 2011
Develop and implement a process to monitor outcomes

- **Ensure** there is a process in place to confirm that improvement actions have been allocated and followed through.
- **Agree** on how to assess the effectiveness of both the improvements made and the validation process itself.
- **Promote** validation to staff as a professional development activity that strives to achieve high standards, not only compliance.
Would you like to respond?

What processes do you use to monitor the outcomes of validation/moderation processes?

Raise your hand to **speak** if you have a microphone

Or type your comments in the chat window

You will receive a range of template examples as part of the resources sent to you after the webinar:

- Validation Meeting & Record Keeping Template [DOC 31 KB]
- Validation Plan Checklist [DOC 35 KB]
- Validation of Assessment Tools Checklist [DOC 37 KB]
- Validating the Assessment Process Checklist [DOC 37 KB]
- Assessment Validation Strategies Checklist [DOC 34 KB]
- Pre-Assessment Validation Checklist [DOC 31 KB]
- Post-Assessment Validation Checklist [DOC 33 KB]
- Assessment Tools, Processes and Evidence Checklist [DOC 53 KB]
- Validation Planning Tool [DOC 35 KB]
- Assessment Plan Validation Checklist [DOC 33 KB]
- Assessment Validation Action Plan [DOC 31 KB]
- Industry Assessment Validation Checklist [DOC 81 KB]
- Reviewing and Evaluating Assessment Evidence Checklist [DOC 36 KB]
- Validating the Assessment Process Checklist [DOC 37 KB]
- Validation Checklist for Assessment Tools [DOC 37 KB]
- Validation Meeting Template [DOC 31 KB]
How would you rate the information provided today?
What happens now?

You will receive an email that will include:

A Statement of Attendance

Feedback survey

PowerPoint

2 week access to the recording of the webinar
Upcoming Velg Training Webinars

Avoiding non-compliances for RTO Managers
• 27 March 2013

Avoiding non-compliances for RTO Trainers & Assessors
• 27 March 2013

Staying Connected in VET
• 17 April 2013

Fundamentals of CBA
• 24 April 2013

Join as a member today for $250+gst & get discounts on PD
Contact us

1/52 Jeffcott Street
Wavell Heights  QLD  4012

P  07 38660888
F  07 38660899

E  enquiries@velgtraining.com
W  velgtraining.com

The webinar will remain open for 15 more minutes to respond to any questions you might have – type them into your CHAT window
Thank you for your company

John Dwyer
Consultant
Velg Training

E  john@velgtraining.com
W  www.velgtraining.com