



OSCAR INSTITUTE

RTO :21118

Assessment Validation and Quality Assurance



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Assessment Validation and Quality Assurance

Purpose

The purpose of this policy is to establish a structured, systematic approach to both the validation of assessment tools, strategies and practices, and the moderation of assessment judgements. This ensures the integrity, quality, and compliance of our assessment system while promoting consistency and fairness in the outcomes achieved by learners.

Scope

This policy applies to:

- All Trainers & Assessors; and
- All of our assessment validation and moderation processes and their related business functions.

Responsibilities CEO

- Ensures compliance with legislation, regulations and Standards for RTOs.
- Ensures the systematic validation and moderation of all training products.
- Organises and oversee the assessment moderation process and activities.
- Approves the Assessment Validation Plan and oversee its implementation.
- Appoints validation team members who meet competency and industry standards.
- Appoints moderation team members.

RTO Manager

- Responsible for the implementation of the validation and moderation action plans.

Administrative & Support Staff

- Manages documentation, scheduling, and logistics for validation and moderation activities.



- Maintains records of validation and moderation outcomes and update the Continuous Improvement Register accordingly.

Trainers & Assessors

- Participates in validation and moderation activities, providing insight into assessment practices.
- Updates training and assessment tools and any operational documents based on validation and moderation outcomes.
- Ensures all assessment tools align with the relevant units of competency.

Definitions

- Assessment validation – a structured quality assurance process aimed at ensuring the assessment system, tools and practices effectively evaluate a learner’s performance against the requirements of the relevant training product. This involves reviewing assessment tools to ensure they consistently produce valid, reliable, sufficient, current and authentic evidences aligned with the unit of competency or accredited course.
- Assessment moderation – a quality control process conducted before finalising student results to ensure consistency, fairness and reliability in assessment judgements. This involves reviewing and comparing assessment decisions made by Assessors against the same benchmarks to confirm they align with the required competency outcomes.

General Principles

As an RTO, Oscar institute will be guided by the following:

- Assessment Validation
 - o Validation activities are scheduled appropriately as indicated in the Assessment Validation Plan, ensuring all training products on our scope are reviewed:
 - Prior to the commencement of the delivery of our training and assessment services for the relevant training product; and
 - At least once every 5-years (unless the training product is considered high- risk).
 - o Where risk indicators (as listed below) demonstrate that more frequent validation is required, we are to review the Assessment Validation Plan and update it accordingly:
 - The use of new assessment tools;



- Delivery of training products where safety is a concern;
 - The level and experience of the Assessor; or
 - Changes in technology, workplace processes, legislation and licensing requirements.
- o Acknowledges that ASQA has identified systemic risks with the training programs in the following areas, and we will validate them more frequently – at least once every 2-years:
 - Aged and community care
 - Construction industry (including 'white card' training)
 - Early childhood education and care
 - Equine
 - Security
 - Training and Education
 - o Follow a systematic process to ensure our assessment tools produce valid, reliable, sufficient, current, and authentic evidence, enabling accurate and fair competency judgements.
 - o Confirms our assessment tools produces valid judgements consistent with the training product requirements.
 - o When validating training products prior to the commencement of its delivery, we are to only examine the assessment tools and assessor guides with a focus that they are fit-for-purpose for our student cohort.
 - o When validating training products which are being currently actively delivered, we are to examine all assessment tools, including completed assessment tools.
 - o As a minimum standard, for training products which we have delivered, we will use a statistically valid sample taken at random using ASQA's sample size calculator and a risk-based approach to validate at least:
 - Four units from each qualification, and
 - At least one unit from each skill set, module, and accredited course.
 - o Outcomes of the validation are to inform any amendments or revisions to our training and assessment tools, as part of our continuous improvement efforts.



- o Ensure that validation is not conducted only by one person and the individuals involved in the assessment validation activities are sufficiently skilled and qualified:
 - Validation team must collectively have:
 - Vocational competencies and current industry skills and knowledge relevant to the training product being validated,
 - Current knowledge and skills in vocational teaching and learning, and
 - One of the following:
 - o TAE40122 Certificate IV in Training and Assessment (or its predecessor);
 - o TAE40110 Certificate IV in Training and Assessment;
 - o A secondary teaching qualification and TAESS00024 VET Delivered to School Students Teacher Enhancement Skill Set;
 - o TAESS00019 Assessor Skill Set;
 - o TAESS00011 Assessor Skill Set;
 - o TAESS00001 Assessor Skill Set; or
 - o A diploma or higher-level qualification in adult education or vocational education and training.
 - Lead Validator:
 - Is not involved in delivering the training and assessment for the training product being validated.
- o Work with other RTOs and collaboratively validate each other's assessment tools, practices and judgements.
- o Engage industry experts, where possible, to provide current industry feedback and advice on the tools being validated.
- o Record and use the findings of validation activities to inform and refine our assessment tools, processes and approaches as part of our continuous improvement process to ensure they are fair, flexible, valid, reliable, sufficient, authentic and current.
 - Assessment Moderation
 - o Undertake assessment moderation activities at least once a quarter, as listed in the Continuous Improvement Schedule, prior to the finalisation of the assessment



judgements, enabling alignment of assessment decisions across all students within a unit of competency.

- o Whilst assessment moderation activities will not be undertaken for each cohort and for each unit of competency delivered, we will balance the following factors to determine how frequent moderation activities are to be undertaken:
 - New or revised assessment tools;
 - Assessor experience and competency;
 - Student outcomes and performance trends; and
 - Training products at risk.
- o Ensure that Assessors' decisions are consistent and aligned with the requirements of the training product, reducing variability in assessment outcomes.
- o Supports equity by ensuring that all learners are assessed against the same criteria and benchmarks.
- o Focuses on high-risk areas such as new or revised assessment tools, new Assessors, and units with significant safety, legislative or industry requirements.
- o Record and use the findings of moderation activities to inform and refine our assessment tools, processes and approaches as part of our continuous improvement process to achieve consistency in assessment judgements.

Compliance

This policy aligns with:

- Standards for RTOs 2025:
 - o Standard 1.3 – The assessment system is fit-for-purpose and consistent with the training product.
 - o Standard 1.5 – The assessment system is quality assured by appropriately skilled and credentialed people through a regular process of validating assessment practices and judgements.
 - o Credentials Policy – Credentials for Validation of Assessment.

Failure to comply with this policy can have serious consequences, including but not limited to:



- For the RTO – breaches of legislation or regulatory requirements may result in financial penalties, loss of registration, reputation damage, or regulatory enforcement actions.
- For Staff Members – staff found to have knowingly or negligently failed to comply with this policy and any associated legislative or regulatory requirements may face disciplinary actions, up to and including termination of employment.
- For Learners and Clients – non-compliance could lead to disruptions in training and assessment services, and compromised learning outcomes.

Continuous Improvement

- An internal audit is to be conducted at least once per year to assess our compliance with this policy and the relevant legislative and regulatory requirements. The audit schedule is outlined in our Continuous Improvement Schedule and areas for improvements are documented in our Continuous Improvement Register.
- Feedback from staff, learners, clients and industry stakeholders will be used to inform improvements to compliance processes and the effectiveness of our operations.

Related Documents

- Assessment Moderation Checklist
- Assessment Validation Checklist
- Assessment Validation Plan
- Continuous Improvement Register
- Continuous Improvement Schedule

Assessment Validation Procedure

1. Schedule validation activities

- i. When a new training product is added to our scope, we are to schedule in the validation activities in the Assessment Validation Plan.
- ii. A calendar reminder is also to be scheduled in the CEO's calendar.
- iii. The CEO is to determine which units of competency of the new training product are to be included, and when they are to be validated.

2. Validation team participants selected and sent calendar invites



i. 2-months before the validation exercise is to take place, the CEO is to select the validation team participants, ensuring they collectively meet the requirements set out in the 'General Principles' section above.

ii. The validation team participants are to be sent calendar invites for the session.

3. Re-schedule if not everyone is available

i. If participants are not available on the date scheduled, another date is to be organised within 14-days, no later.

4. Gather a random sample of completed assessments

i. These files are to be chosen at random and safely stored before being provided to the validation team.

5. Access to tools before the meeting

i. The tools to be validated are to be e-mailed to the validation team participants at least 14-days prior to the validation activity.

ii. This provides the participants with the opportunity to review the assessment tools and undertake their own assessment mapping of the unit of competency.

iii. This also enables the participants to start making notes on their observations and professional judgements on the assessment tools prior to the meeting taking place.

6. Undertake assessment validation

i. During the assessment validation meeting, the validation team is to collectively review the quantitative information and work through the assessment validation tool and engage in discussion in response to the questions in the Assessment Validation Checklist.

7. Complete the Assessment Validation Checklist

i. The document is to be completed and detailed comments recorded.

8. Continuous improvement

i. The comments recorded in the 'Validation Action Plan' section of the Assessment Validation Checklist document are to be uploaded into our Continuous Improvement Register.

ii. The action points are then to be discussed, reviewed and implemented accordingly.



9. Record management

- i. All physical documents are to be scanned and saved on our server for compliance and reference purposes.

Assessment Moderation Procedure

1. CEO selects unit of competency and moderating team

- i. 1-month prior to the moderation exercise, the CEO is to select which unit of competency will form the basis of the moderation activity.
- ii. The team of assessment moderators are to be selected, consisting of those who are qualified to assess units in the respective training package.

2. Re-schedule if not everyone is available

- i. If participants are not available on the date scheduled, organise another date within 14-days, no later.

3. Gather a random sample of completed assessments

- i. These files are to be safely stored before being provided to the moderation team.

4. Access to tools before the meeting

- i. The tools to be moderated are to be e-mailed to the moderation team participants at least 14-days prior to the validation activity.
- ii. This provides the participants with the opportunity to review the assessment tools and undertake their own assessment mapping of the unit of competency.
- iii. This also enables the participants to start making notes on their observations and professional judgements on the assessment tools prior to the meeting taking place.

5. Review a statistically valid sample of the assessments

- i. During the assessment validation meeting, the validation team is to collectively review the quantitative information and work through the assessment validation tool and engage in discussion in response to the questions in the Assessment Moderation Checklist document.

6. Compare the assessment responses and evidences



- i. The submitted assessment responses and evidences, along with the assessment judgements are to be compared to each other, and reviewed against the assessor guide as well as the mapping tool.

7. Continuous improvement

- i. Where there are inconsistencies in the Assessor's judgements, they are to be recorded in the Continuous Improvement Register and the moderation team is to investigate the potential cause(s) of the inconsistencies and they are to discuss on what can be done to reduce or eliminate these inconsistencies.

8. Implement recommendations

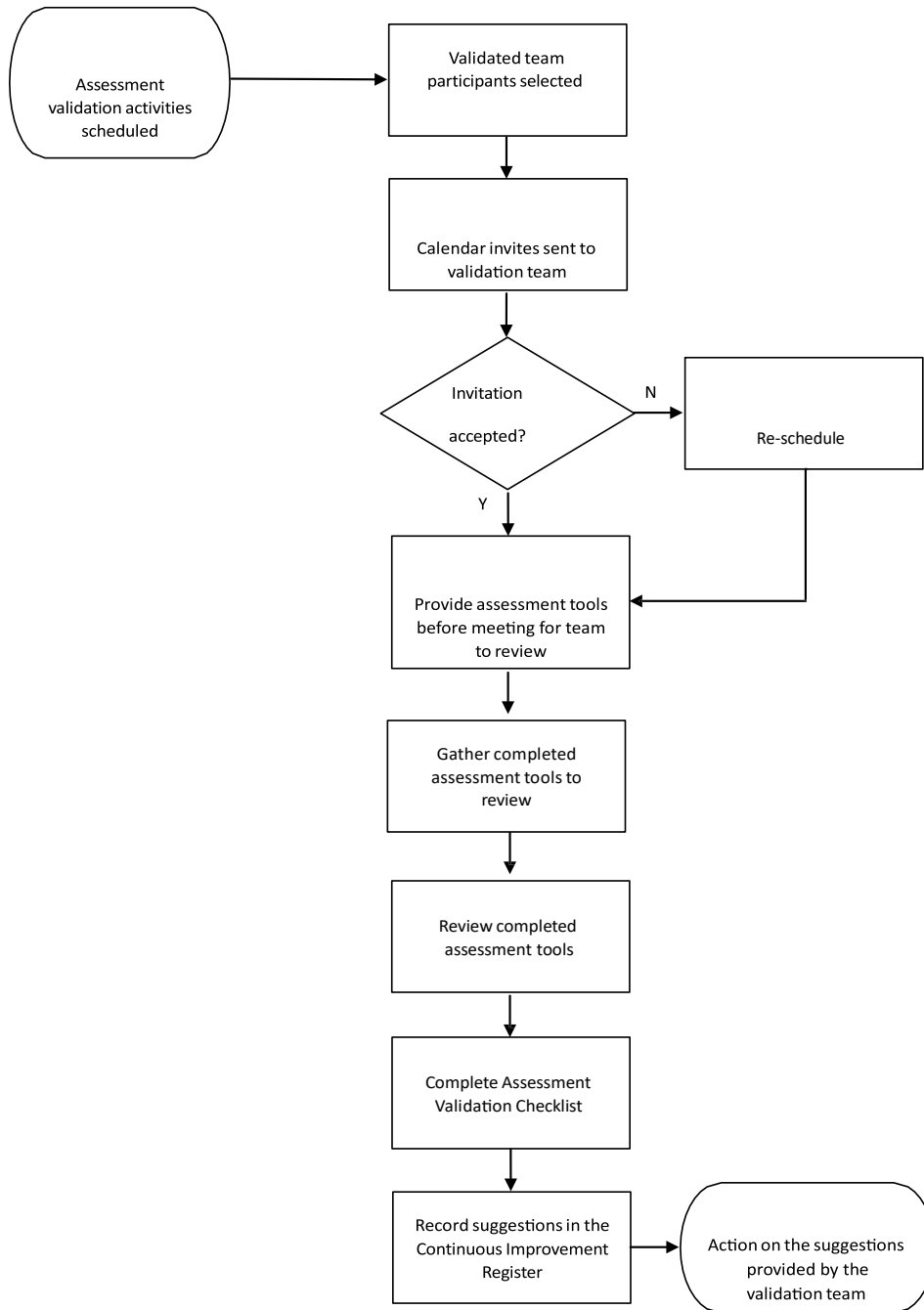
- i. Suggested actions to reduce or eliminate the potential for further inconsistencies in assessment judgements are to be implemented and recorded in the Continuous Improvement Register.

9. Record management

- i. All physical documents are to be scanned and saved on our server for compliance and reference purposes.



Assessment Validation Process Flow-Chart





Assessment Moderation Process Flow-Chart

