

RTO Validation Policy and Procedure

PURPOSE

The purpose of this policy and procedure is to outline Music SA's obligations and processes in respect to the effective validation of assessment practices and judgements.

SCOPE

This policy and procedure applies to all assessment practices that have been implemented and assessment judgements made in respect to nationally recognised Training Products on Music SA's Scope of Registration.

POLICY STATEMENT

As a Registered Training Organisation, Music SA is required under the Standards for Registered Training Organisations (RTOs) 2015, to implement a plan for the ongoing and systematic validation of assessment practices and judgements for all Training Products on its Scope of Registration.

Accordingly, each Music SA Training Product will be validated at least once every five years, with at least 50% of products validated within the first three years of each five year cycle.

Validation processes will only be conducted by one or more suitably qualified persons who are not directly involved in the particular instance of delivery and assessment of the Training Product being validated, and who collectively have the required knowledge and skills set.

Where possible, Music SA will involve industry experts in validation processes.

DEFINITIONS

Assessment System means the coordinated set of documented policies and procedures (including assessment materials and tools) developed by a RTO that ensure that assessments are consistent and based on the Principles of Assessment and Rules of Evidence.

Assessment Tool means one or more documents that collectively include the following information:

- context and conditions of assessment
- assessment tasks to be administered to learners
- an outline of the evidence to be gathered from learners
- evidence criteria to be used by Assessors to judge the quality of performance (i.e. the assessment decision-making rules) and
- administration, recording and reporting requirements.

AQF Qualification means an Australian Qualifications Framework (AQF) qualification type e.g. Certificate, Diploma or Advanced Diploma, that is endorsed in a national Training Package.

Skill Set means a single Unit of Competency or a combination of Units of Competency from an endorsed training package which link to a licensing or regulatory requirement, or a defined industry need.

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DEFINITIONS CONT.

Statistically Valid Sample means a sample that is:

- large enough that the outcomes of a Validation activity can be applied to the entire set of assessment judgements; and
- chosen randomly from the set of assessment judgements being considered.

Training Package means the components of a Training Package that have been endorsed by an Industry and Skills Council (or its delegate) in accordance with the Standards for Training Packages. The endorsed components are: Units of Competency; Assessment Requirements; Qualifications and Credit Arrangements.

Training Product is the collective name used to describe an AQF Qualification, Skill Set, Unit of Competency or accredited Short Course.

Unit of Competency means the individual units of learning that comprise an AQF qualification or Skill Set that have been developed to reflect the knowledge, skills and standard of performance required in the workplace.

Validation is a quality review process that confirms that a RTO's assessment system can consistently produce valid assessment judgements. Validation involves checking that assessment tools produce valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the Training Package have been met. It includes reviewing a statistically valid sample of assessments and making recommendations for future improvements to assessment tools, processes and/or outcomes, and acting upon such recommendations.

Valid Assessment Judgement means a judgement that confirms that a learner holds all of the knowledge and skills described in a Training Product.

REFERENCES

- Standards for Registered Training Organisations (RTOs) 2015
- Users' Guide to the Standards for Registered Training Organisations 2015

DOCUMENTS

The following documents support this policy and procedure:

- Music SA RTO Five Year Validation Plan
- Music SA RTO Validation Report Form
- Music SA RTO Training and Assessment Continuous Improvement Register

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RESPONSIBILITIES

The **Music SA Board** is responsible for:

- approving the RTO Validation Policy and Procedure and all subsequent revisions.

The **Music SA Chief Executive Officer (CEO)** is responsible for:

- presenting any subsequent revisions of the RTO Validation Policy and Procedure to the Music SA Board for approval
- ensuring that all RTO Training Staff understand their roles and responsibilities in relation to this policy and procedure
- approving the Music SA RTO Five Year Validation Plan
- ensuring that the Validation Schedule outlined in the Music SA RTO Five Year Validation Plan is implemented as stated, and that identified remedial assessment strategies and continuous improvement recommendations are acted upon in a prompt manner; and
- informing the Music SA Board of any Validation outcomes/continuous improvement recommendations that have resourcing and/or reputational implications for the RTO.

The **Music SA Head of Training (HT)** is responsible for:

- developing a Music SA RTO Five Year Validation Plan in consultation with RTO Training Staff and other relevant stakeholders, and submitting to the Music SA CEO for approval. This Plan will describe:
 - who will lead and participate in Validation activities
 - which Training Products will be the focus of Validation activities
 - when Validation activities will occur; and
 - how the outcomes of Validation activities will be acted upon.
- determining the statistically valid sample size of assessments that need to be validated for identified Training Products on an annual basis
- ensuring that all **Lead Validators** understand their role and responsibilities
- ensuring that collectively, identified Validation team members have the necessary knowledge and skills to be involved in Validation activities
- ensuring that remedial assessment strategies are implemented where assessment practices and/or judgements are assessed by Validation teams as being invalid, in accordance with agreed timelines
- analysing all Validation Reports and ensuring that any continuous improvement recommendations are included in the Music SA RTO Training and Assessment Continuous Improvement Register
- ensuring that continuous improvement recommendations are implemented in accordance with agreed timelines
- providing six monthly reports to the Music SA CEO on Validation Plan achievements and outcomes; and
- reviewing the Music SA RTO Five Year Validation Plan in consultation with RTO Training Staff and other relevant stakeholders on an annual basis, and submitting revised Validation Plans to the Music SA CEO for approval.

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RESPONSIBILITIES CONT.

All **Music SA Lead Validators (LV)** are responsible for:

- ensuring that they comply with this policy and procedure when leading Validation processes
- coordinating all logistical and administrative arrangements to ensure that Validation activities are conducted in an efficient and effective manner; and
- ensuring that all components of the Music SA RTO Validation Report Form are completed in conjunction with Validation team members, and Validation Reports are submitted to the Music SA HT for action (where required).

All **Music SA Validators (V)** are responsible for:

- ensuring that they comply with this policy and procedure when participating in Validation processes
- participating in all Validation activities for which they scheduled
- providing evidence of their vocational competencies, and current vocational teaching and learning/industry knowledge and skills as required; and
- ensuring that all relevant Validation documentation is completed in an honest, accurate and thorough manner.

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PROCEDURES

General

- 1 Music SA HT will prepare a Music SA RTO Five Year Validation Plan in consultation with Music SA Training Staff and other relevant stakeholders, and submit to the Music SA CEO for approval.
- 2 Music SA HT will ensure that the Validation Plan is implemented as stated.
- 3 Music SA HT will maintain the Music SA RTO Training and Assessment Continuous Improvement Register.
- 4 Music SA HT will provide a six monthly report to the Music SA GM on Validation achievements and outcomes.
- 5 Music SA HT will review the Music SA RTO Five Year Validation Plan in consultation with Music SA Training Staff and other relevant stakeholders on an annual basis, and submit revised Validation Plans to the Music SA CEO for approval.

Conducting Validation

- 1 Music SA HT will identify one or more suitably qualified validators to lead/participate in scheduled Validation activities. These individuals will collectively hold:

- vocational competencies and current industry skills relevant to the assessments being validated
- current knowledge and skills in vocational teaching and learning
- required Training and Assessment qualifications.

Validators will be employees of Music SA, or external validators from:

- enterprises and employer/industry associations
- other RTOs; or
- consultancy businesses.

The Trainer/Assessor who delivered/assessed the Training Product being validated:

- CAN participate in the validation process as part of the team
- CANNOT conduct Validation activities on their own
- CANNOT determine the Validation outcome for any assessment judgements they have made; and
- CANNOT be the Lead Validator of the Validation Team.

Where possible industry experts will be engaged as external validators as they can provide Music SA with valuable input in respect to the:

- industry relevance of the context and conditions of assessment, and the resources used during assessment activities
- assessment tasks completed by learners; and
- assessment judgements made by Assessors.

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PROCEDURES CONT.

Scheduling Validation Activities

- 1 Music SA HT will ensure that all Training Products on the RTO's Scope of Registration are scheduled to be validated at least ONCE every five years from the latest Training Product Release Date, or from the date the Training Product was first placed on the RTO's Scope of Registration, whichever is the latest.
- 2 Music SA HT will ensure that at least 50% of Music SA's Training Products are scheduled to be validated in the first three years of the Music SA RTO Five Year Validation Plan.
- 3 Music SA HT will ensure that the assessment practices and judgements associated with ALL Training Programs comprising the Certificate IV in Music Industry (CUA40915) are validated at least once every three years.
- 4 Music SA HT will organise for more frequent validations of Training Products when:
 - new assessment tasks are introduced
 - the level and/or experience of an Assessor changes
 - there are changes in technology, workplace processes, legislation and licensing requirements; and
 - the delivery of a Training Product involves safety risks.
- 5 Music SA HT will ensure that the RTO Five Year Validation Schedule is adjusted whenever a new Training Product is added to the RTO's Scope of Registration.

Statistically Valid Sampling

- 1 Music SA HT will ensure that enough assessment practices and judgements are validated to ensure that validation outcomes are accurate and are representative of the total number of completed assessments for a Training Product/Program by determining statistically valid sample sizes.
- 2 Music SA HT will use a Sample Size Calculator e.g. <http://www.raosoft.com/samplesize.html>) to calculate statistically valid sample sizes. The total number of assessment judgements to be used in the Calculator will be determined based on the number of learners who have enrolled in the respective Training Product/Program over a period of at least six months, regardless of the assessment outcome. This will include students who have been granted/not granted RPL. The Error Level to be inputted into the Calculator will be 15% and Confidence Level 95%.
The Sample Size Calculator will automatically calculate the sample size to be applied.
- 3 Music SA HT will select the required sample size of learners from the total pool of enrolments using a random selection strategy e.g. Alphabetical listing.
- 4 Music SA HT will provide Lead Validators with a complete list of the learners whose assessment evidence is to be validated.

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PROCEDURES CONT.

Reviewing Assessment Practices

- 1 Music SA LVs will access all relevant assessment evidence for each learner in the randomly selected list supplied by the Music SA HT.
- 2 Music SA LVs will ensure that all members of the Validation team are given access to all relevant assessment documentation e.g. relevant Units of Competency, Assessment Requirements and RTO Validation Report Form well in advance of the Validation event to ensure that team members have adequate time to familiarise themselves with the supplied documentation.
- 3 Music SA LVs will ensure that sufficient copies of learner assessment evidence are made available at the Validation event, to enable the review of assessment practices to occur in an efficient and effective manner.
- 4 Music SA LVs will fully brief Validation Panels on the process to be followed and the roles and responsibilities of each team member.
- 5 Members of the Validation Team either individually or collectively will be responsible for reviewing assessment tools (or series of assessment tasks) to determine if they:
 - comply with the assessment requirements of the relevant Training Product
 - adhere to the Principles of Assessment i.e. Fairness, Flexibility, Validity and Reliability
 - have been designed to satisfy all the Rules of Evidence i.e. Valid, Sufficient, Authentic and Current
 - are appropriate to the stated context and conditions of assessment
 - are appropriate in terms of the level of difficulty of tasks to be performed, in relation to the skills and knowledge requirements of individual Units of Competency
 - provide sufficient instructions to learners in respect to the tasks to be administered and evidence to be gathered
 - outline what reasonable adjustments could be made to the gathering of evidence
 - provide sufficient instructions to Assessors on collecting evidence, making assessment judgements and recording assessment outcomes
 - provide sufficient evidence (marking) criteria to judge the quality of learner performance; and
 - adhere to the requirements of Music SA's assessment system.

Reviewing Assessment Judgements

- 1 Music SA Validators will review assessment judgements to determine if they:
 - comply with the assessment requirements of individual Units of Competency
 - demonstrate that assessments were conducted with fairness, flexibility, validity and reliability; and
 - are valid, sufficient, authentic and current.

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PROCEDURES CONT.

Recording Validation Outcomes

- 1 If there is agreement on all Validation outcomes, Music SA LVs will ensure that all components of the Music SA RTO Validation Report Form are completed, signed off by all Validation team members and submitted to the Music SA HT.
- 2 If there is not initial agreement on some or all Validation outcomes, Music SA LVs must in the first instance seek to resolve those issues/areas which are in dispute with Validation team members.
- 3 Where issues are not able to be resolved, Music SA LVs must ensure that this outcome is reflected in the Validation Report and detailed rationales are provided by respective Validation team members to justify their dissent.
- 4 Music SA LV's will refer the Validation Report to a suitably qualified third party, to provide an independent Validation. The outcomes of this Validation process will be recorded in the initial Validation Report. The Validation Report will then be submitted to the Music SA HT.
- 5 Music SA HT will analyse the information provided in Validation Reports to determine if any remedial assessment strategies need to occur, and develop an action plan to address these as a matter of high priority.
- 6 Music SA HT will record any identified continuous improvement recommendations in the Music SA RTO Training and Assessment Continuous Improvement Register, and ensure that actions are taken to address recommendations in a timely manner.
- 7 Music SA HT will ensure that the following documentation is safely and securely stored as evidence that Validation processes have occurred:
 - Music SA RTO Validation Reports
 - all documents relating to the selection of statistically valid sample sizes e.g. List of total enrolment pool, Sample Size Calculator outcomes and list of randomly selected learners; and
 - all assessment evidence reviewed.

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STATUS AND DETAILS

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