

## POST ASSESSMENT VALIDATION POLICY

### 1. Purpose

- 1.1 This document applies to the **Innovative Institute of Australia**, its courses, its clients (students), and its controlled entities (collectively, "IIA", "Institute", "the Institute", "we", "us", "our").
- 1.2 The purpose of this policy is to implement a quality review process that ensures assessments are conducted in accordance with the rules of evidence, the principles of assessment, and the requirements of the training package.
- 1.3 This policy is implemented in compliance with the requirements of the Education Services for Overseas Students Act 2000 (the ESOS Act), the Standards for Registered Training Organisations (2025), and the National Code of Practice for Providers of Education and Training to Overseas Students 2018 (the National Code 2018).
- 1.4 In this file, words that import gender include all other genders; the singular 'they' is gender-neutral and used to avoid specifying a person's gender; words in the singular number include the plural and vice versa.
- 1.5 This policy does not affect students' rights under the Australian Consumer Law.
- 1.6 The Institute reserves the right to amend these terms and conditions at any time.
- 1.7 This policy does not affect students' rights under the *Australian Consumer Law*.

### 2. Definitions

- 2.1 Assessment means the process of gathering evidence and making judgements on whether competency has been achieved to confirm that an individual can perform to the standard expected in the workplace, as specified in a training package or a vocational education and training accredited course.
- 2.2 Assessment Judgement means the judgement that a student is competent in a unit of competency, and, in the context of this policy, informs the process of determining a

statistically valid sample size.

- 2.3 Assessment tools are the media (electronic or hard copy) used to gather evidence about a student's competence. The following are examples of assessment forms and documents that may be incorporated into an assessment tool in support of each unit of competency:
- i. assessment instruction for the assessor and the student
  - ii. assessment recording tools
  - iii. assessment outcome reports
  - iv. Assessor Marking Guide
  - v. assessment mapping
  - vi. third-party reports or work placement records
- 2.4 Assessment Validation. Assessment Validation is the quality review of the assessment process. Validation involves checking that the assessment tool (s) produce valid, reliable, sufficient, current, and authentic evidence to enable reasonable judgments to be made as to whether the requirements of the training package are met. It includes reviewing a statistically valid sample of the assessments, making recommendations for future improvements to the assessment tool, process, and/or outcomes, and acting upon such recommendations.
- 2.5 Assessment Validation Plan. The Assessment Validation Plan is an action plan that identifies when assessment validation will occur, which training products will be the focus of the validation, who will lead and participate in validation activities, and how the outcomes of these activities will be documented and acted upon.
- 2.6 Confidence Level. The confidence level is a criterion used to calculate a statistically valid sample size. This is represented as a percentage of your confidence that the assessment judgments will produce an accurate validation outcome.
- 2.7 Completed student assessment items. The actual piece(s) of work completed by a student or evidence of that work, including evidence collected for an RPL process. An

assessor's completed marking guide, criteria, and observation checklist for each student may be sufficient where it is not possible to retain the student's actual work. However, the retained evidence must have enough detail to demonstrate the assessor's judgement of the student's performance against the standard required.

- 2.8 Error Level. The error level is a criterion used when calculating a statistically valid sample size. The error level relates to the assessment results and is known as the 'margin of error'.
- 2.9 Outcomes. The outcome of assessment validation is the identification of improvements to the assessment strategy and practices.
- 2.10 Training package means the nationally endorsed document that records the competencies required by different occupations and industries and describes how these competencies may be packaged into nationally recognised and portable qualifications that comply with the Australian Qualifications Framework.
- 2.11 Training product means AQF qualification, skill set, unit of competency, accredited short course and module.
- 2.12 An education agent refers to an entity (in or outside Australia) that
- vii. Engages in any of the following activities in relation to a provider:
    - A. The recruitment of overseas students, or intending overseas students;
    - B. providing information, advice or assistance to overseas students, or intending overseas students, in relation to enrolment;
    - C. otherwise dealing with overseas students, or intending overseas students; and
  - viii. is not a permanent full-time or part-time officer or employee of the Institute.
- 2.13 Agent Agreement refers to the agreement between the Institute and the agent, including the schedules.
- 2.14 CRICOS refers to the Commonwealth Register of Institutions and Courses for Overseas Students.

- 2.15 ESOS Act refers to the *Education Services for Overseas Students Act 2000 of the Commonwealth of Australia*.
- 2.16 National Code refers to the *National Code of Practice for Providers of Education and Training to Overseas Students 2018*.
- 2.17 Prospective student/applicant/client refers to a person who intends to become, or who has taken any steps towards becoming, an 'overseas student' or 'intending overseas student' as defined by the *ESOS Act*.
- 2.18 DHA refers to the Department of Home Affairs.
- 2.19 OSHC refers to the Overseas Student Health Cover.
- 2.20 eCoE refers to the electronic Confirmation of Enrolment.
- 2.21 2025 Standards for RTOs refers to the *National Vocational Education and Training Regulator (Outcome Standards for NVR Registered Training Organisations) Instrument 2025*.

### **3. Policy**

- 3.1 **Quality review of assessment:** The Outcome Standards for RTOs specify that validation of assessment practices and judgements is required to ensure the assessment system consistently produces valid assessment judgements that are consistent with the training product and the requirements of these Standards. This aligns with identifying assessment validation as a quality review process, i.e., the ongoing monitoring of an activity, rather than a quality control process, which examines something before its release or implementation. This is an important facet of the model adopted in this policy and the requirements of the Outcome Standards for RTOs. We are not just validating the arrangements for assessment, but also the actual conduct of assessment and the outcomes produced.
- 3.2 **Preparing the Assessment Validation Plan using a risk-based approach:** The Outcome Standards for RTOs require us to validate all training products within our scope of registration at least once every five (5) years, informed by risks to training

outcomes, any changes to the training product, and feedback from VET students, trainers, assessors, and industry. A risk-based approach is used to determine which component of the training product to validate and the sample size for assessments. The Training Manager is to analyse, in consultation with Trainers, to identify training products which are flagged as high risk. This information will be used to inform the development of the Assessment Validation Plan. Where training products are identified as 'high risk', we will schedule assessment validation for these products to occur more frequently as an appropriate risk control. Risk factors may include, but are not limited to:

- i. The use of new assessment processes or tools
- ii. Training products (or units of competency contained within a course) where safety is a concern
- iii. The use of new or less experienced assessor/s
- iv. Changes in technology, workplace processes, legislation, and/or licensing requirements
- v. Negative feedback from students, trainers and assessors
- vi. High-volume training products

**3.3 Selecting units of competency:** As outlined within the definitions, a training product can include a qualification, a skill set or a unit of competency. The basis for conducting assessment validation is the unit of competency, as it is the assessment outcome that is being validated. This means that when validating qualifications and skill sets, we are validating a sample of the units of competency within those training products and not all units of competency. The Institute is to validate at least two units of competency for each qualification. Therefore, the units of competency to be included within the Assessment Validation Plan are as follows:

- i. 2 x units of competency from each qualification on the explicit scope of registration, and
- ii. All units of competency that are listed in the explicit scope of registration.

- 3.4 **Selecting units of competency:** When selecting units of competency to serve as the basis for validating each training product, we must focus on those that are indicative of the qualification being trained and assessed. We should generally avoid generic or soft units of competency. As an example, if we are validating a qualification in carpentry, it is preferable that the validation focus on units of competency that involve carpentry skills, taking into account the risk-based approach. It is not recommended that we focus on units of competency that involve more generic skills, such as communication or teamwork. This is not to say that these skills are not important; however, it is well accepted that assessment is more difficult, and therefore, this should be the focus of selecting units of competency.
- 3.5 **Selecting units of competency:** We should also avoid selecting the same unit of competency across multiple training products. Whilst this may seem efficient, it is counter-productive to the overall purpose of conducting the assessment validation and achieving the best possible outcome. The selection of units of competency should be informed by industry consultation and the risk-based approach. In preparing the Assessment Validation Plan, it should be avoided to validate the same unit of competency across multiple qualifications.
- 3.6 **Documenting the Assessment Validation Plan:** The Calendar of Assurance Activities schedules regular assessment validation activities. Assessment validation findings are to be recorded on the Assessment Validation Record, and outcomes are to be raised as opportunities for improvement. This allows the outcomes of assessment validation to be addressed systematically and monitored through to completion. The assessment validation plan is a document that identifies:
- i. Which training product is being validated?
  - ii. Who will lead the validation activities?
  - iii. Participants assisting in the validation activities.
  - iv. The date on which the assessment validation will occur.
- 3.7 **Documenting the Assessment Validation Plan:** The Training Manager is to identify a sample of training products in consultation with Trainers and prepare a draft

Assessment Validation Plan for approval by the CEO. The Assessment Validation Plan is a five-year plan and should clearly identify the training products to be validated each quarter, taking into account the associated risks of the sampled training products. Once the CEO approves the Assessment Validation Plan, it is to be published to inform all relevant staff.

- 3.8 **Documenting the Assessment Validation Plan:** The Assessment Validation Plan is a dynamic document and will need to be updated periodically as the scope of registration changes, training product risk ratings change, the level of activity for sampled training products, dates need to be amended, and personnel allocated to participate in validation activities also change. The Training Manager is responsible for maintaining the Assessment Validation Plan.
- 3.9 **Scheduling validation activities:** The basis for determining when each training product will be validated should be informed by the Assessment Validation Plan and the Calendar of Assurance Activities. As the assessment validation model is a quality review process, it is not possible to validate a training product that has not been delivered. It should be noted that all training products must undergo pre-assessment validation. If there is no delivery of particular training products within the scope of registration, post-assessment validation is not necessary. A 6-month delivery period is ideal for capturing a sample of completed assessments and determining an appropriate sample size. This means that training products should ideally be scheduled for validation 6 months after the training product delivery commenced. Assessment validation activities are ideally to occur at least once each quarter in accordance with the Calendar of Assurance Activities. Additional validation activities may be scheduled for high-risk training products.
- 3.10 **Retaining records to support future validation activities:** The establishment of the Assessment Validation Plan must inform the retention of student assessment items to ensure that a valid sample size is available for scheduled assessment validation activities. This period of retention may be contrary to the record retention policy; however, once the selection of units of competency and training products is established, arrangements must be made to ensure that the completed student

assessment items are available for the planned future assessment validation activity.

**3.11 Selecting or nominating persons to participate in assessment validation**

**activities:** To conduct validation in relation to any training product (except the TAE training product), at least one of the people undertaking the validation must have one of the following training and assessment validation credentials:

- i. TAE40122 Certificate IV in Training and Assessment or its successor,
- ii. TAE40116 Certificate IV in Training and Assessment,
- iii. TAE40110 Certificate IV in Training and Assessment,
- iv. A secondary teaching qualification and TAESS00024 VET Delivered to School Students Teacher Enhancement Skill Set or its successor,
- v. TAESS00019 Assessor Skill Set or its successor,
- vi. TAESS00011 Assessor Skill Set,
- vii. TAESS00001 Assessor Skill Set, or
- viii. A diploma or higher-level qualification in adult education or vocational education and training.

**3.12 Selecting or nominating persons to participate in assessment validation**

**activities:** Persons selected to conduct assessment validation must collectively hold the vocational competencies and current industry skills relevant to the assessment being validated. Persons must also be competent in training and assessment. This requirement for both vocational and training and assessment competency must be verified before persons are nominated on the assessment validation plan. Where the person involved in validation is not a trainer employed by the RTO, evidence relied on to determine competency should be retained on file with the validation records.

**3.13 Selecting or nominating persons to participate in assessment validation**

**activities:** The involvement of industry representatives or subject matter experts is encouraged. These participants will need to be supported by a member of the assessment validation team who is competent in competency-based training and

assessment. Industry representatives provide valuable insight, particularly regarding the validity of the assessment tasks.

**3.14 Selecting or nominating persons to participate in assessment validation**

**activities:** Validation outcomes must not be determined solely by those who designed or delivered the assessment for the relevant training product. This is an important integrity mechanism that must ensure the assessment validation outcomes are informed by participant input and are not affected by bias. The preferred composition of an assessment validation team is as follows:

- i. 1 x lead validator who holds the required competency, is without bias and is experienced at facilitating robust discussions and negotiating consensus.
- ii. 1 x validator who holds the required competency, may have designed or delivered the unit of competency and has a positive interest in improving the quality and consistency of assessment.
- iii. 1 x industry representative who is the subject matter expert in the performance of the task relevant to the units of competency.

**3.15 Calculating a valid sample size:** Assessment sampling involves choosing a valid sample of completed student assessments. The selection of completed student assessment items should be informed by using the following criteria:

- i. The assessment work of a range of students in the selected program.
- ii. The assessment work of a range of assessors across different sites.
- iii. The assessment work reflects the diversity of the current delivery model.
- iv. The sample size reflects the level of risk of the training product.

**3.16 Calculating a valid sample size:** Equally, the sample size must be large enough that the validation outcomes can be applied to the entire sample applicable to the unit of competency being validated. When calculating a sample size, the lead validator may choose to use the sample size calculator provided by ASQA at the following website: <https://www.asqa.gov.au/resources/tools/validation-sample-size-calculator>. This

calculator is to be used by entering the number of assessment judgements that have occurred for a particular unit of competency over the last 12-month period. The settings for the error percentage (15%) and the confidence level (95%) are recommended to remain at their pre-set levels. The resulting sample size is to be used as the basis for selecting completed student assessment items from student records and the archive. These documents will be accessed and collated, ready for the assessment validation activity. It is ideal that these documents only include the assessment records relevant to the units of competency being validated. If unnecessary documents are presented to the assessment validation team, it will simply impede their progress, and the required outcomes may not be achieved.

- 3.17 **Calculating a valid sample size:** Alternatively, the lead validator may choose to use the following Sample Size table, which provides a recommended sample size based on the number of judgments that have occurred in the previous six months:

| Number of Assessment Judgements | Recommended Sample Size |
|---------------------------------|-------------------------|
| 5-15                            | 12                      |
| 16-20                           | 14                      |
| 21-25                           | 17                      |
| 26-30                           | 18                      |
| 31-35                           | 20                      |
| 36-40                           | 21                      |
| 41-45                           | 23                      |
| 46-50                           | 24                      |
| 51-60                           | 25                      |
| 61-70                           | 27                      |
| 71-80                           | 28                      |
| 81-90                           | 30                      |
| 91-100                          | 31                      |
| 101 - 125                       | 33                      |
| 125 -150                        | 34                      |
| 151-175                         | 35                      |

|           |    |
|-----------|----|
| 176-200   | 36 |
| 201 – 225 | 37 |
| 226 – 250 | 37 |
| 251-275   | 38 |
| 276-300   | 38 |

- 3.18 **Validating the selected unit of competency:** When planning the assessment validation session, it is recommended that the session focus on only one unit of competency. Where a unit of competency is included within a clustered assessment design, the unit of competency remains the focus of the assessment validation. Additional assessment tasks included in the clustered assessment that do not relate to the selected unit of competency should be ignored. The assessment validation must focus on the requirements of the selected unit of competency.
- 3.19 **Conducting assessment validation remotely:** Assessment validation activities may be conducted via teleconference or in person. Ideally, these activities are conducted face-to-face to enable better interaction and discussion; however, this should not be a barrier to continuing the assessment validation schedule.
- 3.20 **Retention of assessment validation records:** The lead validator will ensure that all assessment validation records are securely retained and are accessible. Complete validation records must be retained securely for at least five (5) years. This includes retaining evidence of:
- The details of the person leading and participating in the validation activities (including their qualifications, skills and knowledge).
  - Details of the sampled training product.
  - Details of the sampled student's completed assessment records.
  - The completed Post-assessment Validation Checklist was completed by all participants, and the central record was created as an outcome.
  - Copies of any Continuous Improvement Reports that were raised based on the assessment validation outcomes.

- vi. Details of the rationale used to select the sampled training product and the valid sample size.

#### 4. Measures

- 4.1 The Institute collects and stores personal and sensitive information on our students and industry clients. In

| Steps                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Person/s responsible |
|-----------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
| <b>Post-assessment validation</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                      |
| i.                                | <p><b>Plan Assessment Validation.</b> Prepare an Assessment Validation Plan using the risk-based approach that identifies when assessment validation will occur, which training products will be the focus of the validation, who will lead and participate in validation activities, and how frequently these validation activities will occur.</p>                                                                                                                                                                                                                                                                                                                                                                                          | Training Manager     |
| ii.                               | <p><b>Confirm participants and schedule the validation.</b> The lead validator will actively plan for scheduled assessment validation activities by organising a venue, liaising with participants, and arranging relevant documentation and evidence.</p> <p>Based on the Assessment Validation Plan, an event will be scheduled to identify the training product and units of competency to be validated, the time and place for the meeting, and who is designated to lead and assist with the validation.</p> <p>The lead validator should organise and send a reminder email to those identified to participate in the assessment validation event at least 1 month before the event. It is ideal that the lead validator personally</p> | Training Manager     |

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|      | contact any identified industry representatives or subject-matter experts to facilitate their participation positively.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                  |
| iii. | <p><b>Compile and distribute documentation and validation samples.</b></p> <p>The lead validator will plan the day and begin to gather the required documentation and validation samples. This will include:</p> <ul style="list-style-type: none"> <li>– the complete assessment tools and resources for the subject unit of competency (i.e. the assessment book, marking guide, assessor instructions, observation checklists, third-party reports and logbooks if relevant),</li> <li>– any available assessment mapping for the subject unit of competency,</li> <li>– relevant references relating to the unit requirements (including the reference information listed for the unit of competency on the National Register <a href="http://training.gov.au">training.gov.au</a>)</li> <li>– available data on completion rates or reassessment,</li> <li>– the relevant training and assessment strategy, and</li> <li>– The selected valid sample of completed student assessment items.</li> </ul> <p>Each participant will be provided a complete set of assessment tools and resources for the nominated training product. This will allow each participant to make their own notes and refer to the resources individually.</p> | Training Manager |
| iv.  | <p><b>Conduct assessment validation.</b> Participants will gather for the assessment validation activity. Each participant will be issued the assessment tools, resources and an equal number of sampled</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Training Manager |

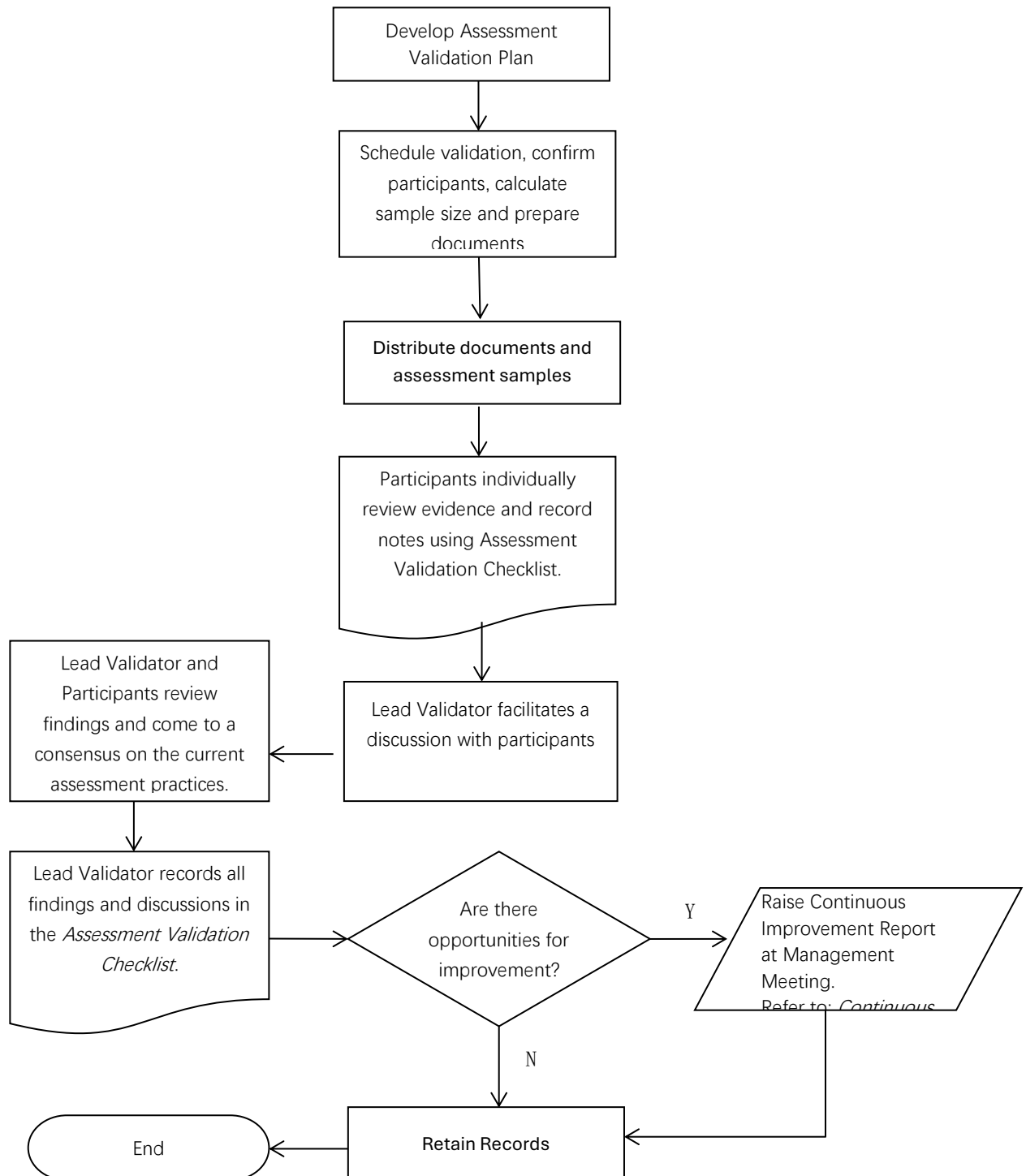
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|  | <p>completed student assessments.</p> <p>The lead validator will brief the participants on;</p> <ul style="list-style-type: none"> <li>• The purpose of the validation is to evaluate a sample of completed assessments within a training product after the use of the assessment system to determine whether it has achieved consistent and valid assessment outcomes, regardless of who made the assessment judgments.</li> <li>• The assessment validation process</li> <li>• involves the use of the <i>Post-Assessment Validation Checklist</i> and the criteria it comprises, which need to be addressed.</li> </ul> <p>At the beginning of the activity, each participant should be allocated an hour or two to individually review the assessment tools and resources, the training and assessment strategy and their allocated sample of completed student assessment items relevant to the training product being validated. During this time, each participant will make their own notes against the criteria within the assessment validation tool. Whilst this is a time for individual review, it is acceptable for participants to ask each other questions and exchange views about the assessment and the evidence they are reviewing. At the end of this initial period, it is expected that each participant will have formed their own views, recorded their notes in an assessment validation tool, and be ready to contribute to a group discussion.</p> <p>The assessment validation team must determine whether the assessment sample is valid, reliable, sufficient, current and authentic. The <i>Post-Assessment Validation Checklist</i> is to be used by the RTO and validators. The Assessment Validation Checklist identifies whether the assessment:</p> |  |
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|    | <ul style="list-style-type: none"> <li>▪ is compliant with training product requirements</li> <li>▪ adheres to the principles of assessment: fairness, flexibility, validity and reliability</li> <li>▪ produces valid, sufficient, authentic and current evidence</li> <li>▪ meets industry requirements and reflects real work-based environments</li> <li>▪ assesses the right level of difficulty aligned with the skills and knowledge requirements of the unit of competency</li> <li>▪ includes assessment instructions that are clearly explained, logically structured</li> <li>▪ provides adequate benchmarks for assessment</li> <li>▪ identifies areas for improvement</li> </ul> <p>The lead validator will facilitate a discussion on the assessment of the training product, following the points identified in the <i>Post-assessment Validation Checklist</i>. This is to provide an opportunity for participants and the lead validator to exchange views and reach consensus on the current assessment practice and its areas for improvement.</p> |                  |
| v. | <p><b>Record findings.</b> The lead validator will note the discussion points. They will summarise the collective findings and identify areas for improvement to the assessment arrangements relevant to the training product being validated, and record these in the final Assessment Validation Checklist. The completed Assessment Validation Checklist will become the official record of validation activity.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Training Manager |

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|      | <p>The final assessment validation tool will record the details of all evidence reviewed, including the assessment sample and the names of those who participated in the assessment validation.</p> <p>Note: Any suggested improvements to the assessment arrangement must be clearly stated so that the original intent of the improvement carries through to the continuous improvement process. The assessment validation record must be fully completed, including recording the details of those who participated, the sample size, and the student assessment records that were validated.</p>                                                                                                                               |                  |
| vi.  | <p><b>Raise and Implement Continuous Improvements.</b> The lead validator is responsible for raising a Continuous Improvement Report for consideration at the next management meeting. Opportunities for improving the assessment system will then be considered and implemented systematically.</p>                                                                                                                                                                                                                                                                                                                                                                                                                               | Training Manager |
| vii. | <p><b>Retain validation records.</b> The lead validator will ensure that all assessment validation records are securely retained and are accessible. Complete validation records must be retained securely for at least 5 years. This includes retaining evidence of:</p> <ul style="list-style-type: none"> <li>– the details of the person leading and participating in the validation activities (including their qualifications, skills and knowledge)</li> <li>– details of the sampled training product</li> <li>– Details of the sampled student's completed assessment records</li> <li>– The completed Post-assessment Validation Checklist was completed by all participants, and the central record that was</li> </ul> | Training Manager |

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|  | <p>created as an outcome</p> <ul style="list-style-type: none"><li>– copies of any Continuous Improvement Reports that were raised based on the assessment validation outcomes</li><li>– Details of the rationale used to select the sampled training product and the valid sample size</li></ul> |  |
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## 5. Flow chart



## VERSION HISTORY

| Version Number | Date           | Summary of changes                                                                                                  |
|----------------|----------------|---------------------------------------------------------------------------------------------------------------------|
| 1.0            | September 2021 | New policy                                                                                                          |
| 2.0            | July 2025      | Revised and updated to include the changes according to the Standards for Registered Training Organisations (2025). |
| 3.0            | December 2025  | Revised and updated to include the changes according to the ESOS 2000 Act.                                          |