

## Validation and Moderation Policy and Checklist

This document provides the tools required to document Holmes Institute's validation and moderation process.

The following procedure will ensure the Institute:

- validates each training product on the scope of registration at least once every five years.
- has developed a validation plan to complete 50% of the training products in the first three years.
- will validate certain training products more often where risks have been identified.
- will choose validators who are independent of the delivery and assessment of the training product being validated and the assessment judgements been undertaken to maintain professional distance and integrity.
- will engage people with the appropriate vocational qualifications, current industry skills and knowledge with a current training and assessment qualification or Trainer/Assessor skill set and current knowledge and skills in a vocational teaching and learning environment.

The validation process occurs in a systematic and consistent manner and appropriate evidence of the validation activities are maintained in accordance with the SRTOs 2015, Standard 1, and Clause 1.9 – 1.11.

Validation is a quality review process. It involves checking that the assessment tool produces valid, reliable, sufficient, current, and authentic evidence to enable reasonable judgements of competency to be made. The validation processes will review the assessment instruments and related documents to identify if any further changes are required to improve the quality and consistency of assessment outcomes.

Moderation is 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 Trainer/Assessor judgements are made to overcome differences in the difficulty of the tool and/or the severity of judgements.

Type of activity <i>Please tick</i>	<input checked="" type="checkbox"/>	Print Code	Activity Name
Program Validation	<input type="checkbox"/>		
Assessment Validation	<input type="checkbox"/>		
Assessment Moderation	<input type="checkbox"/>		

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# Document Map

SECTION 1: Program Validation				
Form	Page	Title	Responsibility for Completion	Purpose
1.A	7	Program Validation Cover Sheet	Trainer/Trainer/Assessor	Provides an overview of the validation meeting purpose and logistical requirements for panel preparation.
1.B	9	Program Validation Criteria Checklist	Trainer/Trainer/Assessor and Panel	Outlines the Criterion under which the Program is to be assessed.
1.C	11	Record of Panel Findings and Recommendations	Trainer/Trainer/Assessor and Panel	Records recommendations for improvement and outlines
SECTION 2: Assessment Validation				
2.A	13	Validation Cover Sheet	Trainer/Trainer/Assessor	Provides an overview of the validation meeting purpose and logistical requirements for panel preparation.
2.B	14	Validation Criteria Checklist	Trainer/Trainer/Assessor and Panel	Outlines the Criterion under which the Assessment Tool is to be assessed.
2.C	16	Record of Panel Findings and Recommendations	Trainer/Trainer/Assessor and Panel	Records recommendations for improvement and outlines strategies for implementation.
SECTION 3: Assessment Moderation				
3.A	18	Moderation Cover Sheet	Trainer/Trainer/Assessor	Provides an overview of the moderation meeting purpose and logistical requirements for panel preparation.
3.B	19	Coding Form	Trainer/Trainer/Assessor	To ensure confidentiality of assessment tool and/or judged students evidence; must have identifiers removed and replaced with codes. This form provides the link between the original item identifiers and that of the codes.
3.C	20	Assessment Material Cover Sheet	Trainer/Trainer/Assessor	Provides relevant background information including identification code, unit of competence, Trainer/Assessor judgement and supporting materials.
3.D	21	Moderation Criteria Checklist	Trainer/Trainer/Assessor and Panel	Outlines the Criterion under which the Assessment Tool and Assessment Evidence is to be assessed.
3.E	22	Record of Panel Findings and Recommendations	Trainer/Trainer/Assessor and Panel	Records recommendations for improvement and outlines
Appendices				
A.1	25	Appendix 1 - Attendance and Confidentiality Form	Trainer/Trainer/Assessor	This form is to record attendance and obtain written agreement of validation/moderation participants regarding confidentiality.
A.2	26	Appendix 2 - Competency Mapping Tool	Trainer/Trainer/Assessor	This competency mapping tool is to be completed by the Trainer/Trainer/Assessor when a competency map is not prepared by the assessment developer. The competency mapping tool is attached to the assessment tool for each Unit of Competency being sampled by the participants of validation/moderation panel. It is to be submitted as evidence of what is reviewed. <b>* A copy should be given to participants prior to validation/moderation meeting.</b>
A3	27	Appendix 3 - Validation Schedule	Trainer/Trainer/Assessor	This Validation Schedule is to be completed by the Trainer/Trainer/Assessor and used to document and plan the validation process. The schedule is to be submitted to management as evidence, and for planning purposes.

# SECTION 1: PROGRAM VALIDATION

## PROGRAM VALIDATION AND MODERATION FLOW CHART



# 1 A. PROGRAM VALIDATION COVER SHEET

## Panel Instructions:

This cover sheet is to be completed by the validation Trainer/Trainer/Assessor and attached to the training and assessment strategy for the Program being validated. The form is retained at the end of the meeting and submitted as evidence of the completed validation activity.

A copy should be given to participants of the validation panel prior to the validation meeting.

COVER SHEET			
<b>Relevant Program</b>	Code: Name:		
<b>Purpose of validation</b>	<input type="checkbox"/> New addition to scope <input type="checkbox"/> New Cohort <input type="checkbox"/> Assessment tools <input type="checkbox"/> Student work <input type="checkbox"/> Other		
<b>Validation meeting methodology</b>	<input type="checkbox"/> Face-to-face meeting <input type="checkbox"/> Telephone or on-line chat <input type="checkbox"/> Other: _____		
<b>Meeting location</b>			
<b>Meeting date, time &amp; length</b>			
<b>Name of validation Trainer/Assessor</b>			
<b>Names of validation panel participants</b>			
<b>Resources needed</b> (to be prepared by validation Trainer/Trainer/Assessor)	<p>The following documents are to be prepared by the validation Trainer/Trainer/Assessor, attached or enclosed with this cover sheet and given to panel 1 week prior validation meeting:</p> <input type="checkbox"/> Program Training and assessment strategy <input type="checkbox"/> Program schedule <input type="checkbox"/> Copy of Qualification packaging rules <input type="checkbox"/> Assessment Competency Mapping Tool <input type="checkbox"/> Form 1.B Program Validation Criteria Checklist <p>The following documents are to be completed by the validation Trainer/Trainer/Assessor in collaboration with panel during the validation meeting:</p> <input type="checkbox"/> Form 1.B Validation Criteria Checklist <input type="checkbox"/> Form 1.C Record of Feedback, Results and Recommendations <input type="checkbox"/> Form A.1 Attendance and confidentiality		
<b>Preparation required prior to validation meeting</b>	<b>Trainer/Trainer/Assessor</b> Prepare and circulate copies of documents to panel prior to validation meeting.	<b>Other participants</b> 1. Review documents 2. Form preliminary opinions—make notes	
<b>Reporting procedure</b>	<p>The following documents are to be completed, attached and submitted to XXXXXXXXX by the validation Trainer/Trainer/Assessor within one (1) week of validation meeting:</p> <input type="checkbox"/> Assessment Tool validated <input type="checkbox"/> Competency Mapping Tool <input type="checkbox"/> Relevant Unit of Competency <input type="checkbox"/> Form 2.B Validation Criteria Checklist <input type="checkbox"/> Form 2.C Record of Feedback, Results and Recommendations <input type="checkbox"/> Form A.1 Attendance and confidentiality		

## 1B. PROGRAM VALIDATION CRITERIA CHECKLIST

### Panel Instructions

This checklist is to be completed by the validation Trainer/Assessor in collaboration with the validation panel during the validation meeting. It is to be attached to the training and assessment strategy for the Program being examined by the panel and is retained at the end of the meeting and submitted as evidence of activity completion. A copy should be given to validation participants prior to validation meeting.

VALIDATION CRITERIA CHECKLIST				
<b>1. COMPLIANCE</b>				
Criteria - Does/is the training and assessment strategy:		Yes	No	Comments
1.1	<b>Clearly identify qualification and units by code and title?</b>			
1.2	<b>Follow qualification packaging rules</b> • Correct core units • Correct number and combination of elective units			
1.3	<b>Content set at the correct qualification level.</b>			
1.4	<b>Content addresses the performance and knowledge evidence as outlined within the selected units of competence.</b>			
1.5	<b>Formative and summative evaluation and review strategy included.</b>			
<b>2. FLEXIBILITY and CLIENT FOCUS</b>				
2.1	<b>Contextualised to meet the needs of the target learner group.</b> • Demonstrated ability to identify and meet the special needs of participants. • Documented process for LLN assessment. • Program schedule provides a realistic timeframe for learning and completion of assessment tasks • Uses relevant, real work activities as the basis for learning and assessment tasks, where possible. • Students have the opportunity to base assessment tasks on a simulated work scenario. • Environment and context meet specific cohort requirements.			
2.2	<b>Reflect adult learning principles?</b> • Design inclusive of active participation and experimental learning. • Include a variety of delivery methodologies to meet individual learning needs/ styles. • Provide meaning and industry relevance.		<input type="checkbox"/>	
2.3	<b>Contain evidence of industry consultation.</b> • Collaboration plan • Meeting minutes • Emails			

## VALIDATION CRITERIA CHECKLIST

### 3. RELIABILITY

Criteria - Does/is the training and assessment strategy:

		Yes	No	Comments
2.1	<b>Clear:</b> <ul style="list-style-type: none"> <li>• Clear &amp; complete learning schedule &amp; agenda for Trainer/Assessors</li> <li>• Clear &amp; complete schedule and instructions for students</li> <li>• Version control clearly shown</li> </ul>			
2.2	<b>Suitable and streamlined:</b> <ul style="list-style-type: none"> <li>• Contain formative and summative assessment tasks</li> <li>• Evidence gathered using a range of assessment methods</li> <li>• Evidence is gathered in the holistic performance of work place tasks</li> <li>• Conditions of assessment addressed through the assessment methodology.</li> </ul>			

## 1C. RECORD OF PANEL FINDINGS AND RECOMMENDATIONS

### Panel Instructions

This record is to be completed by the validation Trainer/Trainer/Assessor upon reaching a consensus decision with the validation panel. It is used to record any recommendations for improvement and outlines how changes could be implemented. It is to be attached to the training and assessment strategy for the Program being examined by the panel and is to be retained at the end of the meeting and submitted as evidence of review.

PANEL FINDINGS				
Criteria	Decision reached by panel:			Comments/Feedback
	No change	Minor change	Significant change	
1. COMPLIANCE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. FLEXIBILITY and CLIENT FOCUS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. RELIABILITY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

*Additional Comments:*




## 1C. RECORD OF PANEL FINDINGS AND RECOMMENDATIONS (CONT)

RECOMMENDATIONS FOR IMPROVEMENTS TO PROGRAM			
Action required		By whom?	By when?
1			
2			
3			
4			
5			
Signatures of validation panel			
Name		Signature	Date

Validation Trainer/Trainer/Assessor Name \_\_\_\_\_

Validation Trainer/Trainer/Assessor Signature \_\_\_\_\_

Date: \_\_\_\_\_

## SECTION 2: ASSESSMENT VALIDATION

### 2.A VALIDATION COVER SHEET

#### Panel Instructions

This cover sheet is to be completed by the validation Trainer/Trainer/Assessor and attached to the assessment tool for each Unit of Competency being validated. Form is retained at the end of the meeting and submitted as evidence of review.

A copy should be given to participants of the validation panel prior to the validation meeting.

COVER SHEET		
<b>Relevant unit of competency</b>		
<b>Purpose of validation</b>	<input type="checkbox"/> At the development stage <input type="checkbox"/> Post assessment <input type="checkbox"/> Pre assessment <input type="checkbox"/> Other <input type="checkbox"/> During assessment	
<b>Validation meeting methodology</b>	<input type="checkbox"/> Face-to-face meeting <input type="checkbox"/> Other: _____ <input type="checkbox"/> Telephone or on-line chat	
<b>Meeting location</b>		
<b>Meeting date, time &amp; length</b>		
<b>Name of validation Trainer/Trainer/Assessor</b>		
<b>Names of validation panel participants</b>		
<b>Resources needed</b> (to be prepared by validation Trainer/Trainer/Assessor)	<p>The following documents are to be prepared by the validation Trainer/Trainer/Assessor, attached or enclosed with this cover sheet and given to panel 1 week prior validation meeting:</p> <input type="checkbox"/> Assessment Tool <input type="checkbox"/> Competency Mapping Tool Program/Unit <input type="checkbox"/> Relevant Unit of Competency <input type="checkbox"/> Form 2.B Validation Criteria Checklist <p>The following documents are to be completed by the validation Trainer/Trainer/Assessor in collaboration with panel during the validation meeting.</p> <input type="checkbox"/> Form 2.B Validation Criteria Checklist <input type="checkbox"/> Form 2.C Record of Feedback, Results and Recommendations <input type="checkbox"/> Form A.1 Attendance and confidentiality	
<b>Preparation required prior to validation meeting</b>	<b>Trainer/Trainer/Assessor</b> - Prepare and circulate copies of documents to panel prior to validation meeting.	<b>Other participants</b> 1. Review documents 2. Form preliminary opinions—make notes
<b>Reporting procedure</b>	<p>The following documents are to be completed, attached and submitted to the National VET Program Manager by the validation Trainer/Trainer/Assessor within one (1) week of validation meeting:</p> <input type="checkbox"/> Assessment Tool validated <input type="checkbox"/> Competency Mapping Tool <input type="checkbox"/> Relevant Unit of Competency <input type="checkbox"/> Form 2.B Validation Criteria Checklist <input type="checkbox"/> Form 2.C Record of Feedback, Results and Recommendations <input type="checkbox"/> Form A.1 Attendance and confidentiality	

## 2. B VALIDATION CRITERIA CHECKLIST

### Panel Instructions

The checklist is to be completed by the validation Trainer/Trainer/Assessor in collaboration with the validation panel during the validation meeting. It is to be attached to the assessment tool for each Unit of Competency being examined by the panel and is to be retained at the end of the meeting and submitted as evidence of review. A copy should be given to validation participants prior to validation meeting.

VALIDATION CRITERIA CHECKLIST				
<b>1. COMPLIANCE</b>				
Criteria—Does/is the assessment tool:		Yes	No	Comments
1.1	Clearly identify units assessed by code and title?	<input type="checkbox"/>	<input type="checkbox"/>	
1.2	<b>Address all aspects of the competency standard/s assessed:</b> <ul style="list-style-type: none"> <li>• Elements and performance criteria</li> <li>• Critical aspects of evidence and evidence required</li> <li>• Required knowledge and skills?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
1.3	<b>Reflect the dimensions of competence (i.e. reflect realistic working conditions):</b> <ul style="list-style-type: none"> <li>• Task skills</li> <li>• Task management skills</li> <li>• Contingency management skills</li> <li>• Job / role environment skills?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
1.4	<b>Reflect the Rules of Evidence:</b> • Valid <ul style="list-style-type: none"> <li>• Sufficient</li> <li>• Current</li> <li>• Authentic</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
1.5	Assessed at the correct AQF level?	<input type="checkbox"/>	<input type="checkbox"/>	
<b>2. FLEXIBILITY and CLIENT FOCUS</b>				
2.1	In their current wording, <b>offer students flexibility</b> in terms of how each task may be approached: <ul style="list-style-type: none"> <li>• Using relevant, real work activities as the basis for assessment tasks, where possible.</li> <li>• Do students have the opportunity to base assessment tasks on a simulated work scenario?</li> <li>• Utilisation of standardised range statement.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
2.2	<b>Reflect adult learning principles:</b> <ul style="list-style-type: none"> <li>• active participation and experimental learning</li> <li>• building frameworks</li> <li>• meaning and relevance</li> <li>• Holistic and multi-sensory learning?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>3 RELIABILITY</b>				
Criteria—Does/is the assessment tool:		Yes	No	Comments

## VALIDATION CRITERIA CHECKLIST

3.1	<b>Clear:</b> <ul style="list-style-type: none"> <li>• Clear &amp; complete instructions for Trainer/Assessors</li> <li>• Clear &amp; complete instructions for students</li> <li>• Version control clearly shown?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
3.2	<b>Address administrative requirements:</b> <ul style="list-style-type: none"> <li>• Have space to document: <ul style="list-style-type: none"> <li>– Name of Trainer/Assessor/s &amp; students/s</li> <li>– assessment date/s and location/s</li> <li>– students's written consent to be assessed</li> <li>– quality of evidence gathered</li> <li>– assessment results.</li> </ul> </li> <li>• Code &amp; title of the unit/s clearly displayed</li> <li>• Enable easy administration and ensures compliance</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
3.3	<b>Suitable and streamlined:</b> <ul style="list-style-type: none"> <li>• Contain holistic activities</li> <li>• Enable efficient evidence-gathering activities?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>4. FOUNDATION SKILLS</b>				
4.1	Does the assessment tool address Foundation Skills as relevant to the unit/s: <ul style="list-style-type: none"> <li>• Learning</li> <li>• Reading</li> <li>• Writing</li> <li>• Oral communication</li> <li>• Numeracy</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	•
<b>5. RULES OF EVIDENCE AND THE PRINCIPLES OF ASSESSMENT &amp; DIMENSIONS OF COMPETENCY</b>				
5.1	<b>Does the assessment tool reflect the Rules of Evidence and The Principles of Assessment:</b> <ul style="list-style-type: none"> <li>• validity, sufficiency, authenticity, currency</li> <li>• fairness, flexibility, validity, reliability</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
5.2	<b>Does the assessment tool reflect the four Dimensions of Competency:</b> <ul style="list-style-type: none"> <li>• Task Skills</li> <li>• Task management skills</li> <li>• Contingency management skills</li> <li>• Job/role environment skills</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	•

## 2.C RECORD OF PANEL FINDINGS AND RECOMMENDATIONS

### Panel Instructions

This record is to be completed by the validation Trainer/Trainer/Assessor upon reaching a consensus decision with the validation panel. It is used to record recommendations for improvement and outlines how changes could be implemented. It attached to the assessment tool for each Unit of Competency being examined by the panel and is to be retained at the end of the meeting and submitted as evidence review.

PANEL FINDINGS				
Criteria	Decision reached by panel:			Comments/Feedback
	No change	Minor change	Significant change	
1. COMPLIANCE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. FLEXIBILITY and CLIENT FOCUS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. RELIABILITY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. FOUNDATION SKILLS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. RULES OF EVIDENCE AND THE PRINCIPLES OF ASSESSMENT & DIMENSIONS OF COMPETENCY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

*Additional Comments:*


## 2. C RECORD OF PANEL FINDINGS AND RECOMMENDATIONS (CONT)

RECOMMENDATIONS FOR IMPROVEMENTS TO PROGRAM			
	Action required	By whom?	By when?
1			
2			
3			
4			
5			
Signatures of validation panel			
	Name	Signature	Date

Validation Trainer/Trainer/Assessor Name \_\_\_\_\_

Validation Trainer/Trainer/Assessor Signature \_\_\_\_\_

Date: \_\_\_\_\_

## SECTION 3: ASSESSMENT MODERATION

### 3. A MODERATION COVER SHEET

#### Panel Instructions

The cover sheet is to be completed by the moderation Trainer/Trainer/Assessor and attached to the assessment material cover sheets for each Unit of Competency being sampled by the participants of this moderation panel. It is to be retained at the end of the meeting and submitted as evidence of what is reviewed. A copy should be given to panel participants prior to moderation meeting.

COVERSHEET		
<b>Purpose of moderation meeting</b>	<input type="checkbox"/> New Program <input type="checkbox"/> Industry consultation	<input type="checkbox"/> Review <input type="checkbox"/> Other:
<b>Relevant unit of competency</b>	<b>Unit Code</b>	<b>Unit Title</b>
<b>Name of moderation Trainer/Trainer/Assessor</b>		
<b>Names of moderation panel participants</b>		
<b>Resources needed</b> (to be prepared by moderation Trainer/Trainer/Assessor)	<p>The following documents are to be prepared by the validation Trainer/Trainer/Assessor, attached or enclosed with this cover sheet and given to panel 1 week prior moderation meeting:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Form 2A, 2B and 2C</li> <li><input type="checkbox"/> Form 3.C Assessment Material Cover Sheet, and attachments:</li> <li><input type="checkbox"/> Assessment Tool</li> <li><input type="checkbox"/> Assessment marking guides</li> <li><input type="checkbox"/> Competency Mapping Tool</li> <li><input type="checkbox"/> Relevant Unit of Competency</li> <li><input type="checkbox"/> Samples of judged students evidence</li> <li><input type="checkbox"/> Supporting documents (e.g. assessment results and feedback)</li> </ul> <p><i>The following documents are to be completed by the validation Trainer/Trainer/Assessor in collaboration with panel during the validation meeting:</i></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Form 3.D Moderation Criteria Checklist</li> <li><input type="checkbox"/> Form 3.E Record of Panel Findings and Recommendations</li> <li><input type="checkbox"/> Form A.1 Attendance and confidentiality</li> </ul>	
<b>Meeting date, time &amp; length</b>		
<b>Meeting location</b>		
<b>Meeting approach</b>	<input type="checkbox"/> Face-to-face meeting <input type="checkbox"/> Telephone or on-line chat	<input type="checkbox"/> Other:
<b>Preparation required prior to moderation meeting</b>	<b>Trainer/Trainer/Assessor</b> Prepare and circulate copies of documents to panel prior to moderation meeting.	<b>Other participants</b> 1. Review documents 2. Form preliminary opinions—make

### 3. B CODING FORM

#### Panel Instructions

The moderation Trainer/Assessor is to use this form to code the items submitted as evidence.

The Trainer/Assessor is responsible for ensuring that confidentiality is maintained. To achieve this assessment tool and/or judged students evidence must have identifiers removed and replaced with codes. This form provides the link between the original item identifiers and that of the codes.

After the meeting the Trainer/Assessor can use this form to link the code back to the original identifiers and to whom the item relates to either make recommendations for improvement to future practice and/or to alter Trainer/Assessor judgements to bring standards into alignment (i.e. as an outcome of a moderation process)

This form is to be retained by the Trainer/Assessor and submitted at the end of the meeting as evidence of what is reviewed.

Moderation Group: \_\_\_\_\_

Date: \_\_\_\_\_

CODING FORM						
Identification Code	Unit of competency	Type of material (please tick)		Trainer/Assessor Name	Students Details	
		Tool	Students Work		Name	Organisation/Program ID
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			

Note: This form is to be retained by the Trainer/Assessor and is **NOT** to be given to panel members.



### 3.C ASSESSMENT MATERIAL COVER SHEET

#### Panel Instructions

The cover sheet is to be completed by the moderation Trainer/Trainer/Assessor and attached to the assessment tool with examples of student's evidence for each Unit of Competency being moderated. It is to be retained at the end of the meeting and submitted as evidence of what is reviewed.

A copy should be given to panel participants prior to moderation meeting.

ASSESSMENT MATERIAL COVER SHEET	
Identification Code	
Unit of Competency:	
Trainer/Assessor Judgement	<input type="checkbox"/> COMPETENT <input type="checkbox"/> NOT YET COMPETENT
Materials are attached or enclosed with this form	<input type="checkbox"/> Assessment Tool <input type="checkbox"/> Competency Mapping Tool <input type="checkbox"/> Relevant Unit of Competency <input type="checkbox"/> Samples of judged students evidence <input type="checkbox"/> Supporting documents (e.g. assessment results and feedback)  <i>Note:</i> All identifiers must be removed from samples of judged students evidence and supporting documents and replaced by codes (see form 3.B)  Samples of students work must address all the Unit of Competency (unless other specified).

### 3. D MODERATION CRITERIA CHECKLIST

#### Panel Instructions

The checklist is to be completed by the moderation Trainer/Trainer/Assessor in collaboration with the moderation panel during the moderation meeting. It is to be attached to the assessment tool and samples of judged student's evidence for each Unit of Competency being examined by the panel. It is to be retained at the end of the meeting and submitted as evidence of what is reviewed.

A copy should be given to panel participants prior to moderation meeting.

MODERATION CRITERIA CHECKLIST				
<b>1. ASSESSMENT PROCESS</b>				
<b>Criteria—Does/is the assessment tool:</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
1.1	<b>Validation of assessment tool completed using Form 2A, 2B and 2C</b>			
<b>2. ASSESSMENT DECISION</b>				
<b>Criteria—Does/is the assessment tool:</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
2.1	<b>Reflect an accurate assessment judgment:</b> <ul style="list-style-type: none"> <li>• Confirms the Trainer/Assessor has made a valid decision</li> <li>• Reflects industry standards?</li> </ul>			
<b>3. ASSESSMENT RECORDING AND REPORTING</b>				
<b>Criteria—Does the assessment record include:</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
3.1	<b>The assessment result?</b> (e.g. Competent or Not Yet Competent)			
3.2	<b>Include detailed feedback comments to students?</b>			
3.3	<b>Include an action plan if competency is not achieved?</b>			
3.4	<b>Give clear instructions for reporting procedures?</b>			

## PANEL FINDINGS

Criteria	Decision reached by panel:			Comments/Feedback
	No change	Minor change	Significant change	
<b>1. COMPLIANCE</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>2. FLEXIBILITY and CLIENT FOCUS</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>3. RELIABILITY</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>4. FOUNDATION SKILLS</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>5. RULES OF EVIDENCE AND THE PRINCIPLES OF ASSESSMENT &amp; DIMENSIONS OF COMPETENCY</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

### 3.E RECORD OF PANEL FINDINGS AND RECOMMENDATIONS

#### Panel Instructions

This record is to be completed by the moderation Trainer/Trainer/Assessor upon reaching a consensus decision with the panel. It is used to record any changes required, recommendations for improvement and outlines how changes could be implemented. It is attached to the assessment tool and students evidence for each Unit of Competency being examined by the panel and is to be retained at the end of the meeting and submitted as evidence of what is reviewed.

PANEL FINDINGS				
Criteria	Decision reached by panel:			Comments/Feedback
	No change	Minor change	Significant change	
1. ASSESSMENT PROCESS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. ASSESSMENT EVIDENCE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. ASSESSMENT DECISION	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. ASSESSMENT RECORDING AND REPORTING	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Overall, the panel determined the Trainer/Assessor judgements to be: (tick as many as apply)				
<input type="checkbox"/> Appropriate (no change required) <input type="checkbox"/> Expectations of assessments responses higher than AQF requirement <input type="checkbox"/> Expectations of assessments responses lower than AQF requirement <input type="checkbox"/> Unjustified <input type="checkbox"/> Other, Please explain _____				

### 3. E RECORD OF PANEL FINDINGS AND RECOMMENDATIONS (CONT)

RECOMMENDATIONS FOR IMPROVEMENTS TO TRAINER/ASSESSOR JUDGEMENT			
Action Required		By Whom?	By When?
1			
2			
3			
ADJUSTMENT TO STUDENTS RESULTS REQUIRED			
Action Required		By Whom?	By When?
1			
2			
3			
Signatures of moderation panel			
Name		Signature	Date

Moderation Trainer/Trainer/Assessor Name \_\_\_\_\_

Moderations Trainer/Trainer/Assessor Signature \_\_\_\_\_

Date: \_\_\_\_\_

# APPENDICES

## APPENDIX 1 - ATTENDANCE AND CONFIDENTIALITY FORM

**This form is to record attendance and obtain written agreement of validation/moderation participants regarding confidentiality.**

All participants in the validation/moderation panel are to sign below as acknowledgement of their attendance and agreement with the confidentiality clause.

*I agree to observe the principles of confidentiality with regard to:*

Panel: \_\_\_\_\_ Date: \_\_\_\_\_

Name	Organisation	Signature

Trainer/Trainer/Assessor Name \_\_\_\_\_

Trainer/Trainer/Assessor Signature \_\_\_\_\_

Date: \_\_\_\_\_

## APPENDIX 2 - COMPETENCY MAPPING TOOL

Provide Mapping document relevant to the unit of competency / cluster being validated.

Date	Area	Outcome/ expectation	By Whom
	Program review	Each person to review Program and give feedback; meeting to discuss changes; changes implemented into Program; ongoing process.	Management team
	Assessment tools review	Each assessment tool is reviewed and trialed; this is an ongoing process which includes student feedback at end of stages.	Management and trainers/ student feedback
	Formal validation	Full Program and assessment tools validation, see report.	
	Continuous improvement	Trainer feedback Student evaluation	To be collected as part of Program at end of stage
	Formal validation	From data and feedback evaluation of Program to date, entire Program and assessment tools validation	Management team
	End of Program review	<b>KPI</b> # students successful completion of Program # secure employment # unsuccessful, but completed Program # withdrawal with reason	Gather of data from student management system, trainer feedback
	Industry feedback	Industry feedback and review from work placement Students gain positions Would offer employment if available General industry consultation Program review	Industry contacts Work placements
	Completion of formal validation	Results from industry, student and trainer feedback As per KPI's Update Program change documents and update version	Management team



## APPENDIX 3 - VALIDATION SCHEDULE