

# Code of Professional Practice

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## Table of Contents

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<b>Use of the Code .....</b>	<b>3</b>
<b>Rationale of a Code of Professional Practice .....</b>	<b>5</b>
<b>General Responsibilities.....</b>	<b>6</b>
<b>1. Responsibilities of Those Who Develop Assessment Products and Services .....</b>	<b>7</b>
<b>2. Responsibilities of Those Who Market and Sell Assessment Products and Services .....</b>	<b>8</b>
<b>3. Responsibilities of Those Who Select Assessment Products and Services.....</b>	<b>12</b>
<b>4. Responsibilities of Those Who Administer Assessments .....</b>	<b>13</b>
<b>5. Responsibilities of Those Who mark Assessments .....</b>	<b>14</b>
<b>6. Responsibilities of Those Who Interpret, Use, and Communicate Assessment Results.....</b>	<b>15</b>
<b>7. Responsibilities of Those Who Educate Others About Competency-based Assessment.....</b>	<b>16</b>
<b>8. Responsibilities of Those Who perform quality management activities on assessments (Validation/moderation). .....</b>	<b>17</b>



## Use of the Code

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As an association dedicated to the improvement of training and evaluation practices in education, the Australian Society of Training and Development Incorporated (ASTDI) has adopted this Code to promote professionally responsible practices in educational measurement. Professionally responsible practices are conducts that arise from either the professional standards of the field, general ethical principles, or both.

The Australian VET Quality framework focuses on the quality of services and outcomes being achieved by Registered Training Organisations (RTOs) for clients; rather than the inputs used to get there. For this reason, ASTDI Code of practice focuses on assessment activities as they represent the outcome of the training/learning program.

The purpose of the Code of Professional Practice in training and Assessment, hereinafter referred to as the Code, is to guide the conduct of ASTDI's Associated Members who are involved in any area of assessment activity in education. ASTDI is also providing this Code as a public service for all individuals who are engaged in training assessment activities in the hope that these activities will be conducted in a professionally responsible manner. Persons who engage in these activities include facilitators such as Trainers/Assessors, RTO Managers, and Training Coordinators; professionals such as education psychologists and counselors; state and national technical, legislative, and policy staff in education and training; staff of research, evaluation, and testing organisations; providers of test preparation services; RTOs and university faculty and administrators; and professionals in business and industry who design and implement educational and training programs.

This Code applies to any type of assessment that occurs as part of the vocational education and training process, including formal and informal, traditional and alternative techniques for gathering assessment evidence used in making competence decisions at all levels.

Although ASTDI is promulgating this Code for its members, it strongly encourages other organisations and individuals who engage in educational assessment activities to endorse and abide by the responsibilities relevant to their professions. Because the Code pertains only to uses in vocational education and training, it is recognised that uses of assessments outside of the VET contexts, such as for employment, certification, or licensure, may involve additional professional responsibilities beyond those detailed in this Code.

The Code is intended to serve an educational function: to inform and remind those involved in training assessment of their obligations to uphold the integrity of the manner in which assessments are developed, used, evaluated, and marketed. Moreover, it is expected that the Code will stimulate thoughtful discussion of what constitutes professionally responsible assessment practice at all levels in education.



ASTDI's Associated Members accept the professional responsibilities stated in the Code, and violations to the Code may produce sanctions such as temporary or permanent loss of the "Associated" status.

Since the Code provides a frame of reference for the evaluation of the appropriateness of behavior, ASTDI recognises that the Code may be used in legal or other similar proceedings.

**ASTDI Mission**

Inspire professionals to develop knowledge and skills

**ASTDI Vision**

Develop human potential



## Rationale of a Code of Professional Practice

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ASTDI's constitutive declaration recognises the need to raise the standards and reputation of the workplace training profession and to further the professional's education and development in Australia.

In recent times, some key stakeholders have raised concerns with the quality and consistency of assessments being undertaken by Registered Training Organisations (RTOs). That is, there are some concerns that assessment standards in the VET sector are often not comparable. Ensuring the comparability of standards<sup>1</sup> has become particularly pertinent in the VET sector, as assessments can now be made across a range of contexts (e.g. vocational education, educational and industrial contexts) by a diverse range of assessors using highly contextualised performance based tasks that require professional judgment by assessors.

### *The code structure*

The Code enumerates professional responsibilities in eight major areas of assessment activity. Specifically, the Code presents the professional responsibilities of those who:

1. Develop Assessments
2. Market and Sell Assessments
3. Select Assessments
4. Administer Assessments
5. Score Assessments
6. Interpret, Use, and Communicate Assessment Results
7. Educate About Assessment
8. Responsibilities of Those Who perform quality management activities on assessments (Validation/moderation).

Although the organisation of the Code is based on the differentiation of these activities, they are viewed as highly interrelated, and those who use this Code are urged to consider the Code in its entirety.



## General Responsibilities

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The professional responsibilities promulgated in this Code in eight major areas of assessment activity are based on expectations that ASTDI members involved in educational assessment will:

1. Protect the health and safety of all candidates;
2. Be knowledgeable about, and behave in compliance with, the National VET Regulations, Training Packages and other state and federal laws relevant to the conduct of professional activities;
3. Provide training/assessment services only in areas of their competence and experience, affording full disclosure of their professional qualifications;
4. Maintain current industry skills directly relevant to the training/assessment being undertaken;
5. Have the necessary training and assessment competencies as determined by the National Skills Standards Council (NSSC).
6. Continue to develop their Vocational Education and Training (VET) Knowledge and skills. Promote the understanding of sound training delivery and assessment practices in education;
7. Adhere to the highest standards of conduct and promote professionally responsible conduct within Registered Training Organisations, and agencies that provide educational and training services; and
8. Perform all professional responsibilities with honesty, integrity, due care, and fairness.



## 1. Responsibilities of Those Who Develop Assessment Products and Services

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Those who develop assessment products and services, such as trainers and other assessment specialists, have a professional responsibility to strive to produce assessments that are of the highest quality. Persons who develop assessments have a professional responsibility to:

- 1.1. Ensure that assessment products and services are developed to meet applicable professional, technical, and legal standards.
- 1.2. Develop assessment products and services that are as free as possible from bias due to characteristics irrelevant to the construct being assessed, such as gender, ethnicity, race, socioeconomic status, disability, religion, age, or national origin.
- 1.3. Plan accommodations for groups of candidates with disabilities and other special needs when developing assessments.
- 1.4. Disclose to appropriate parties any actual or potential conflicts of interest that might influence the developers' judgment or performance.
- 1.5. Use copyrighted materials in assessment products and services in accordance with state and federal law.
- 1.6. Make information available to appropriate persons about the steps taken to develop and mark the assessment, including up-to-date information used to support the reliability, validity, flexibility and fairness of the assessment processes, and gathering valid, sufficient, authentic, and current assessment evidence.
- 1.7. Protect the rights to privacy of those who are assessed as part of the assessment development process.
- 1.8. Caution users, in clear and prominent language, against the most likely misinterpretations and misuses of data that arise out of the assessment development process.
- 1.9. Avoid false or unsubstantiated claims in assessment preparation and program support resources and services about an assessment or its use and interpretation.
- 1.10. Correct any substantive inaccuracies in assessments or their support resources as soon as feasible.
- 1.11. Develop marking guidelines and support resources and procedures that promote the understanding of assessment results.



## 2. Responsibilities of Those Who Market and Sell Assessment Products and Services

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The marketing of assessment products and services, such as validations and other evaluation instruments, consulting, assessment development, and assessment contextualisation services, should be based on information that is accurate, complete, and relevant to those considering their use. Persons who market and sell assessment products and services have a professional responsibility to:

- 2.1. Provide accurate information to potential purchasers about assessment products and services and their recommended uses and limitations. Provide accurate information of the industry consultation conducted during the development of the assessment instrument, and inform potential purchasers of the need of contextualizing the assessment resources to their particular audience, resources, and learning goals.
- 2.2. Not knowingly withhold relevant information about assessment products and services that might affect an appropriate selection decision.
- 2.3. Base all claims about assessment products and services on valid interpretations of publicly available information.
- 2.4. Allow qualified assessors equal opportunity to purchase assessment products and services.
- 2.5. Establish reasonable fees for assessment products and services.
- 2.6. Communicate to potential users, in advance of any purchase or use, all applicable fees associated with assessment products and services.
- 2.7. Strive to ensure that no individuals are denied access to opportunities because of their inability to pay the fees for assessment products and services.
- 2.8. Establish criteria for the sale of assessment products and services, such as limiting the sale of assessment products and services to those individuals who are qualified for recommended uses and from whom proper uses and interpretations are anticipated.
- 2.9. Inform potential users of known inappropriate uses of assessment products and services and provide recommendations about how to avoid such misuses.
- 2.10. Maintain a current understanding about regulations for assessment practices and the application of assessment instruments in the competency-based framework provided by the Australian National Training Packages and Accredited courses.
- 2.11. Release information implying endorsement by users of assessment products and services only with the users' permission.
- 2.12. Avoid making claims that assessment products and services have been endorsed by another organisation unless an official endorsement has been obtained.
- 2.13. Avoid marketing assessment preparation products and services that may cause individuals to receive scores that misrepresent their actual levels of attainment.



### *Developing assessment tools*

According to the Standards for NVR Registered Training Organisations (2011), **Assessment** is the process of collecting evidence and making judgments on whether competency has been achieved, to confirm that an individual can perform to the standard expected in the workplace, as expressed by the relevant endorsed industry/enterprise competency standards of a Training Package or by the learning outcomes of a VET accredited course.

More specifically, the assessment tool is defined by the AQTF (2010) as:

The instrument(s) and procedures used to gather and interpret evidence of competence:

- a) **Instrument**- the specific questions or activity used to assess competence by the assessment method selected. An assessment instrument may be supported by a profile of acceptable performance and the decision-making rules or guidelines to be used by the assessors.
- b) **Procedures** – the information or instructions given to the candidate and the assessor about how the assessment is to be conducted and recorded.

More over, the AQTF list the components of an assessment tool as:

- The learning or competency unit(s) to be assessed;
- The target group, context and conditions for the assessment;
- The tasks to be administered to the candidate;
- An outline of the evidence to be gathered from the candidate;
- The evidence criteria used to judge the quality of performance (i.e. the assessment decision making rules); as well as
- The administration, recording and reporting requirements.

A number of ideal characteristics of an assessment tool have been provided below. This framework could be used by:

- Assessors during tool development; as well as
- Members of a Consensus Group during a validation and/or moderation meeting

In general there are four methods of assessment: observation, interview, portfolio and product-based assessments. These four examples encapsulate methods that require candidates to either do (observation), say (interview), write (portfolio) or create (product) something. In fact, any assessment activity can be classified according to these four broad methods.



## *Ideal Characteristics of an Assessment Tool*

Component	Description
The context	The target group and purpose of the tool should be described. This should include a description of the background characteristics of the target group that may impact on the candidate performance (e.g. literacy and numeracy requirements, workplace experience, age, gender etc).
Competency Mapping	The components of the Unit(s) of Competency that the tool should cover should be described. This could be as simple as a mapping exercise between the components of the task (e.g. each structured interview question) and components within a Unit or cluster of Units of Competency. The mapping will help to determine the sufficiency of the evidence to be collected.
The information to be provided to the candidate	Outlines the task(s) to be provided to the candidate that will provide the opportunity for the candidate to demonstrate the competency. It should prompt them to say, do, write or create something.
The evidence to be collected from the candidate	Provides information on the evidence to be produced by the candidate in response to the task.
Decision making rules	The rules to be used to: <ul style="list-style-type: none"> <li>• Check evidence quality (i.e. the rules of evidence);</li> <li>• Judge how well the candidate performed according to the standard expected (i.e. the evidence criteria); and</li> <li>• Synthesise evidence from multiple sources to make an overall judgment.</li> </ul>
Range and conditions	Outlines any restriction or specific conditions for the assessment such as the location, time restrictions, assessor qualifications, currency of evidence (e.g. for portfolio based assessments), amount of supervision required to perform the task (i.e. which may assist with determining the authenticity of evidence) etc.
Materials/resources required	Describes access to materials, equipment etc that may be required to perform the task
Assessor intervention	Defines the amount (if any) of support provided.
Reasonable	This section should describe the guidelines for making



adjustments (for enhancing fairness and flexibility)	reasonable adjustments to the way in which evidence of performance is gathered (e.g. in terms of the information to be provided to the candidate and the type of evidence to be collected from the candidate) without altering the expected performance standards (as outlined in the decision making rules).
Validity evidence	Evidence of validity (such as face, construct, predictive, concurrent, consequential and content) should be provided to support the use of the assessment evidence for the defined purpose and target group of the tool.
Reliability evidence	<p>If using a performance based task that requires professional judgment of the assessor, evidence of reliability could include providing evidence of:</p> <ul style="list-style-type: none"> <li>• The level of agreement between two different assessors who have assessed the same evidence of performance for a particular candidate (i.e. inter-rater reliability); and</li> <li>• The level of agreement of the same assessor who has assessed the same evidence of performance of the candidate, but at a different time (i.e. intra-rater reliability).</li> </ul> <p>If using objective test items (e.g. multiple choice tests) than other forms of reliability should be considered such as the internal consistency of a test (i.e. internal reliability) as well as the equivalence of two alternative assessment tasks (i.e. parallel forms).</p>
Recording requirements	The type of information that needs to be recorded and how it is to be recorded and stored, including duration
Reporting requirements	For each key stakeholder, the reporting requirements should be specified and linked to the purpose of the assessment.

(\*) Adapted from NQC Guide for developing assessment tools (2009)



### 3. Responsibilities of Those Who Select Assessment Products and Services

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Those who select assessment products and services for use in educational and training settings, or help others do so, have important professional responsibilities to make sure that the assessments are appropriate for their intended use. Persons who select assessment products and services have a professional responsibility to:

- 3.1. Conduct a thorough review and evaluation of available assessment strategies and instruments that might be valid for the intended uses, and compliance with Standards for NVR Registered Training Organisation and the relevant Training Package requirements.
- 3.2. Recommend and/or select assessments based on publicly available documented evidence of their technical quality and utility rather than on unsubstantiated claims or statements.
- 3.3. Disclose any associations or affiliations that they have with the authors, test publishers, or others involved with the assessments under consideration for purchase and refrain from participation if such associations might affect the objectivity of the selection process.
- 3.4. Inform decision makers and prospective users of the appropriateness of the assessment for the intended uses, likely consequences of use, protection of examinee rights, relative costs, materials and services needed to conduct or use the assessment, and known limitations of the assessment, including potential misuses and misinterpretations of assessment information.
- 3.5. Recommend against the use of any prospective assessment that is likely to be administered, scored, and used in an invalid manner for members of various groups in our society for reasons of race, ethnicity, gender, age, disability, language background, socioeconomic status, religion, or national origin.
- 3.6. Comply with all security precautions that may accompany assessments being reviewed.
- 3.7. Immediately disclose any attempts by others to exert undue influence on the assessment selection process.
- 3.8. Avoid recommending, purchasing, or using test preparation products and services that may cause individuals to receive scores that misrepresent their actual levels of attainment.



## 4. Responsibilities of Those Who Administer Assessments

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Those who prepare individuals to take assessments and those who are directly or indirectly involved in the administration of assessments as part of the educational process, including assessors, administrators, and assessment personnel, have an important role in making sure that the assessments are administered in a fair and accurate manner. Persons who prepare others for, and those who administer, assessments have a professional responsibility to:

- 4.1. Inform the examinees about the assessment prior to its administration, including its purposes, uses, and consequences; how the assessment information will be judged or scored; how the results will be kept on file; who will have access to the results; how the results will be distributed; and examinees' rights before, during, and after the assessment.
- 4.2. Administer only those assessments for which they are qualified by vocational education, training, licensure, or certification.
- 4.3. Take appropriate security precautions before, during, and after the administration of the assessment.
- 4.4. Understand the procedures needed to administer the assessment prior to administration.
- 4.5. Administer standardized assessments according to prescribed procedures and conditions and notify appropriate persons if any nonstandard or delimiting conditions occur.
- 4.6. Not exclude any eligible candidate from the assessment.
- 4.7. Avoid any conditions in the conduct of the assessment that might invalidate the results.
- 4.8. Provide for and document all reasonable and allowable adjustments for the administration of the assessment to persons with disabilities or special needs.
- 4.9. Provide reasonable opportunities for individuals to ask questions about the assessment procedures or directions prior to and at prescribed times during the administration of the assessment.
- 4.10. Protect the rights to privacy and due process of those who are assessed.
- 4.11. Avoid actions or conditions that would permit or encourage individuals or groups to receive scores that misrepresent their actual levels of attainment.



## 5. Responsibilities of Those Who mark Assessments

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The marking of competency-based assessments should be conducted properly and efficiently so that the results are reported accurately and in a timely manner. Persons who mark and prepare reports of assessments have a professional responsibility to:

- 5.1. Provide complete and accurate information to users about how the assessment is marked, such as the reporting schedule, scoring process to be used, rationale for the scoring approach (assessment criteria, benchmarks), technical characteristics, quality control procedures, reporting formats, and the fees, if any, for these services.
- 5.2. Ensure the accuracy of the assessment results by conducting reasonable quality control procedures before, during, and after scoring. Assessments are conducted within the boundaries of the assessment system policies and procedures.
- 5.3. Minimize the effect on scoring of factors irrelevant to the purposes of the assessment. Assessment evidence is verified against the rules of evidence. Assessment decisions are based on available evidence that can be produced and verified by another assessor.
- 5.4. Inform users promptly of any deviation in the planned scoring and reporting service or schedule and negotiate a solution with users.
- 5.5. Provide corrected score results to the assessed or candidate, including feedback about the candidate performance, as quickly as practicable.
- 5.6. Protect the confidentiality of information that identifies individuals as prescribed by state and federal laws.
- 5.7. Release summary results of the assessment only to those persons entitled to such information by state or federal law or those who are designated by the party contracting for the scoring services.
- 5.8. Follow organisation's procedures for appeals and rescoring the assessment.



## 6. Responsibilities of Those Who Interpret, Use, and Communicate Assessment Results

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The interpretation, use, and communication of assessment results should promote valid inferences and minimise invalid ones. Persons who interpret, use, and communicate assessment results have a professional responsibility to:

- 6.1. Conduct these activities in an informed, objective, and fair manner within the context of the assessment's limitations and with an understanding of the potential consequences of use.
- 6.2. Provide to those who receive assessment results information about the assessment, its purposes, its limitations, and its uses necessary for the proper interpretation of the results. Provide specific information about the relevance of the assessment as an instrument to help candidates to demonstrate competence against Units of Competency.
- 6.3. Provide to those who receive assessment results reports an understandable written description of all reported scores, including proper interpretations for the competency-based assessment framework, and likely misinterpretations.
- 6.4. Communicate to appropriate audiences the results of the assessment in an understandable and timely manner, including proper feedback (in case a candidate was unable to demonstrate competence, feedback must include a learning plan to fill the skills and knowledge gaps identified in the assessment results).
- 6.5. Evaluate and communicate the adequacy and appropriateness of any norms or standards used in the interpretation of assessment results.
- 6.6. Inform parties involved in the assessment process how assessment results may affect them.
- 6.7. Use multiple sources and types of relevant information about persons or programs whenever possible in making educational decisions.
- 6.8. Avoid making, and actively discourage others from making, inaccurate reports, unsubstantiated claims, inappropriate interpretations, or otherwise false and misleading statements about assessment results.
- 6.9. Disclose to candidates and others whether and how long the results of the assessment will be kept on file, procedures for appeal and rescoring, rights examinees and others have to the assessment information, and how those rights may be exercised.
- 6.10. Report any apparent misuses of assessment information to those responsible for the assessment process.
- 6.11. Protect the rights to privacy of individuals and institutions involved in the assessment process.



## 7. Responsibilities of Those Who Educate Others About Competency-based Assessment

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The process of educating others about educational and training assessment, whether as part of higher or vocational education, professional development, public policy discussions, or job training, should prepare individuals to understand and engage in sound measurement practice and to become discerning users of assessments and assessment's results. Persons who educate or inform others about assessment have a professional responsibility to:

- 7.1. Remain competent and current in the areas in which they provide training and reflect that in their instruction. Self-assessments are periodically conducted to ensure current competence against TAE10 Training and Education Training Package competency standards.
- 7.2. When delivering training about assessment, use the "assessor" competencies included in the TAE10 Training Package, and the TAE Assessor Skill Set.
- 7.3. Opportunities for networking amongst assessors are created and maintained. Opportunities are created for technical assistance in planning, conducting and reviewing assessment practice and participating in validation.
- 7.4. Disclose any financial interests that might be perceived to influence the evaluation of a particular assessment product or service that is the subject of instruction.
- 7.5. Avoid administering any assessment that is not part of the evaluation of student performance in a course if the administration of that assessment is likely to harm any student.
- 7.6. Avoid using or reporting the results of any assessment that is not part of the evaluation of student performance in a course if the use or reporting of results is likely to harm any student.
- 7.7. Protect all secure assessments and materials used in the training and assessment process.
- 7.8. Model responsible assessment practice and help those receiving instruction to learn about their professional responsibilities in educational and training measurement.
- 7.9. Provide fair and balanced perspectives on assessment issues being discussed by policymakers, parents, and other citizens.



## 8. Responsibilities of Those Who perform quality management activities on assessments (Validation/moderation).

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There are a number of different quality management processes that could be used to help achieve national comparability of standards whilst still maintaining sufficient flexibility at the RTO level to conduct assessments. Typically, there are three major components to quality management of educational assessments: quality assurance; quality control; and quality review.

A quality assurance approach attempts to **assure** quality of assessment in VET through focusing on the procedures used in the assessment process. Such an approach is based upon the assumption that the introduction of products and processes such as policies, competency standards, professional development support materials and training within the sector can improve the quality of assessments. Hence, it is referred to as an ‘input approach’ to quality management.

The second approach to quality management, referred to as ‘quality control’ focuses on monitoring, and where necessary making adjustments to judgments made by assessors prior to the finalisation of assessment results/outcomes. This approach therefore involves the direct management of assessment judgments to **ensure** consistency in the interpretation and application of the competency standards. As it occurs prior to the finalisation of the result, in which alterations can be made to assessor judgments, it is referred to as an ‘active process’.

The third approach to quality management is referred to as ‘quality review’ as it involves the review of the assessment procedures and outcomes for the sole purpose of **improving** assessment processes and procedures for future use. It is referred to as a retrospective approach as the outcomes of the review are aimed at making recommendations for future improvements. The outcomes of the review have no direct impact on any current or past assessments.

### Examples of processes for enhancing quality assurance, quality control and quality review of assessments in vocational education and training contexts.

<p>Quality Assurance (Input approach)</p>	<p>Examples include: Industry competency standards as the benchmarks for assessment</p> <ul style="list-style-type: none"> <li>• National assessment principles</li> <li>• Minimum qualifications for assessors (i.e. TAE40404)</li> <li>• ASTDI Professional Code of Practice</li> <li>• Standardisation of reporting formats</li> <li>• Assessment Guidelines and Policy Documents</li> <li>• Benchmark examples of varying levels of performances</li> <li>• Assessment tool banks</li> <li>• Common assessment tasks</li> </ul>
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	<ul style="list-style-type: none"> <li>• Exemplar assessment tools</li> <li>• Paneling, Piloting and/or Trialing of assessment tools.</li> <li>• Professional development programs/workshops for assessors</li> </ul>
<b>Quality Control (Outcome approach)</b>	<p>Examples include:</p> <ul style="list-style-type: none"> <li>• <b>Moderation</b> in which adjustments to assessor judgments are made to overcome differences in the difficulty of the assessment tool and/or severity of the judgment</li> </ul>
<b>Quality Review (Retrospective approach)</b>	<p>Examples Include:</p> <ul style="list-style-type: none"> <li>• Monitoring and auditing of registered training organisations</li> <li>• Review and <b>validation</b> of assessment tools, processes and outcomes to identify future improvements</li> <li>• Follow-up surveys with key stakeholders (e.g. student destination surveys, employer feedback on how well the assessment outcomes predicted workplace performance)</li> </ul>

The two terms validation and moderation have been used interchangeably in the VET sector; and whilst each are based on similar processes, there are a number of distinctive features.

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



		required)
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Persons who undertake validation and/or moderation within the VET sector:

- 8.1.** Clearly state the purpose, process and implications of validation and/or moderation to all relevant stakeholders.
  - Made explicit to assessors the purpose, approach and potential outcomes;
  - Delineate and communicate to relevant stakeholders the approach to be implemented.
  - Document and made available to assessors the justification for the outcomes recommended (validation) and/or imposed (moderation).
- 8.2.** Properly select representative samples of evidence of assessment practices and decisions. It is not possible or necessary to validate and/or moderate every possible assessment tool or piece of candidate evidence within an RTO at one time. A representative sample should therefore be used to validate and moderate assessment tools and judgments.
  - Design a sampling framework in which risk indicators are identified that may impact on the assessment process and/or outcomes, and such indicators are targeted for selection; and
- 8.3.** Information regarding individuals (i.e. assessors and candidates) and providers must be treated with sensitivity and discretion. Confidentiality should be observed in relation to the identity of the assessors (i.e. those who developed the assessment tools and/or made the judgments) and candidates (i.e. those whose evidence is submitted in the process). This allows the validation and/or moderation process to focus on the quality of the assessment tools and the assessment judgments rather than the individuals involved.
  - De-identified samples of candidates' work and assessors' tools are used; and
  - Disclose the outcomes of the process in a private, supportive environment.
- 8.4.** Provide constructive feedback, which leads to continuous improvement across the organisation. Validation and/or moderation should form an integral rather than separate part of the assessment process.
  - The process is supportive and positive for assessors, validators and/or moderators;
  - The process and outcomes provide the basis for individuals as well as organisations to monitor and reflect on their own practice;
  - The rationales behind recommendations for alterations and/or adjustments are made explicit to assessors;
  - Recommendations for improvement to the assessment tool and/or decision making process are succinct, constructive and explicit; and
  - Professional development support is available for assessors.
- 8.5.** Be Fair, equitable, during Validation and/or Moderation processes.



- Provide clear and effective policies and mechanisms for the appeal or review of moderation outcomes by key stakeholders, in circumstances in which an appeal or review is appropriate; and
  - Assured confidentiality of evidence.
  - Respect assessor and candidate diversity.
- 8.6.** Define the acceptable margin of error. The way in which evidence is gathered and interpreted against the standards will vary. The challenge is to limit the variation to acceptable proportions. Validation and/or moderation enable the variation to be identified and limited to what is tolerable.
- Benchmark samples of borderline cases are used as points of reference; § Exemplar tools are made available to assessors as well as validators/moderators; and
  - A risk assessment has been undertaken of the implications of a false positive judgment (i.e. assessing someone as competent when in actual fact they are not yet competent) and a false negative judgment (i.e. assessing someone as not yet competent when in actual fact the person is competent).



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