

# Validation plan

School RTO management

Cairns State High School

Plan version: **30/08/2018**

Plan period: 2015 – 2020

Approval School RTO validation plan and monitoring				
<b>School RTO name</b>		Cairns State High School	<b>QCAA number</b>	564
<b>Validation plan</b>	<b>start date</b>	2015	<b>National provider number</b>	30248
	<b>end date</b>	2020		
<b>RTO manager</b>			<b>Chief executive (principal)</b>	
<b>Name</b>	Lesley De Faveri		<b>Name</b>	Chris Zilm
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<b>Date</b>	11.10.18		<b>Date</b>	11.10.18

QCAA template as at March 2016

# About this template

The Standards for Registered Training Organisations (RTOs) 2015 requires implementing a plan for ongoing systematic validation of assessment practices and judgments that includes each training product on the RTO's scope of registration. The training product is the qualification.

This validation plan can be used for all qualifications on the RTO scope of registration between 1 January 2015 and 31 December 2019. The plan is used in conjunction with Sections 8 and 9 of the QCAA Training and Assessment Strategy (TAS) document of each qualification. Every qualification on the RTO's scope of registration must always have an up-to-date TAS even if there are no students enrolled.

**Relevant standards:** 1.3, 1.8(a), 1.8(b), Table 1.8–1, Table 1.8–2, 1.9, 1.10, 1.11, Schedule 1

## Who should use it

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Queensland school RTOs may use this document to assist with their quality assurance processes and systematic validation of RTO training products as outlined within the regulatory *Standards for Registered Training Organisations (RTOs) 2015*. These standards form part of the VET Quality Framework.

The RTO Manager (RTOM) maintains and monitors the validation plan and updates all three sections of the plan.

## How to use it

Read through and customise the information in this validation plan to represent the RTO's current policies and practices. The format is recommended, but not mandatory. To complete the validation plan, the following people will need to be involved: RTO Manager/s (RTOM), principal and trainers/assessors. It is the RTOM's responsibility to maintain and monitor the validation plan, and to update all three sections of the plan.

- **Assessment tools:** All assessment tools used to determine competency outcomes for this qualification are registered in Section 8 of the qualification's TAS. Refer to that register to identify and select the assessment tools to validate.
- **Systematic validation:** Section 9 of QCAA's model TAS explains how to conduct the validation and record the outcomes and resulting actions. It has provision to record validation of up to 16 assessment tools with auditable-quality information to meet the requirements of Standards 1.9–1.11.

## Definitions

Term	Description
<b>Training product</b>	The qualification as described in the Training and Assessment Strategy (TAS) document. The training product's assessment tools and the judgments they enable are the focus of validation.
<b>TAS</b>	Training and Assessment Strategy means a framework that guides the learning requirements and the teaching, training and assessment arrangements of a VET qualification. It is the document that outlines the macro-level requirements of the learning and assessment process.
<b>Assessment tools</b>	A coordinated set of documents, subject to validation, used to support, obtain and record outcomes of a training product. Assessment tools include the following: <ul style="list-style-type: none"> <li>• mapping or benchmarking tools</li> <li>• project/task/activity documents</li> <li>• evidence-gathering tools</li> <li>• student assessment and outcomes records.</li> </ul>
<b>Decision-making rules</b>	Evidence-gathering assessment tools contain decision-making rules. The rules unambiguously describe the criteria used to judge the quality of performance. The decision-making rules are the lists of observations, acceptable answers, and product/artefact/folio specifications used by the assessors to make judgments on evidence that is seen, heard or produced.
<b>Systematic validation</b>	For the purpose of audit, a documented checking process and procedure that ensures assessments are validated based on Standards 1.8-1, 1.8-2, 1.9, 1.10 & 1.11. These include: <ul style="list-style-type: none"> <li>• validation plan</li> <li>• validation policy and procedure</li> <li>• evidence of qualified validators</li> <li>• records of assessment tools validated</li> <li>• resulting recommendations and outcomes.</li> </ul>
<b>Validation plan</b>	The schedule of validation dates for every qualification on the RTO scope of registration during the five-year validation cycle. The recommended format is in Section 1 of this document.
<b>Validation</b>	The quality review of the assessment process. Validation involves checking that the assessment tools produce valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the training package qualification or VET accredited course are met.
<b>Relative risks</b>	An assessment of relative risks is used to determine the frequency and timing of validation for qualifications listed in the validation plan. Risk factors can include: <ul style="list-style-type: none"> <li>• the use of new assessment tools</li> <li>• delivery of training products where safety is a concern</li> <li>• the level and experience of the assessor</li> <li>• changes in technology, workplace processes, legislation and licensing requirements</li> <li>• ASQA published risks</li> <li>• RTO-determined risks.</li> </ul>
<b>Sample size</b>	A random sample (of a qualification's assessment tools) of appropriate size to enable confidence that the validation result is sufficiently accurate to be accepted as representative of the total population of assessment tools used to make judgments for that qualification. As a minimum, assessment tools that cover at least two units of competency should be sampled.
<b>Lead validator</b>	The person assigned by the RTO to systematically manage from start to finish the validation processes and procedures for a qualification as documented by the RTO. This person may also be the single validator.

Term	Description
<b>Single validator</b>	<p>An individual who meets all of the requirements for a validator and does the work of the lead validator. The single validator cannot be the trainer and assessor involved in delivery and assessment of the training product being validated.</p> <p>Single validators must meet all of the following criteria :</p> <ul style="list-style-type: none"> <li>• hold TAE40110 or Assessor Skill Set or their successors</li> <li>• current skills and knowledge in vocational teaching and learning</li> <li>• vocational competency and industry currency relevant to the assessment tools being validated.</li> </ul>
<b>Validation team</b>	<p>A group of individuals who collectively meet all the validator requirements. This is an alternative approach to using a single validator. One of the team is assigned as lead validator, and other team members work with the lead validator following from start to finish the validation processes and procedures for a qualification as approved and documented by the RTO.</p>
<b>Persons directly involved in delivery and assessment</b>	<p>Individuals, trainers or assessors who have been involved in delivery and/or assessment using any of the assessment tools being validated.</p> <p><b>Note:</b> They may not be involved in the validation process, except in discussing and implementing the outcomes and recommendations decided on independently by the validators.</p>

# Section 1      Validation plan

Update this section when qualifications are added to scope, or a qualification validation has been completed, **and** prior to an internal or external audit.

1. For each qualification on scope, enter 'Date of registration' in the far left column. Add new qualifications to the plan as they come onto the RTO's scope of registration.
2. Record each qualification's national code and title as they appear on the national register ([training.gov.au](http://training.gov.au)) in the 'Training products on scope of registration' columns.
3. Complete the 'Relative risks assessment', and enter the 'Date planned for validation' for each qualification. Higher relative risks may require a qualification to be validated quickly, or more than once in the cycle. The 'Date planned for validation' in the validation plan represents the 'Date of validation' in Section 1.1 of the TAS, even if the process of validating the qualification takes more than one day.
4. Consult the TAS for the qualification: is Section 8, Register of assessment tools, a complete record of the assessment tools used in the qualification?
  - If no, ensure that Section 8 is completed before you move on with the validation plan for this qualification.
  - If yes, check the box in the 'Registered' column (immediately left of the qualification code), confirming that Section 8, Register of assessment tools, of the qualification's TAS is complete.
5. Select assessment tools for validation from the list in Section 8 of the qualification's TAS document. Record the codes for these in Section 9.3 of the TAS.
6. Record the assessment validation process and outcomes in Section 9 of the qualification's TAS.
7. Wait until you have completed a qualification's validation, then check the 'Validated' box (immediately left of the 'Registered' column) in this validation plan and archive a copy of the TAS with the completed validation records and assessment tools. Enter the 'Date completed' in Section 9.4 of the qualification's TAS document, only after issues identified, recommendations and/or improvements to individual assessment tools have been actioned and finalised.

Date of registration	Date planned for validation	Validated	Registered	Training products on scope of registration		Relative risks assessment			
Enter 01/01/2015 or date qualification was first added to scope, whichever is the latest	Validate 50% within first 3 years; 100% within 5 years	Check box after Validation is completed	Check box if TAS assessment register completed	<b>Qualification code as it appears on the national register</b>	<b>Qualification title as it appears on the national register</b> <ul style="list-style-type: none"> <li>Validation plan must include all qualifications on scope of registration</li> <li>Plan must be monitored for currency</li> <li>If new qualifications are added to scope, update this plan</li> </ul>	<ul style="list-style-type: none"> <li>Check the boxes indicating the type of risk affecting validation timing or frequency</li> <li>No box checked indicates low or no relative risks</li> <li>More boxes checked may result in sooner and/or more frequent qualification validation</li> </ul>			
						School identified risk, e.g. feedback; new tools, new trainer or assessors	WHS and/or workplace process	Legislation or licencing concerns	Risk identified by ASQA
25/03/2015	30/11/2018	<input type="checkbox"/>	<input checked="" type="checkbox"/>	BSB20115	Certificate II in Business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1/01/2015	30/11/2018	<input type="checkbox"/>	<input checked="" type="checkbox"/>	SIT20112	Certificate II in Tourism	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3/03/2016	30/11/2018	<input type="checkbox"/>	<input checked="" type="checkbox"/>	SIT20116	Certificate II in Tourism	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24/02/2016	30/11/2018	<input type="checkbox"/>	<input checked="" type="checkbox"/>	FSK10113	Certificate I in Access to Vocational Pathways	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27/04/2016	30/11/2018	<input type="checkbox"/>	<input checked="" type="checkbox"/>	CUA20715	Certificate II in Visual Arts	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26/07/2017	30/11/2018	<input type="checkbox"/>	<input checked="" type="checkbox"/>	FSK2013	Certificate II in skills for work & vocational pathways	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26/07/2016	30/11/2018	<input type="checkbox"/>	<input checked="" type="checkbox"/>	BSB10115	Certificate I in Business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Choose date	Choose date	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Choose date	Choose date	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Choose date	Choose date	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Section 2 Managing validation

This section explains how to conduct a validation process and systematically record auditable-quality information on the outcomes and resulting actions. It should be used in conjunction with Sections 8 and 9 of the TAS for each qualification.

The Principal and RTO Manager approve and oversee implementation of an ongoing plan for systematic validation of assessment practices and judgments for each qualification on the RTO's scope of registration during a set five-year cycle. The Principal delegates authority to the RTO Manager to ensure compliance with the Standards at all times.

A systematic validation process includes the following:

1. Nominate a lead validator
2. Determine whether a single validator or team approach to validation will be used. See also Section 9.1 of the TAS for the qualification.
3. Ensure that person/s directly involved in the particular instance of delivery and assessment is not involved in the validation of the qualification. Wherever possible, the trainer/assessor who is involved in the delivery and assessment being validated is used to implement the recommendations of the validation.
4. Ensure you have verifiable records showing that the single validator or validation team has the required skills, knowledge, currency and qualifications to conduct the validation. This evidence includes:
  - vocational competency relevant to the assessment being validated
  - current industry skills relevant to the assessment being validated
  - current knowledge and skills in vocational teaching and learning
  - TAE40110 or its successor or the Assessor Skill Set or its successor
5. Make a random selection from the list registering all tools used for assessment of the specific qualification. Ensure the selection is large enough to be representative of the total population of assessments being used to make judgements for the specific qualification.
6. This audit-verifiable list of assessment tools will be in Section 8 of the TAS or similar document.
7. Ensure validators do a quality review that follows the process set out in Section 9 of the TAS. This includes checking the assessment tools to ensure that they:
  - meet all requirements of the Principles of assessment and
  - the Rules of evidence and
  - can be used to gather evidence to make reasonable judgements on competency.
8. Ensure validation results are recorded in Section 9 of the TAS for the qualification:
  - in 9.3 'Validation record' — complete 'Yes' or 'No' outcomes
  - in 9.4 'Improvement recommendations and actions' — identify any issues and make recommendations. Validators must include constructive comment for every tool validated, whether it passed validation or not.
9. After validating the sample of assessment tools for a qualification update Section 1 of the plan.
10. Progressively record monitoring activity in Section 3 of the plan.

## Section 3 Monitoring validation

Evidence of systematic monitoring of training and assessment strategies and practices to ensure ongoing compliance with the Standards is an auditable and essential requirement.

Record dates of monitoring activities, and update outcomes to indicate compliance or rectifications pending. Identify the previous and current monitor by name.

Validation plan monitoring checklist						
<b>Name of person/s conducting monitoring activities</b>	Lesley De Faveri			<b>Plan start</b>	1/01/2017	
	Amanda Gonzo, Stef Furlong, Agata Evans, Sue Taylor			<b>Plan end</b>	31/12/2019	
<b>Record of dates when monitoring took place</b>	4/12/2017	30/11/2018		Choose date.	Choose date.	
	Choose date.	Choose date.	Choose date.	Choose date.	Choose date.	
<b>Monitoring activity</b>	<b>Completed</b>					
	<b>Yes</b>	<b>No</b>	<b>Pending</b>			
<b>Plan 5-year cycle</b>	Validation plan start and end dates are accurate			<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Plan 3-year point</b>	RTO Manager confirms 50% of qualifications validated			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>End of cycle</b>	RTO Manager confirms 100% of qualifications validated			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>Qualifications</b>	Validation plan includes all qualification/s on scope from start date of five-year cycle			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>New qualifications</b>	Validation plan updated to include qualification/s added after five-year cycle start date			<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Relative risks</b>	Qualification/s validation timing and frequency takes into account relative risks			<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Update TASs</b>	Section 8 of all TAS documents have complete registers of assessment tools used to make judgments			<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Section 1.1 of TASs updated to include validation dates			<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Each TAS and assessment tool updated after validation			<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Validation approach</b> For each qualification being monitoring during the validation period	RTO Manager nominated each lead validator before the qualification's validation			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Verifiable records of suitability for single validators or validation teams are available for audit			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Person/s implementing validation recommendations have been nominated			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>Records are maintained before and during validation</b>	RTO Manager updated Section 9.1 of each TAS validated			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	RTO Manager nominated sample size and makes random selection of assessment tools to be validated			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Validator/s completed Sections 9.3 and 9.4 of TASs			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>Records are maintained after validation</b>	RTO Manager updated Section 9.4 of all TASs			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Copy of TASs with complete validation details have been archived and are ready for audit			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>



**RTO  
Manager/Monitor  
notes**

*Detail any pending or outstanding rectifications here.  
Provide comments on the outcome of the last monitoring activity.*

*Next validation for some subjects to occur on/by 28/02/2019. Staff have been advised and school time allocated.*