

Controlled Document – Refer to NMIT website or intranet for latest version

## MODERATION PROCEDURE

<b>Section</b>	Learning and Teaching		
<b>Approval Date</b>	09.04.2014	<b>Approved by</b>	Academic Board
<b>Next Review</b>	26.10.2019	<b>Responsibility</b>	Director of Learning, Teaching and Quality
<b>Last Reviewed</b>	26.10.2017	<b>Key Evaluation Question</b>	4

### INTRODUCTION

Moderation is an integral part of assessment best practice. NZQA requires institutions to have robust assessment and moderation processes. For most programmes, pre-assessment, intra-assessment and post-assessment moderation are needed, with an appropriate mix of internal and external input. The mix depends on the type of qualification, level, length, industry contact, and practical considerations such as access to suitable moderators.

### PURPOSE

To ensure that NMIT assessment activities are **valid, fair, consistent** and **reliable**; fit for purpose with stakeholder requirements and that they embody NMIT's core value of Rangatiratanga.

To provide a framework for ensuring that continual improvement in assessment design and delivery occurs.

To allow NMIT to provide evidential assurance of its credibility and compliance with stakeholder requirements.

### SCOPE

All summative assessments, (and assessment standards under relevant Consent and Moderation Requirements) delivered at, or administered by, NMIT. This includes eCampus and joint ventures or partners subcontracted to deliver on behalf of NMIT.

Not in Scope:

1. Degree Monitoring (covered in a separate policy document: ***Degree Monitoring***)
2. Consistency Reviews

### DEFINITIONS

A list of academic terminology and the glossary of Māori terms – Kupu - are located in section 2 of the NMIT Academic Statute.

The definitions of additional specialist terms relevant to the Programme are listed below:

Specialist Terms	Definitions
<b>Annual Moderation Plan</b>	The schedule identifying which courses and/or standards for a particular programme will be moderated for the current year (fed from the broader scope of the Department/Programme Moderation Cycle). The Annual Moderation Plan is submitted to the Academic Committee for approval, monitoring and review. For more detail, see <a href="#">below</a> .
<b>Assessment schedule (aka Marking schedule)</b>	The rubric for the assessor's use only (not the students) to mark the student's work. It includes lists of the evidence required and the judgements that define the achievement of the standard.
<b>Cluster Group</b>	A locally, regionally or nationally based external moderation group comprising local, regional or national providers (e.g. Tertiary Institutes, Secondary Schools, Private Training Establishments).
<b>CMR</b>	Consent and Moderation Requirements. A document produced by a Standard Setting Body detailing moderation requirements for groups of standards within a classification system (e.g. Core Skills , Communication Skills)
<b>DAS</b>	The Directory of Assessment Standards (DAS) lists all quality assured unit and achievement standards, known collectively as 'assessment standards'. [Def: NZQA]
<b>Evidence</b>	The answers or performance expected from the student. Marking schedules provide examples of the evidence expected.
<b>External moderation*</b>	Moderation carried out by individuals or organisations external to NMIT, involving correspondence and communication with the tutor/assessor. The following activities are examples of external moderation activities: <ul style="list-style-type: none"> <li>- NMIT tutors /assessors attending cluster group meetings organised by ITOs</li> <li>- an external person contracted to visit NMIT to review and verify validity of assessments</li> <li>- an external person or other TEO/institute/body/organisation contracted by NMIT to review and verify validity of NMIT's assessments by providing material without face-to-face engagement.</li> </ul>
<b>Internal moderation*</b>	Moderation that is undertaken by NMIT staff; or staff of contracted partners delivering NMIT programmes.
<b>Intra-assessment moderation</b>	Moderation that takes place during the marking process e.g. team marking or peer review a sample of assessments before results are finalised. Particularly useful for practical assessment activities,
<b>Judgement</b>	A statement on the marking schedule that defines the standards of the assessment to be met. e.g. "Candidate must provide at least one correct statement."
<b>Marking schedule</b>	See <b>Assessment schedule</b>
<b>Moderation Coordinator</b>	This role may be held by Programme Coordinators, Academic staff including contractors, including those for sub-contracted programmes, team leaders or other senior staff. The team member responsible for the role will be identified in the Annual Moderation Plan.

Specialist Terms	Definitions
<b>Moderation Liaison</b>	The key contact on matters of external moderation between <b>NZQA</b> and <b>NMIT</b> . <i>[Def: NZQA]</i> At NMIT, this role is undertaken by the Quality Advisor.
<b>Moderator</b>	A person who moderates the validity, reliability and fairness of assessment processes/assessments against set standards and stated course/programme learning outcomes.
<b>Programme Moderation Cycle</b>	The plan that outlines the pattern of internal and external moderation planned for all summative assessments for all the courses in a programme and the rationale behind the pattern.
<b>Post-assessment moderation</b>	Moderation that takes place after assessment results have been finalised, to give staff feedback on the assessments that have been carried out, and validity of their assessment judgements. Post-assessment moderation does not change the results that are being reviewed, but is intended to give guidance (and in some cases requirements) for future assessments.
<b>Pre-assessment moderation</b>	Moderation that occurs before an assessment takes place, where assessment tasks are checked to ensure they assess the relevant learning outcomes and are valid, fair, consistent and reliable.
<b>Valid, Fair, Consistent and Reliable</b>	<p>A range of systematic questions, checks and matching exercises can be applied to an assessment and its marking schedule to ensure that an assessment is valid, fair, consistent and reliable.</p> <p>Validity is the extent to which the assessment fairly assesses what it sets out to assess in an appropriate manner and to the appropriate standard (i.e. is fit for purpose). This is specific to each assessment and the learning outcomes it assesses. It must be designed to gather the full range of evidence to cover the learning outcomes.</p> <p>In order for an assessment to be fair, the instructions need to be clear, complete and easily understood. They should be detailed enough that the students know exactly what they have to do to meet the requirements of the task and that different cohorts of students receive the same instructions.</p> <p>The content of the assessment must not disadvantage or advantage a particular group of students. For example, the language used in the assessment must be accessible to all students without bias to any particular group.</p> <p>For an assessment to be consistent and reliable, it must give results that are dependable across time/students/courses/institutions (if relevant), i.e. results that can be relied on.</p>

\* Where NMIT delivers programmes sourced from /in collaboration with another ITP, the Programme Moderation Cycle and/or Annual Moderation Plan will be informed by any arrangements under that agreement (The ITPs will vary in referring to these as external or internal)

## RESPONSIBILITIES

**The Academic Board** is responsible for developing policy related to moderation and for delegating responsibilities for moderation as it deems appropriate.

**Academic Committees** are responsible for:

- Ensuring accreditation and moderation requirements are met
- Receiving external Moderation Reports, monitoring actions, and forwarding reports (if necessary) to the Quality Committee
- Reviewing and approving Annual Moderation Plans
- Endorsing curriculum changes resulting from Moderation Reports and feedback
- Maintaining accurate high-level records of moderation activity, including approval dates of Annual Moderation Plans and subsequent submitted moderation reports using the Moderation Tracksheet (xcel spreadsheet). The tracksheet provides a repository of dates for planned and delivered moderation across the Institute.

**Quality Committee** is responsible for:

- Monitoring moderation events
- Monitoring action plans which have been put in place as a result of a Moderation Report identifying issues to be addressed

**Heads of Departments (HoDs)** are responsible for:

- Establishing a **Programme Moderation Cycle**; and an **Annual Moderation Plan** for each programme for which they are responsible, stating intended moderation activities for all summative assessments in the programme for that year, ensuring the Annual Moderation Plan complies with the Moderation policy, approving the plan and submitting it to the Academic Committee for approval early in the academic year.
- Ensuring that tasks relating to moderation are carried out and are consistent with the approved Annual Moderation Plan.
- Implementing and maintaining robust internal and external moderation practices which ensure that assessment is valid, fair, and reliable, and, where relevant, is consistent across the Institute.
- Ensuring the programmes for which they are responsible meet internal and external moderation requirements.
- Liaising with external moderators and ensuring expectations, responsibilities and arrangements for their work with NMIT are clear and understood. Moderators need to be supplied with a Moderation Report Template to complete for each moderation activity they conduct – pre-assessment, intra-assessment, or post-assessment moderation. (Templates available: [APPENDIX ONE](#))

- Logistic arrangements for external moderation (e.g. Payments, courier packs)
- Coordinating the responses to moderation requirements when required (e.g. communicating the results of the moderation to the tutors involved).
- Ensuring that moderation reports are considered and acted upon and are used as the basis for improvement
- Forwarding external moderation reports to the Academic Committee for review
- Where external moderation reports have identified issues, the report and actions planned to address issues need to be submitted to Quality Committee in addition to Academic Committee, ensuring that the moderation process and outcomes form part of every programme's self-assessment and accompanying SAR.

**Moderation Coordinators** are responsible for:

- Being familiar with the Annual Moderation Plan for the programmes on which they are working
- Gaining the necessary knowledge and skills to carry out moderation
- Carrying out the moderation tasks assigned to them in a professional manner
- Liaising with HoDs to provide assessment material and samples of assessed work to meet external moderation requirements and timelines as per CMR requirements.
- Providing all relevant information necessary for moderation activity e.g. course descriptors, assessment tools, marking guides; and in the case of post-assessment moderation, samples of student work (normally samples of work from 3 separate students, representing a range of achievement).
- Identifying and proposing suitable moderators (for external moderation) and submitting to HoD for approval
- Where an assessment is delivered across more than one programme and/or department, the moderation coordinator is required to establish a moderation relationship with the other programmes/departments and ensure that the outcomes of the moderation process are shared and resulting actions are consistently applied.

**The NMIT Moderation Liaison** is responsible for:

- Coordinating the moderation processes for all NZQA-administered assessments and is the internal and external contact person for all correspondence and enquiries in this respect. The Quality Advisor acts as the NMIT Moderation Liaison for assessment standards for which NZQA is the Standard Setting Body.
- Coordinating the submission of material as required by other Standard Setting Bodies, e.g. ITOs.

## ANNUAL MODERATION PLAN

An Annual Moderation Plan (see [APPENDIX 3](#) for Process Map) covers a specific date range and needs to include the following:

- The programme of study being covered.
- An overview or rationale outlining the principles on which the moderation is based.

- Types of moderation planned: to include a reasonable spread of pre, intra- and post-assessment; and whether it will be internal or external.
- List of courses to be moderated and a schedule for each.
- If courses include unit standards, a list of the unit standards to be moderated and timeframes for those, if known, plus the NMIT staff member who is the Moderation Coordinator.
- Clear indication of when **external** moderation is to be used.
- Reference to any external compliance required.
- The names and contact details of moderators if available.
- The name of the Moderation Coordinator for each programme
- The name of the Head of Department (or delegate) who is responsible for ensuring the moderation processes are in place and are systematic and robust.

## MODERATION EXPECTATIONS

Where assessment standards or national qualifications are involved, the registered CMR has to be followed.

If courses contain unit standards, the schedule of moderation for individual unit standards will be set by the ITO or NZQA.

Pre-assessment, intra-assessment and post-assessment moderation can all take place internally or externally.

All summative assessments need to be moderated prior to first use, and prior to first use following significant alteration.

### Post-assessment moderation

Materials required usually include:

Cover sheet;

Assessment/Marking Schedule;

Model or sample answers, if applicable;

Assessment activities and instructions to learners;

Completed student work (normally samples of work from three separate students, representing a range of achievement) which has already been assessed and marked within the past 6 months.

## RECORDS MANAGEMENT

Samples of assessed work used for post-assessment moderation purposes need to be retained for a minimum period of seven years. All other assessed work must be retained for a minimum of one year after the date of release of results.

---

## RECORDS

- [Moderation Tracksheet](#) (available on Intranet, Committees site, Guides, Forms and Templates)
- Assessments
- Samples of marked student assessments
- Assessment tools
- Marking guides
- Moderation Cycles
- Annual Moderation Plans (See [Process Map, APPENDIX 3](#))
- Correspondence relating to moderation
- [Moderation Report Forms](#) [templates available for adaptation]
- Internal and External Moderation Reports need to be held at Department level for NZQA Consistency Reviews
- [Moderation Report Coversheet](#)

## REFERENCES

---

### INTERNAL

[Moderation Policy](#)

[Assessment Policy](#)

---

### EXTERNAL

[NZQA External Moderation](#)

[National external moderation guidelines for TEOs](#)

## APPENDICES

[APPENDIX 1](#) NMIT Moderation Report Templates (for external/internal use for all moderation activities)

[APPENDIX 2](#) External Moderation Reports - Process Map

[APPENDIX 3](#) Annual Moderation Plan - Process Map

## MODERATOR TO COMPLETE:

<b>Course Code and Title</b>	
<b>Semester and Year</b>	
<b>Date(s) of moderation</b>	
<b>Title of assessment being moderated (e.g. Final Exam, Unit standard, Practical 1)</b>	
<b>Type of moderation (e.g. pre-assessment, intra-assessment, or post-assessment)</b>	Use appropriate template below to guide the moderation process
<b>Name of Course Tutor</b>	
<b>Name of Moderator/s</b>	

*Checklist for necessary documents:*

Documentation	Tick
Course descriptor or Unit Standard	
Assessment/s task	
Marking schedule/Assessment schedule/Assessment guide	
Sample answers	
Instructions to candidates	
Student scripts (redacted – for post-assessment moderation only)	

**Instructions:**

Please use the relevant template for the type of moderation you are conducting.



## Pre-Assessment Moderation

The following questions form the basis for a discussion. They are not a definitive list. Some questions may not be applicable to the assessment under discussion.

### Instructions and Tasks

1	<p><b>Are the conditions clearly stated?</b> (e.g. closed book examination, observation of performed skill, observation of naturally occurring evidence).</p> <p>Yes / Not completely <i>(Circle as appropriate)</i></p> <p>Comments:</p>
2	<p><b>Instructions/questions</b> are written in appropriate language, are fair and will be clearly understood. Do the questions have a mark allocation? Is the time allocated to complete the assessment reasonable?</p> <p>Yes / Not completely</p> <p>Comments:</p>
3	<p><b>Does the assessment give the student the opportunity to provide evidence corresponding to the stated learning outcomes? Is it appropriate to the course level? Is it pitched at the right level?</b></p> <p>Yes / Not completely</p> <p>Comments:</p>
4	<p><b>Identify which learning outcome/s each task is assessing</b></p> <p>Comments:</p>
5	<p><b>Judgement/sufficiency statements clearly describe performance levels for each grade (eg. quality and length)</b></p> <p>Yes / Not completely</p> <p>Comments:</p>
6	<p><b>Does the assessment tool/method of assessment</b> measure learning consistently to ensure different assessors are making similar judgements and each assessor is making comparable judgements over time.</p> <p>Yes / Not completely</p> <p>Comments:</p>

Marking schedule	
7	<b>Does the assessment rubric/task criteria/evidence match the task instructions and resources?</b>
	Yes / Not completely <i>Comments:</i>
8	<b>Is the marking schedule clear for markers to understand?</b>
	Yes / Not completely <i>Comments:</i>
9	<b>If marks are allocated, these are consistent with the assessment task</b>
	Yes / Not completely <i>Comments:</i>
10	<b>If the assessment task is criterion referenced (not unit standard) the wording of the criteria reflect the level of performance and the mark/grade ie. What does an "A" look like? etc.</b>
	Yes / Not completely <i>Comments:</i>
11	<b>Does the marking schedule provide a description of the evidence required <u>or</u> the range of possible answers?</b>
	Yes / Not completely <i>Comments:</i>
12	<b>List any changes you recommend before the assessment and marking schedule is used again.</b>
Recommended changes:	

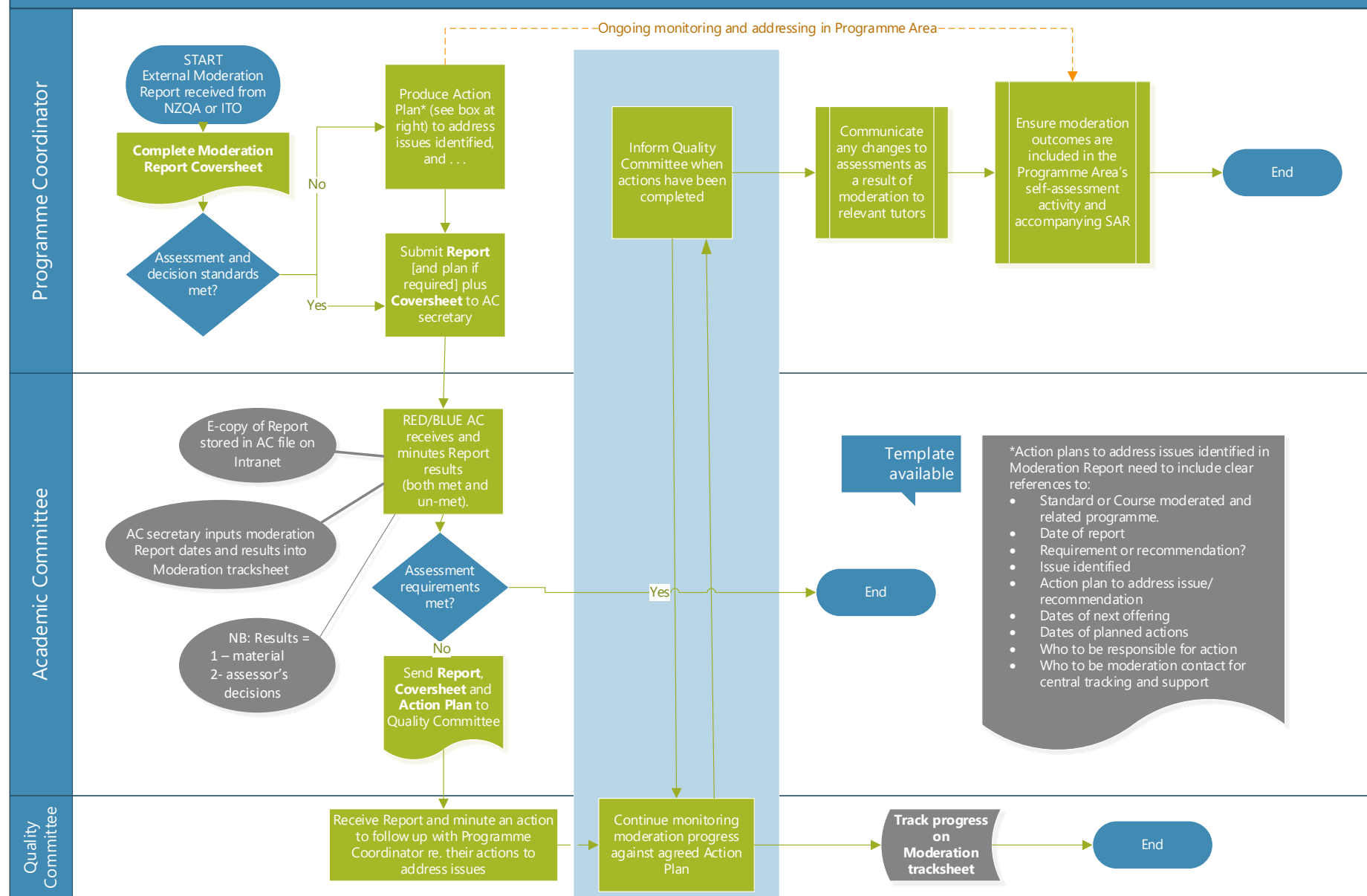
Intra-Assessment Moderation			
1	Is the marking accurate, fair and consistent for the assessments you have reviewed?		
	Yes / Not entirely ( <i>Circle as appropriate</i> ) Comments:		
2	Do you recommend any changes needed to the marks/results for the assessments you have reviewed?		
	Yes / No Comments:		
3	Do any matters need to be addressed by the marker(s) in respect of assessments that have not been provided for external moderation, or from students who are yet to be assessed?		
	Yes / No Comments:		
4	Any other comments you have arising from your intra-assessment moderation?		
Additional comments:			
If external; Moderator's signature		Date	

## Post-Assessment Moderation

The following questions form the basis for a discussion. They are not a definitive list. Some questions may not be applicable to the assessment under discussion

<b>1</b>	<b>Are the assessor's decisions made in accordance with the schedule?</b> (to include checking that the assessor has used the assessment schedule, counted marks, recorded results, read answers, made judgments accurately etc.)
	Yes / Not entirely (Circle as appropriate) Comments:
<b>2</b>	<b>Does the evidence meet the requirements of the assessment schedule?</b>
	Yes / No Comments:
<b>3</b>	<b>Do you have any suggestions for improvement to the assessment and/or associated marking guide?</b>
	Yes / No Comments:
<b>4</b>	<b>Do you have any comments on comparability of results with other courses/intakes/institutions?</b>
	Yes / No Comments:
<b>5</b>	<b>Any other comments you have arising from your post-assessment moderation?</b>
Additional comments:	
<b>If external, Moderator's signature</b>	<div style="display: flex; justify-content: space-between;"> <div style="width: 60%;"></div> <div style="width: 35%; text-align: center;"> <b>Date</b> </div> </div>

## External Moderation Reports. Process



## Process map for Annual (external) Moderation Plans -> Academic Committees **BEFORE 30 March**

