MODERATION PROCEDURE

Section	Learning and Teaching		
Approval Date	09.04.2014	**Approved by**	Academic Board
Next Review	26.10.2019	**Responsibility**	Executive Director – Learning Innovation and Delivery
Last Reviewed	26.10.2017	**Key Evaluation Question**	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
Annual Moderation Plan	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 below.
Assessment schedule (aka Marking schedule)	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.
Cluster Group	A locally, regionally or nationally based external moderation group comprising local, regional or national providers (e.g. Tertiary Institutes, Secondary Schools, Private Training Establishments).
CMR	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)
DAS	The Directory of Assessment Standards (DAS) lists all quality assured unit and achievement standards, known collectively as 'assessment standards'. [*Def*: NZQA]
Evidence	The answers or performance expected from the student. Marking schedules provide examples of the evidence expected.
External moderation*	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: - NMIT tutors /assessors attending cluster group meetings organised by ITOs - an external person contracted to visit NMIT to review and verify validity of assessments - 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.
Internal moderation*	Moderation that is undertaken by NMIT staff; or staff of contracted partners delivering NMIT programmes.
Intra-assessment moderation	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,
Judgement	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."
Marking schedule	See **Assessment schedule**
Moderation Coordinator	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
Moderation Liaison	The key contact on matters of external moderation between **NZQA** and **NMIT**. *[Def: NZQA]* At NMIT, this role is undertaken by the Quality Advisor.
[Moderation Report Coversheet](#)	A coversheet to be attached to every External Moderation Report summarising the results in the Report, before being submitted to Academic Committee. [Available on QMS: Forms, Templates and Guidelines]
Moderator	A person who moderates the validity, reliability and fairness of assessment processes/assessments against set standards and stated course/programme learning outcomes.
Programme Moderation Cycle	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.
Post-assessment moderation	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.
Pre-assessment moderation	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.
Valid, Fair, Consistent and Reliable	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. 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. In order for an assessment to be fair, the instructions need to 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. 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. 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.

*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

Curriculum Managers (Curriculum Managers) 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)

- 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

- Completing the Moderation Report Coversheet (summarising the results in the report); and forwarding the report and the Coversheet to Academic Committee for review, **for all External Moderation Reports.**

NB: Where external moderation reports have identified issues, the report and actions planned to address issues are reviewed at Academic Committee, then forwarded to Quality 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 Curriculum Managers 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 Curriculum Manager 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 1 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 Curriculum Manager (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 Standard Setting Body (often an 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:
Coversheet;
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
- Annual Moderation Plans (See Process Map, APPENDIX 2)
- Correspondence relating to moderation
- Moderation 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 Annual Moderation Plan - Process Map

APPENDIX 2 External Moderation Reports - Process Map

Curriculum Manager

Start

Establish a Programme Moderation Cycle (3 year overview)

Record Plan for self-assessment purposes

Programme Coordinator

Consult previous year's moderation activities and results to inform plan

Create an Annual Moderation Plan for each Programme Area BEFORE end of March

Discuss with Curriculum Manager if necessary

Provide more detail as requested from AC

Resubmit to AC

Academic Committee / HoD A+Q

Compare actual activities in previous year with previous year's Annual Plan to create a 'wrap-up' report with analysis. Submit to Academic Committee in February.

Review the Annual Moderation Plans

Approve?

No → Record in Minutes and communicate to Programme Area

Yes

E-copy of Plan held in Academic Committee site on POLLY

Date of AC approval logged on Tr0acksheet

End . . .until the process begins again the next year.

External Moderation Reports. Process

Programme Coordinator

START External Moderation Report received from NZQA or ITO

Complete Moderation Report Coversheet

Assessment and decision standards met?

No → Produce Action Plan* (see box at right) to address issues identified, and . . .

Yes → Submit **Report** [and plan if required] plus **Coversheet** to AC secretary

Inform Quality Committee when actions have been completed

Communicate any changes to assessments as a result of moderation to relevant tutors

Ensure moderation outcomes are included in the Programme Area's self-assessment activity and accompanying SAR

End

Ongoing monitoring and addressing in Programme Area

Academic Committee

E-copy of Report stored in AC file on Intranet

Action in minutes for Qualicty Advisor to input high-level data into Moderation tracksheet

RED/BLUE AC receives and minutes Report results (both met and un-met).

Assessment requirements met?

NB: Results = 1 – material 2- assessor's decisions

Yes → End

No → Send **Report**, **Coversheet** and **Action Plan** to Quality Committee

Template available

*Action plans to address issues identified in Moderation Report need to include clear references to:
- Standard or Course moderated and related programme.
- Date of report
- Requirement or recommendation?
- Issue identified
- Action plan to address issue/recommendation
- Dates of next offering
- Dates of planned actions
- Who to be responsible for action
- Who to be moderation contact for central tracking and support

Quality Committee

Receive Report and minute an action to follow up with Programme Coordinator re. their actions to address issues

Continue monitoring moderation progress against agreed Action Plan

Track progress on Moderation tracksheet

End