

Moderation Procedure

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Category: Academic

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Responsibility: Director Academic Development

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Scope

Moderation is required for all UCOL programmes in which student work is assessed.

This procedure applies to both internal and external moderation of UCOL programmes.

Responsibility

Academic Portfolio Managers	Responsible for ensuring the pre and post-moderation both of all newly-written assessments and of the assessments specified in the annual moderation plan. Responsible for ensuring that moderation of assessments in their portfolio occurs and for submitting a long term moderation plan, an annual moderation plan and the results of that moderation to the Faculty Board of Educational Improvement annually
Faculty Boards of Educational Improvement	Responsible for ensuring that both internal moderation (including inter-faculty and cross-site moderation) and external moderation occur and that any issues arising from such moderation are addressed. Responsible for accepting and evaluating moderation reports, (including external moderation reports and the final moderation summary reports) and for recording and reporting any actions taken as a result of these reports. Approval of internal and external moderators.
Director Academic Development	Responsible for ensuring that timely advice and guidance is provided to academic staff on moderation issues and for ensuring that faculties continually strive for excellence in these areas. Co-ordinate all NZQA and ITO external assessment and moderation activities and report results to Executive Deans, Head of Schools and Academic Board.

Procedure

Moderation Plans

Long term moderation plans are designed to ensure our assessments remain fit for purpose over time and should be designed to achieve this. This may include, the full programme cycle of moderation (this is between two and five-year cycle, depending on the size of the programme and the number of assessments involved, and the subject area, i.e. assessments in rapidly changing fields require more frequent moderation to ensure currency).

- The annual moderation plan should include details of the courses for pre, post and external moderation for each year.

Moderation Plans will include, all new assessments that are to be pre and post-assessment moderated (including those to be externally moderated).

NB: pre-assessment moderation *must* be undertaken for all assessments prior to their first use at UCOL, regardless of their origin. For new programmes, all assessments from a minimum of two courses must be submitted to the Curriculum and Academic Services Team before use.

- Plans will be submitted to the Faculty Board of Educational Improvement, Terms of Reference as per schedule.

Faculty Boards of Education Improvement shall determine the date by which any requirements and recommendation should be addressed and reported. The Faculty Board of Educational Improvement may require that interim progress reports are also submitted.

All moderation plans are required to be stored securely and readily accessible upon request.

Approving Moderators and External Moderators

In approving internal moderators the Faculty Boards of Educational Improvement will ensure that all moderators:

- Are competent in assessing student knowledge and skills at the level concerned.
- Have expertise in the field of study being assessed.
- Are professional and impartial in their approach to the moderation.
- Are fully briefed on the role of a moderator and have access to all relevant information related to the assessments being moderated, e.g. assessment schedules/the principles and philosophy of the programme as a whole.

Internal and external moderators will:

- Report on the structure, organisation, design and marking of student assessments.
- Report on the quality of student performance.
- Make recommendations for the programme arising from the moderation.

External moderators appointed by other organisations (such as NZQA or an Industry Training Organisation (ITO)) will report on the criteria specified by that organisation.

The moderation of assessments purchased from an outside organisation should follow the same procedures as assessments that are written internally.

A summary of moderation results, activities and actions will be submitted to Academic Committee as part of the regular Faculty Board of Educational Improvement minutes to Academic Committee.

A summary of external moderation results from ITO's and NZQA will be reported to the Academic Committee by the Director, Academic Development.

Any materials selected for pre and post moderation will be held for 7 years after the date of the last action after such time it will be disposed of according to UCOL's Disposal Schedule.

Internal and External Moderation Procedures

Pre-assessment moderation of summative assessments

1. Pre-assessment moderation is undertaken on a cyclical basis in accordance with the moderation plan approved by the Faculty Board of Educational Improvement.
2. The assessment tasks are set by the lecturer or an external party such as a Workforce Development Council or professional body. Each assessment should include a marking guide, assessment criteria, evidence and judgement statements or assessment rubric.
3. Material provided to the moderator by the lecturer will include:
 - A copy of the pre-assessment moderation form.
 - A copy of the topic/course/unit or achievement standard descriptor.
 - A copy of the assessment task(s) and a copy of the learning outcome(s)/element(s) they apply to.
 - A copy of the assessment schedule, judgement statements or assessment rubric.
 - Sample answers (if applicable).
4. The moderator should make suggestions for the improvement of the assessment in writing. Written comments need to be signed and dated by the moderator and should be filed with the original copy of the final assessment.
5. The lecturer will incorporate the agreed changes before the assessment goes out to students.
6. The lecturer is responsible for implementing the agreed changes and for reporting back to the moderator when the changes have been made.
7. If the lecturer and the moderator(s) do not agree on the proposed changes, the assessment in question should be referred to the Head of School for resolution.

8. The moderator's comments, and actions taken in response, will form part of the final moderation summary report submitted to the Faculty Board of Educational Improvement.
9. All pre-assessment moderation reports and associated changes to assessment materials must be stored securely and readily accessible upon request.

Post-assessment moderation of summative marking/results

1. Post-assessment moderation is undertaken for all new assessments, and for other assessments in accordance with the moderation plan approved by the Faculty Board of Educational Improvement.
2. All programmes are required to provide evidence that external moderation has occurred. The feedback from all such moderation should be used by the programme team to improve assessments in all programmes offered by the team.
3. The lecturer responsible for an assessment should notify the appropriate moderator at least three days before moderation is required.
4. The moderator should be provided with all relevant information. This will include:
 - A copy of the post-assessment moderation form.
 - A copy of the assessment.
 - A copy of the marking criteria, judgement statements or assessment rubric.
 - Marked assessments as per the moderation plan (in the case of practical assessments, moderators should view the activity or, alternatively, view a video/photograph).
 - A minimum of three scripts and a maximum of eight scripts.

If the assessment is **competency-based** (including Unit Standard assessments), three assessed learner samples –i.e. one complete set of assessed work for each of three learners. It is expected that at least two samples will be 'achieved', and any 'not achieved' samples will be borderline. Where there are insufficient scripts available for submission at either level, submitting three scripts that are 'Pass/Complete' or 'Not Achieved/Incomplete' is acceptable.

If the assessment is **achievement-based**, a maximum of seven scripts should be provided. These could be one script assessed as 'A' grade, one assessed as 'B' grade, two assessed as 'C' grade, two assessed as 'D' grade and one assessed as 'E' grade. Where there are insufficient scripts available for submission at a particular grade, it is not necessary to increase the number of scripts at the remaining grades, provided a *minimum* of three scripts is submitted.

If the assessment is an **Achievement Standard** (New Zealand curriculum-based), a maximum of eight randomly selected scripts should be provided.

To maintain student privacy, the assessed work from each student will be anonymised (e.g. Student 1, Student 2, etc).

5. The same external moderator may be used for more than one programme in a suite of programmes.
6. Where a programme is offered on more than one campus, the same external moderator will be appointed to moderate that programme. Faculties will liaise to ensure that this occurs.
7. If the lecturer and the moderator(s) do not agree on the moderation outcome, the assessment/student work in question should be referred to the Head of School for resolution.

NB Both NZQA and Workforce Development Councils specify the procedure to be followed if the Head of School or Programme Leader does not agree with the external moderation result.

8. The moderator's comments, and actions taken in response, will form part of the final moderation summary report submitted to the Faculty Board of Educational Improvement and should be considered for implementation in the following assessment opportunity.
9. All post-assessment moderation reports and associated changes to assessment materials must be stored securely and readily accessible upon request.

Inter-faculty and/or cross-site moderation procedures

1. Inter-faculty and cross-site moderation of any unit standard or course offered by more than one programme should be undertaken to ensure consistency across UCOL.
2. If the lecturer and the moderator(s) do not agree on the consistency of marking, the assessment/s in question should be referred to the Academic Portfolio Manager for resolution.
3. The Faculty Board of Educational Improvement responsible for the programme will ensure that inter-faculty and cross-site moderation occur and that the procedures as stipulated in this procedure are followed.
4. It is the responsibility of the Faculty Executive Dean to ensure that materials selected for pre and post moderation are held and disposed of according to UCOL's Disposal Schedule.

Programmes Assessing Against Unit Standards and Achievement Standards

1. The external moderation procedures outlined in the Consent and Moderation Requirements (CMR) for each unit standard and achievement standard must be adhered to. The CMR can be found on the NZQA website.
2. The extent of external moderation will be determined by the Workforce Development Council or NZQA.
3. The Director, Academic Development will co-ordinate the submission of all UCOL post-assessment moderation material to NZQA and the Workforce Development Councils and for reporting the findings to Faculty staff and the Academic Committee.

Definitions

Assessment	means those processes conducted by Lecturers and/or Approved Assessors and used in determining the granting of credit.
External Moderator	means a person external to UCOL appointed to moderate student assessments.
Moderation	means the formal review process for ensuring that an assessment activity and/or the allocation of grades for that activity are valid, reliable, consistent and fair. Moderation may be conducted prior to and/or after the assessment activity. Moderation can be internal and/or external.

Related Documentation

- NZQA National external moderation guidelines for Tertiary Education Organisations (2016) <http://www.nzqa.govt.nz/providers-partners/assessment-and-moderation/tertiary-moderation/>
- NZQA Consent and Moderation Requirements (CMRs) www.nzqa.govt.nz
- [Self Assessment in Quality Guidelines, Policy and Forms](#)
- UCOL Disposal Schedule

The following moderation forms are to be used in conjunction with the Assessment and Moderation Policy and the Moderation Procedure:

- [Moderation Long Term Plan Form](#)
- [Moderation Annual Plan for \(specified\) Year Form](#)
- [Moderation Form – Pre-Assessment](#)
- [Moderation Final Summary Report Form](#)
- [Moderation Form - Post-Assessment \(Internal and External\)](#)