

POLICY
ASSESSMENT AND
MODERATION
(09.001)



POLICY

Northland Polytechnic Limited will ensure that:

- assessments provide learners with an opportunity to demonstrate the prescribed learning outcomes of a course, and
- moderation of all assessments is conducted in a systematic manner to ensure consistency of assessment.

PURPOSE

To ensure that assessment is fair, valid, consistent, and appropriate.

APPLICATION AND SCOPE

This policy applies to all programmes of study delivered by, or for, (including subcontracted delivery) Northland Polytechnic Limited.

DEFINITIONS

- *Assessment*
A formal process, which may be written, oral, practical or simulated, for measuring or testing knowledge, competencies, skills or attitudes to determine an individual's performance.
- *Fair*
Assessment processes and products should be without barriers – providing equity of opportunity for all learners
- *Valid*
Assessments should reflect the objectives and content of the course, should have clarity and appropriate marking criteria for the task and level of learners. The assessment should be fit-for-purpose.
- *Consistent*
Assessment that is a reliable and accurate measurement of learning will provide consistent results regardless of when the assessment occurs or who does the marking. Consistent assessment can be used for multiple cohorts with similar results.
- *Appropriate*
Assessment should only be of the intended skills, knowledge and attributes of the graduate profile of the qualification the assessment leads to or objectives of the programme (if not based on a New Zealand qualification on the NZQF). It should be at a level appropriate to the stated learning outcomes and should be sufficient to provide certainty about the level of competence of those being assessed.
- *Moderator*
A person who has acknowledged expertise and is trained to confirm that assessment results are fair, valid, consistent, and appropriate; and reflect the intended standards.
- *Internal Moderation*

The process of confirming assessment activities are fair, valid, consistent, and appropriate; and reflect the required standard.

- *Pre Moderation*

The critiquing process to ensure the assessment activity provides an opportunity for the learner to meet the specified learning outcome/s.

- *Cross Marking*

The process of different assessors marking the same assessment in order to test the understanding and application of marking guidelines. This takes place before assessment results are finalised and is intended to reduce inconsistencies between individual markers.

- *Post-moderation*

The verification process of ensuring that assessor judgements are fair, valid, consistent, and appropriate; and meet the required standard. This takes place after assessment results are finalised and released to students and is intended to give guidance for future assessments.

- *External Moderation*

The process of confirming assessment activities are fair, valid, and consistent; and reflect the required standard across organisations by an external moderator.

- *Standard Setting Body (SSB)*

A collective term for organisations responsible for the quality and credibility of assessment standards submitted to the New Zealand Qualification Authority (NZQA) for registration on the New Zealand Qualification Framework (NZQF). SSBs include Workforce Development Councils (WDCs), Industry Training Organisations (ITOs), Ministry of Education and NZQA.

- *Consent and Moderation Requirements (CMR)*

A document developed by standard-setting bodies, and approved by NZQA, to identify the specific criteria for Consent to Assess standards within its scope; and outlines external moderation requirements.

COMPLIANCE OBLIGATIONS

- *Consent and Moderation Requirements (CMR)*
- *Privacy Act 1993*
- *Other Professional awarding bodies*

Responsibility	Executive Manager responsible for academic quality
Approval dates	7 October 2021
Next Review	October 2024

OTHER RELATED DOCUMENTS

Associated procedures and guidelines (Appended)

Policy - *Academic Records and Awards (10.001)*.

NZQA unit standards and registered CMRs

Moderation templates and forms from the Quality Management System

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PROCEDURES AND GUIDELINES

- 1.0 Pathway Managers are accountable for ensuring compliance with this policy.
- 2.0 An annual Moderation Plan (pre and post) will be prepared for each programme of study by the Academic staff member responsible for moderation.
- 3.0 The Pathway Manager is responsible for ensuring Moderation Plans for the programmes delivered within the pathway are uploaded to the Moderation portal site.
- 4.0 Audits of assessment and moderation will be conducted across the institution.

5.0 ASSESSMENT

- 5.1 Assessment design will ensure learners can demonstrate achievement/competency of all learning outcomes in a variety of methods.
- 5.2 All new and modified assessments will have an associated marking guide / grading rubric / model answers.
- 5.3 As far as practicable, Northland Polytechnic Limited will accommodate learner requests for assessments to be conducted in Te Reo Māori or New Zealand Sign Language. Learners are required to notify the tutor at the beginning of their course to enable assessment arrangements to be set in place and for the appropriate assessor/s to be identified.
- 5.4 At the commencement of the unit, course or programme of study, all assessment information, including procedures and requirements, will be provided to learners.
- 5.5 Where a programme of study is delivered at more than one site, the same approved assessment activities will be used.
- 5.6 To comply with NZQA requirements, a copy of all assessment material and marked learner work will be retained for a minimum of 12 months from the date of completion of the education or training (refer to Appendix 2).
- 5.7 All results will be reported as per policy *Academic Records and Awards (10.001)*.

6.0 MODERATION

- 6.1 All academic staff engaged in pre and post-moderation practices will complete a moderation workshop provided by Northland Polytechnic Limited.

INTERNAL MODERATION

Pre-moderation

- 6.2 A pre-moderation plan will be established by the Academic staff member responsible for moderation for every programme of study in their area to ensure new or modified assessment events are pre-moderated before initial use.
- 6.3 The Academic staff member responsible for moderation will be responsible for ensuring internal pre-moderation is completed as per plan.
- 6.4 Every new or modified assessment event will be pre-moderated before being issued to learners, using the approved Pre-moderation Report template.
- 6.5 All assessment material purchased from an external provider will have been pre-moderated by the provider and evidence of the pre-moderation will be uploaded to the associated course or unit standard folder on the Moderation portal site.

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- 6.6 Once the Moderator has completed the final report; it will be returned to the Assessment Developer and Academic staff member responsible for moderation.
- 6.7 Where changes to assessment materials are required, the Assessment Developer will be responsible for ensuring these are completed and implemented.
- 6.8 The programme area is responsible for uploading the report and associated documents to the Moderation portal site.

Post-moderation

- 6.9 A post-moderation plan will be established by the Academic staff member responsible for moderation for every programme of study in their area to ensure all assessment events are post-moderated within a four-year cycle.
 - 25% of the programme of study will be moderated on an annual basis.
 - The post-moderation plan will reflect what courses/unit standards are being moderated in a particular year.
- 6.10 The Academic staff member responsible for moderation will be responsible for ensuring post-moderation is completed as per plan.
- 6.11 Every new assessment event will be post-moderated after the first or second delivery, using the approved Post-moderation Report template.
- 6.12 A minimum of three learner samples for post-moderation will be selected by the Moderator. Only the learner ID number (no name) will identify the samples.
- 6.13 All assessments for every learner will be retained for a minimum of 12 months after a programme of study has been completed (refer to Appendix 2).
- 6.14 Post-moderation documents given to the Moderator will include the following:
 - the assessment given to learners
 - at least three marked learner samples
 - marking guide / grading rubric / model answers
- 6.15 Where an assessment is delivered at more than one site, assessment material from every site will be submitted to the same Moderator for post-moderation.
- 6.16 The Moderator will complete the report using the approved Post-moderation Report template.
- 6.17 Once the Moderator has completed the Post-moderation Report, it will be returned to the Assessor for uploading to the Moderation portal site with the associated documents.
- 6.18 Where changes to the assessment or marking practices are required, the Assessor will be responsible for ensuring these are completed and implemented.
- 6.19 The programme area is responsible for uploading the report and associated documents to the Moderation portal site.

EXTERNAL MODERATION

- 6.20 External moderation will take place in accordance with the Moderation Plan.
- 6.21 National external moderation will be completed as required by SSBs.

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- 6.22 Assessments for external moderation will be internally verified against the relevant specifications/requirements.
- 6.23 Submission of external moderation to SSBs will be coordinated by NZQA Moderation Liaison Officer.
- 6.24 Where appropriate, Pathway Managers will enable the Academic staff member responsible for moderation to engage with other tertiary providers (New Zealand or overseas) for external moderation in diploma and degree programmes. It is preferable that at least two external partners are engaged to support external moderation by way of a tripartite agreement.

7.0 REPORTING/MONITORING

7.1 The following will take place:

- End of February annually
 - Moderation Plan is tabled and approved at a Programme Committee meeting with future updates to subsequent meetings. The approved Moderation Plan is uploaded to Moderation portal site.
 - Compliance with the requirement to establish an annual Moderation Plan is monitored by the Pathway Manager or a designated Academic staff member responsible for moderation.
 - and reported to the Academic Quality Assurance Committee.
- End of each semester
 - Internal and external moderation reports are tabled at Programme Committee meetings.
 - Identified actions completed – monitored by the Pathway Leader or a designated Academic staff member responsible for moderation.
 - Compliance with the Moderation Plan is monitored by the Assessment and Moderation Advisor, and an overview reported to the Academic Quality Assurance Committee.
- Ongoing throughout the year
 - External reports from SSBs tabled at the Academic Quality Assurance Committee.

KEYWORDS

Moderation

Moderation Plan

CMR

Assessment

REVISION HISTORY			
Version	Description of Change	Author	Effective date
1	New – replaced <i>Moderation</i> (09.002) and <i>Assessment</i> (09.003)	QMS Team	January 2015
2	Triennial review – significant changes to Procedures and Guidelines; addition of retention of learner work	QMS Team	June 2019
2.1	Review of Procedures and Guidelines (App 2) Retention of Student work to clarify the process	QMS Team	March 2020
2.2	Add ‘Ltd’ to Northland Polytechnic	QMS Team	May 2020
2.3	Add/amend definitions; update procedures and guidelines	T & L Cttee	September 2021
2.4	Add ‘including subcontracted delivery’ to Application & Scope	QMS Team	June 2022

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Retention of Assessment Material (See section 5.6)

PROCEDURES AND GUIDELINES

1. ASSESSMENT MATERIALS

- All assessment materials to be saved in a .pdf format
- Assessment materials include:
 - all summative assessments (e.g., outline provided to learners for assignments, examinations, tests, quizzes, presentations, evidence collection guides etc.)
 - all assessment schedules, including marking guides or grading rubrics or model answers

2. LEARNER WORK

- All written assessments to be saved in a .pdf format
- Learner work includes:
 - all marked learner work that contributed to the final grade (e.g., assignments, examinations, tests, quizzes, recordings of presentations) including any resubmissions or further assessment opportunities (reassessments) with tutor comments/feedback

WRITTEN ASSESSMENTS

- If practicable, all assessments for every learner to be submitted for marking through Moodle or *Turnitin*.
- Work not submitted through the above must be marked and saved in a .pdf format (scanned copies) and uploaded as completed to the NorthTec Portal > Pathway area (as appropriate).
- Digital files are to be uploaded as completed to the NorthTec Portal > Pathway area (as appropriate).

Document filing:

Use this file tree/system:

Level 1 Folder – Programme

Level 2 Folder – Course

Level 3 Folder - Assessments

Level 3 Folder - Learners

➤ Label digital files clearly:

- Folder – Programme Name and reference number
EXAMPLE: Software Development (L6) [2604]
 - Sub-folder for each Course – Course title.Course Number and delivery date (Semester.Year)
EXAMPLE: Enterprise.6639.5004.Semester1,2019

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- Sub-folder of each course for Assessments
 - Course Outline (given to students)
 - Blank assessments
 - Marking guide /grading rubric / model answers
- Sub-folder (inside the course folder) for each learner include every summative assessment - Learner name.ID.Assessment details
 EXAMPLE: Jones,F.137569821.Assignment 1
 EXAMPLE: Jones,F.137569821.Presentation
 EXAMPLE: Jones,F.137569821.Final Examination
 EXAMPLE: Jones,F.137569821.Final Assignment 1.Resit

PRACTICAL ASSESSMENTS

- Practical assessments will be recorded (video, photographs) and saved in a digital format in a suitable and accessible medium. If this is not practicable then a verified checklist will suffice.
- Digital files to be uploaded to NorthTec portal > Pathway area together with the cover sheet (see below).
- File into the Programme/course/learner folder using the same filing and naming conventions as for written work.

At the end of the retention period, twelve months from the date of completion of the education or training, assessments may be deleted.

Cover Sheet for Practical Assessments

Programme Title New Zealand Certificate/Diploma in (Level ??)
Delivery Dates Semester and Year
Course details Course code and title

Notes:

- Digital videos and photographs MUST be accompanied by a signed attestation (see sample below) from the tutor identifying:
 - The learner/s in the video/photograph
 - The assessment the video/photograph is evidencing
 - Venue and date the assessment took place

LEARNER IDENTIFICATION FOR VISUAL/DIGITAL ASSESSMENTS

This form is to be used to identify learner’s visual/photographic evidence for practical assessments.

A separate form is to be used for each learner and attached as evidence.

Learner ID: _____

Programme Title: _____

Course/Unit Standard No and Title: _____

Assessment Details:

Means of identification e.g., clothing, position in the group:

Other information:

Tutor signature: _____

Date: _____

The Moderation Process

