

POLICY
ASSESSMENT AND MODERATION
(09.001)

POLICY

Northland Polytechnic shall 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 the consistency of assessment with the required standard across the institution.

PURPOSE

To ensure that assessment is fair, valid, meaningful for students, and consistent with the required standard across Northland Polytechnic.

APPLICATION AND SCOPE

This policy applies to all courses, units and programmes of study delivered by, or for, Northland Polytechnic.

DEFINITIONS

- *Assessment*
A formal process, which may be written, oral or practical, for measuring or testing knowledge, competencies, skills or attitudes the results of which are documented and recorded in the Academic Transcript.
- *Internal Moderation*
The process of confirming assessment activities are fair, valid and consistent with the required standard. This process is usually undertaken by Northland Polytechnic staff.
- *External Moderation*
The process of confirming assessment activities are fair, valid and consistent with the required standard across organisations. This process is undertaken by individuals familiar with similar programmes offered by organisations outside of Northland Polytechnic.
- *Moderator*
An independent person who has acknowledged expertise to confirm that assessment results reflect intended standards and has undertaken the Northland Polytechnic internal moderation training.
- *Standard Setting Body (SSB)*
A collective term that covers industry training organisations and advisory groups; these organisations are recognised by NZQA as nationally representative experts in a particular field for the establishing of standards for national qualifications.
- *Consent and Moderation Requirements (CMR)*
CMRs are developed by standard-setting bodies and cover all areas of the National Qualifications Framework. CMRs identify the specific criteria for accreditation and outline external moderation requirements. Each unit standard and achievement standard is

assigned a CMR which can be accessed on the NZQA website. CMRs were formerly known as Accreditation and Moderation Action Plans (AMAPs).

COMPLIANCE OBLIGATIONS

- *Consent and Moderation Requirements (CMR)*
- *Privacy Act 1993*

Responsibility SMT member responsible for academic quality matters
Approval dates January 2015
Next Review January 2018

OTHER RELATED DOCUMENTS

NZQA unit standards and registered CMRs

[Moderation templates and forms](#)

SIGNED: V Dark
Chair, Council

Date: 27/2/15

PROCEDURES AND GUIDELINES

These guidelines indicate best practice at NorthTec and programme areas should apply them in the best possible way that also reflects their context.

- 1.0 Programme Leaders will be responsible for ensuring compliance with this policy.
- 2.0 Quality Learning may undertake random audits across the institution.
- 3.0 An Annual Moderation Plan (see Appendix 3) will be completed by the Programme Leader and uploaded to the Portal at [Moderation templates and forms](#).

4.0 ASSESSMENT

- 4.1 When designing assessments, consideration should be given to allowing learners to demonstrate achievement/competency in a variety of methods.
- 4.2 As far as practicable Northland Polytechnic will accommodate student requests for assessments to be conducted in Te Reo Māori.
- 4.3 For assessment to be conducted in Te Reo Māori the assessors and moderators will be competent to conduct the assessment in Te Reo Māori or have an appropriate translation/interpretation service available.
- 4.4 All courses and programmes of study approved by the Academic Board will have regulations in place for the administration of assessments, which meet the external, national or local requirements. Where external academic regulations take priority over Northland Polytechnic academic regulations, this must be stated in the course/programme regulations.
- 4.5 The following shall be made known to the students at the commencement of the unit, course or programme of study:
 - Assessment standards, dates and weightings;
 - Types of assessments to be used;
 - Learning Outcomes;
 - The pass and/or competency criteria;
 - The standards required for any grades of performance;
 - Turnaround time for assessment results;
 - Reconsideration, re-sit and aegrotat procedures; and
 - Reference to the procedures for requesting that an assessment is conducted in Te Reo Māori and that this provision is subject to the ability of the Polytechnic to make appropriate arrangements.
- 4.6 Students shall be advised of the procedures and stipulations prior to the commencement of an assessment, particularly those relating to the conduct of examinations.
- 4.7 Moderation of assessments shall be according to the Moderation section of this policy.
- 4.8 Grades will be granted to students on the basis of assessments which occur throughout each course.
- 4.9 Student progress reporting should reflect the requirements of the Privacy Act and the Policy *Academic Records and Awards (10.001)*.

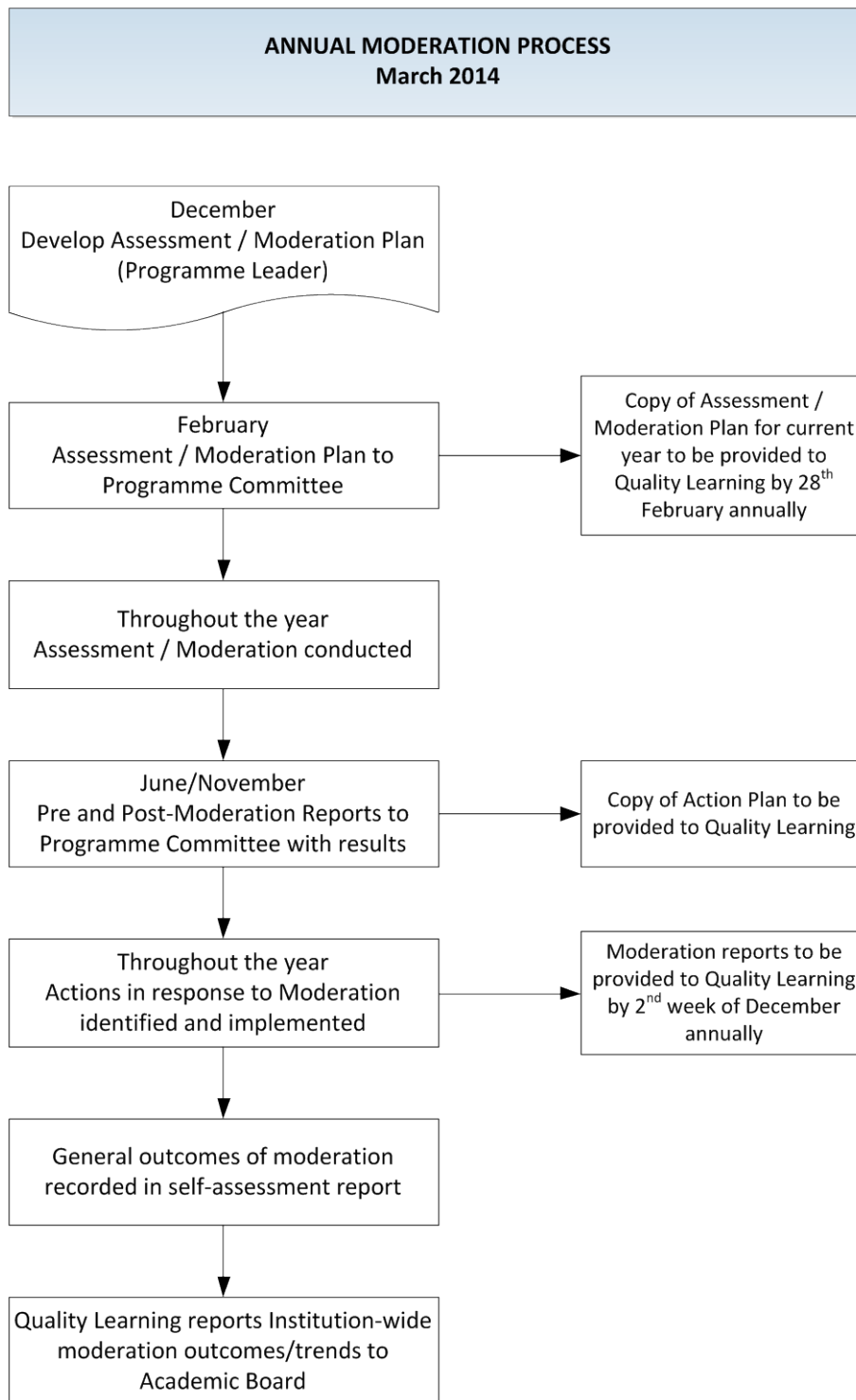
5.0 MODERATION

- 5.1 All assessment activities for units, courses and programmes of study will comply with the moderation requirements of external SSBs where these exist.
- 5.2 Programme Leaders will provide copies of the current year's moderation reports to Quality Learning by the 2nd week of December annually.
- 5.3 The general outcome of moderation will be reported to the Academic Board through the self-assessment process.
- 5.4 Every new or changed assessment event will be pre-moderated prior to initial use using the standard form (see Appendix 4).
- 5.5 Every assessment event within a programme of study will be post-moderated each year using the standard form (see Appendix 4).
- 5.6 At least three samples of all student work that contributed to an assessment grade, together with model answers, evidence/judgement statements, marking and grading criteria, and post moderation reports (if any) are to be retained for a minimum of 12 months after the delivery of a programme of study has been completed.
- 5.7 Student samples for post-moderation will be selected by the moderator and include a sample from high, low and fail (Achievement-based courses) and pass/borderline/fail (Competency-based courses). Moderators will be provided with the documentation as prescribed in the moderation report form.
- 5.8 Programme Committees receive moderation reports.
- 5.9 The NZQA Moderation Liaison Officer will receive and respond to requests from SSBs for moderation materials.
- 5.10 All externally moderated courses/unit standards will be internally moderated before being submitted for external moderation. Submission of external moderation will be coordinated by Quality Learning.
- 5.11 Non NZQA/ITO courses will be externally moderated on a 3 yearly basis.
- 5.12 Moderators will be appointed from the pool of approved Tutors/Programme Leaders (see definition).
- 5.13 Where appropriate, Programme Leaders are encouraged to engage with other tertiary providers (New Zealand or overseas) for external moderation in degree programmes.
- 5.14 External and internal moderation reports are to be filed with Quality Learning.

KEYWORDS

Moderation
Moderation Plan
CMR
Assessment

REVISION HISTORY			
Version	Description of Change	Author	Effective date
1	New – replaced <i>Moderation (09.002)</i> and <i>Assessment (09.003)</i>	QMS Team	January 2015



MODERATION PLAN 2015 for INSERT PROGRAMME NAME (please complete separate plan for each programme - same file, new

Minimum documentation required for Pre-Moderation:
 The assessment materials used including the candidate guide (where used).
 The marking schedule and model answers.
 All material used by the assessor to make the assessment decisions (judgement statements)

Post-Assessment requires all the document for pre-moderation plus:
 Assessed candidate material from three candidates (or as stated)
 Where possible, the student samples should be those with borderline assessment decisions where credit was awarded and where credit was not awarded.
 All material sent for moderation should be legible copies, and originals are to be retained by tutor
 Student names are to be replaced with an identifying symbol (i.e. 1,2,3 or A,B,C).

INTERNAL MODERATION

Course Name / U/std Number	Assessment Item	Tutor	Pre-Moderation required ✓ - due before assessment is undertaken	Post moderation to be completed ✓	Moderator (s)	Actions Required by Moderator	Status of required actions (completed/underway etc)
						Add outcomes from moderation reports here as they are completed - if none, state no actions required	
AMENDMENTS							

EXTERNAL MODERATION

Course Name / U/std Number	Assessment Item	Tutor	Pre-Moderation required ✓ - due before assessment is undertaken	Post moderation to be completed ✓	Moderator (s)	Actions Required by Moderator	Status of required actions (completed/underway etc)
						Add outcomes from moderation reports here as they are completed - if none, state no actions required	
AMENDMENTS							

Plan confirmed by: _____ Programme Leader Date _____

Actions Required completed: _____ Programme Leader Date _____

 NorthTec <small>TAI TOKERAU WĀNANGA</small>	ASSESSMENT EVENT - PRE MODERATION REPORT <input type="checkbox"/> INTERNAL / <input type="checkbox"/> EXTERNAL
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1. Unit Standard / Course Information to be completed by the Tutor/Assessor				
Course Number/ Unit standard and Title			Version #	Level
Number		Name/Title:		
Learning Outcomes				
Tutor/Assessor's Name				
Moderator's Name				
Date of Assessment Distribution		Date:		
Is this a new or repeated assessment?		New	Modified	
If repeated, when was it last used?		Date:		
Will assessment be used again this year?		Yes	No	
Integrated or standalone assessment?		Integrated	Standalone	
2. Pre-Assessment of materials				
I have provided the following documentation:				
Unit Standard/Course Descriptor			Yes	No
Assessment Event			Yes	No
Model Answers (if appropriate)			Yes	No N/A
Evidence/Judgement Statements or Marking and Grading Criteria			Yes	No
<i>If you have answered no to any of the above, please do not submit for moderation until you can answer 'yes'</i>				
The Assessment Event is				
NorthTec developed			Yes	No
Commercial or ITO materials			Yes	No
Modified MOE or NZQA materials			Yes	No
Other (please define)			Yes	No

3. Moderation Checklist to be completed by the moderator			
Checklist			Comments
Are accurate course/unit details shown?	Yes	No	
Are clear deadlines for the assessment given?	Yes	No	
Are timescales for the assessment appropriate?	Yes	No	
Are the Learning Outcomes listed?	Yes	No	
Is the assessment language clear, unambiguous and at the correct level?	Yes	No	
Does each task show which learning outcome is being addressed?	Yes	No	
Is the marking criteria for each task clear and does it meet the requirements of the course/unit outcomes?	Yes	No	
Is there a scenario or vocational context?	Yes	No	
Are the activities reflective of current industry practice?	Yes	No	
Is there evidence of clear links to functional skills (literacy, numeracy, ICT and employment) within the assessment?	Yes	No	
Is the assessment innovative and likely to motivate learner?	Yes	No	

**If a no is recorded by the moderator, remedial action is required before the assessment can be issued.
Both the Tutor/Assessor and Moderator should confirm the action has been undertaken on page 2.**

4. Assessment fit for purpose criteria			
Checklist	Yes	No	Comments
Specific?	Yes	No	
Clear?	Yes	No	
Unbiased?	Yes	No	
Fair?	Yes	No	
Method appropriate?	Yes	No	
Provides an opportunity for Learners to feedback on the assessment?	Yes	No	

If a no is recorded by the moderator, remedial action is required before the assessment can be issued.
Both the Tutor/Assessor and Moderator should confirm the action has been undertaken below.

5. No action required		
Pre-moderation completed by		
Name _____	Signature _____	Date _____

6. Action Required			
7. Action Taken			
Action Completed			
Signed Assessor:		Signed Moderator:	

8. Administration	
Assessment and moderation report scanned and uploaded to portal	Date:



ASSESSMENT EVENT - POST MODERATION REPORT

 INTERNAL / EXTERNAL

1. Course / Unit Standard - Information to be completed by Tutor

Tutor/Assessor Name		
Course / Unit Standard Number and Title	Version # (Unit Standards only)	Level
I have provided the following documentation		
Course Descriptor/ Unit Standard	Yes	No
Assessment	Yes	No
Model Answers (if appropriate)	Yes	No N/A
Evidence/Judgement Statements or Marking and Grading Criteria	Yes	No
Pre-Moderation report	Yes	No
Assessed Student Work (as selected by Moderator from class result list)	Yes	No
<i>If you have answered no to any of the above, please do not submit for moderation until you can answer 'yes'</i>		

2. Post-Moderation of Results (complete a separate section for each student)

Student ID #			Grade Awarded	
Checklist			Comments	
Is the marking accurate and consistent in relation to the Evidence Statement / Marking Criteria and/or Model Answers?	Yes	No		
Has the Tutor/Assessor provided adequate feedback to the students?	Yes	No		
Has the Tutor/Assessor provided guidance for improvement?	Yes	No		
Have the spelling, punctuation and grammar (SPAG) errors been identified by the Tutor/Assessor? ¹	Yes	No		
Has the student had the opportunity to provide feedback on the assessment?	Yes	No		
Does the moderator support the Tutor/Assessor decision?	Yes	No	Please provide feedback in <i>Comments</i> below	
Overall comments				

¹ To develop learners' literacy

Student ID #			Grade Awarded	
Checklist			Comments	
Is the marking accurate and consistent in relation to the Evidence Statement / Marking Criteria and/or Model Answers?	Yes	No		
Has the Tutor/Assessor provided adequate feedback to the students?	Yes	No		
Has the Tutor/Assessor provided guidance for improvement?	Yes	No		
Have the spelling, punctuation and grammar (SPAG) errors been identified by the Tutor/Assessor?	Yes	No		
Has the student had the opportunity to provide feedback on the assessment?	Yes	No		
Does the moderator support the Tutor/Assessor decision?	Yes	No	Please provide feedback in <i>Comments</i> below	
Overall comments				

Student ID #			Grade Awarded	
Checklist			Comments	
Is the marking accurate and consistent in relation to the Evidence Statement / Marking Criteria and/or Model Answers?	Yes	No		
Has the Tutor/Assessor provided adequate feedback to the students?	Yes	No		
Has the Tutor/Assessor provided guidance for improvement?	Yes	No		
Have the spelling, punctuation and grammar (SPAG) errors been identified by the Tutor/Assessor?	Yes	No		
Has the student had the opportunity to provide feedback on the assessment?	Yes	No		
Does the moderator support the Tutor/Assessor decision?	Yes	No	Please provide feedback in <i>Comments</i> below	
Overall comments				

3. Overall Comments (Recommendation and Commendations)

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4. Post-moderation completed by

Name _____	Signature _____	Date _____
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5. Administration

Assessment and moderation report scanned and uploaded to portal	Date:
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Please note - This report is to be tabled at the Programme Committee meeting with the relevant results