

# PROCEDURES & PRINCIPLES

Part B2: Assessment and Moderation

Number: AC-11/05

<b>Policy Manager:</b>	Quality and Academic Director	<b>Date Approved:</b>	November 2011
<b>Category:</b>	Academic	<b>Date Last Revised:</b>	March 2018
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<b>Authorised by</b>	Academic Approvals Committee		

## MODERATION

### 1. MODERATION AT WINTEC

- 1.1. Moderation is integrated into Wintec's Quality @ Wintec framework and is a quality lens used to assess consistency and fairness across assessment practices and judgements. It is also a self-assessment tool that can lead to continuous improvement in teaching and learning.
- 1.2. Moderation assesses the strength of the reciprocal relationship between learning outcomes, assessments and learning activities.

### 2. MODERATION PRINCIPLES

- 2.1. *Moderation is accountability* – moderation ensures fairness, consistency and reliability in assessment. Robust moderation processes provide assurance to students and staff that assessment design, implementation and judgements are systematically reviewed providing confidence that the results achieved are valid and meaningful.
- 2.2. *Moderation is continuous improvement* – moderation is a key component of the self-assessment framework. Moderation supports the cycle of continuous review and improvement of modules and assessments by providing the systematic check of alignment between assessments, learning outcomes and learning activities.
- 2.3. *Moderation is transparent* – for moderation to be an enabler of accountability and continuous improvement, it needs to be clear and well-documented.
- 2.4. *Moderation is a collaboration* – at a basic level, moderation is a peer review of staff capabilities. It must therefore be conducted in the spirit of collaboration and continuous improvement of capabilities in, and quality of, teaching and learning. Staff are expected to conduct themselves within this spirit of collaboration so that if discord does occur, it is resolved in a professional and expedient manner.
- 2.5. *Moderation is manageable* – while moderation is an integral part of the teaching and learning cycle, it is not expected that every module will be moderated every time it is delivered; this would be unmanageable. However, all modules must be moderated at least once within a three-year cycle. Each School/Centre must develop and follow a three-year moderation schedule. The moderation process can be time-consuming; therefore, moderation schedules and moderators must be confirmed as early as possible to allow planning and potential capability development.

### 3. MODERATION PRACTICES

- 3.1. All modules delivered at or by Wintec will be moderated according to Wintec and external moderation requirements. This includes delivery offshore, off-site, online, or through a partnership/consortium arrangement; and all modules with assessment standards.
- 3.2. This policy details the minimum expectations required for moderation of modules. Individual School/Centres may apply higher expectations/requirements but these must be approved by the School/Centre's Programme Committee(s) and be consistent and transparent across the whole School/Centre.
- 3.3. The scheduling of moderation will be determined by:
  - i. the Programme Committee

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- ii. requirements of any external bodies
  - iii. best practice principles.
- 3.4. Wintec will retain student work and assessments for up to one year for moderation purposes. Moderated assessments will be retained with all other moderation materials for seven years.

## 4. WINTEC-MANAGED MODERATION

- 4.1. Wintec-managed moderation should occur for all modules and assessments. It is not realistic to moderate every module every year; therefore, all modules should be put on a moderation cycle.
- i. Each unit that delivers modules should maintain a continuous moderation schedule. The moderation schedule should include:
    - 1) when the module will be moderated
    - 2) what type of moderation will be undertaken
    - 3) who will conduct the moderation
    - 4) when the module was last moderated
    - 5) what type of moderation was conducted.
  - ii. The moderation schedule is a living document and should be confirmed at the beginning of every year in order to confirm the modules to be moderated that year.
  - iii. All modules being taught must be moderated through either a Pre-Assessment or Post-Assessment moderation process at least once every three years. This is the standard moderation requirement at Wintec.
    - 1) Standard moderation requires only one type of moderation, Pre- or Post-Assessment, per three-year cycle.
    - 2) All modules should alternate between Pre-Assessment or Post-Assessment moderation, i.e. Pre-Assessment moderation cannot be used in two consecutive cycles.
    - 3) It is best practice to add the Pre-Teaching Review to the standard pre-assessment moderation of a module.
    - 4) It is best practice to combine all three types of moderation in to a single moderation process.
  - iv. Regardless of the moderation schedule or where a module sits in the cycle, if it meets any of the following criteria, then it must be moderated in that academic year.
    - 1) It is a new module.
    - 2) It is a module that has undergone significant changes to learning outcomes, activities or assessment components.
    - 3) It is an existing module with new assessment components.
    - 4) It is a module being delivered at a new site/in a new way.
    - 5) Issues with a module have been identified through self-assessment processes, e.g. student feedback, peer observation, etc.
    - 6) It has not been moderated for three years.
  - v. Where a module is delivered at more than one site (including offshore), all sites must be moderated and included in the moderation schedule.
  - vi. For *new staff members*, post-assessment moderation is required. Pre-delivery discussions of assessment judgements, assessment principles and assessment practices should be integrated into School/Centre support systems for new staff. Pre-teaching review and pre-assessment moderation are not required if the new staff use existing assessments and existing material, however, it is good practice to have new staff members participate in a pre-teaching review and pre-assessment moderation process with a peer/their mentor.

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vii. For *existing staff delivering an existing module for the first time*, pre- or post-assessment moderation is not required but it is recommended that there be a check in to ensure that assessment judgements, assessment principles and assessment practices meet the required standard.

4.2. The table on the following page illustrates the type of moderation that should be conducted, depending on the reason:

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<b>KEY</b>	Required	Recommended	Optional
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## Wintec-managed Moderation Expectations.

	Pre-Teaching Review		Pre-Assessment Moderation		Post-Assessment Moderation	
	New staff	Existing staff	New staff	Existing staff	New staff	Existing staff
First delivery of a <b>new module</b>	Required	Required	Required	Required	Required	Required
First delivery of an existing module using new assessments and materials	Required	Recommended	Required	Recommended	Required	Required
First delivery of an existing module using existing assessments and materials	Optional	Optional	Optional	Optional	Required	Optional
Module has had significant <b>changes</b>	Required	Required	Required	Optional	Required	Required
Module has <b>new assessments</b>	Recommended	Recommended	Required	Optional	Required	Required
First delivery of a module at a <b>new site</b>	Recommended	Optional	Recommended	Optional	Required	Required
Issues with a module have been identified through self-assessment processes, e.g. student feedback, peer observation, etc.	Recommended	Recommended	Recommended	Recommended	Required	Required
Has not been moderated for three years	Recommended	Recommended	Recommended	Recommended	Required	Required

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## 4.3. Moderators

- i. The person/s undertaking the moderation should have appropriate knowledge and understanding of the content and procedures being applied, and the context in which the teaching is carried out.
- ii. The moderation schedule for each module should include a mix of moderators, for example:
  - 1) Wintec staff that do not teach on the module
  - 2) other ITP staff that deliver similar modules
  - 3) other tertiary academic staff that deliver similar modules/subjects
  - 4) professional body representatives
  - 5) Industry Training Organisation representatives.
- iii. As part of the Wintec-managed moderation cycle, all modules must also be moderated by an external moderator at least once every three years.
  - 1) Externally-managed moderation (External Moderation) will fulfil this requirement.
  - 2) Where a programme does not have an externally-managed moderation process in place (e.g. ITO process for ITO managed unit standards), the Head of School/Centre Director will establish a relationship with an external representative to fulfil this requirement.
  - 3) Programme Committees are responsible for regular benchmarking of their programmes and modules against comparable international standards. This can be achieved by including international academic peers in the moderation process.
- iv. School/Centres must negotiate conditions for external moderators (e.g. payment), in conjunction with the Wintec Contracts office, prior to moderation taking place.

## 5. EXTERNALLY-MANAGED MODERATION

### 5.1. Requirements

- i. Each external body will have its own process and procedures that must be followed.
- ii. Wintec's Quality and Academic Unit is responsible for the management of NZQA external moderation requirements.
- iii. Each Head of School/Centre Director, or delegated representative, is responsible for the management of ITO, Standard Setting Bodies (SSBs), Professional Body or any other external body moderation requirements.
- iv. Internal moderation of unit or achievement standard assessments should be conducted prior to submission for External Moderation.

## 6. ROLES AND RESPONSIBILITIES IN MODERATION

- 6.1. The roles and responsibilities of the various parties involved in the moderation process need to be clearly established to ensure the principles of sound assessment practice are modelled.

ROLE	RESPONSIBILITY
<b>Academic Approvals Committee (AAC)</b>	<ul style="list-style-type: none"><li>- Receive and monitor outcomes of Wintec-managed and externally-managed moderation</li><li>- Report to the Academic Board:<ul style="list-style-type: none"><li>o Advising on the general outcomes of Wintec-managed and externally-managed moderation; and</li><li>o Any significant issues and actions required to address these.</li></ul></li></ul>
<b>Office of the Dean</b>	<ul style="list-style-type: none"><li>- Ensures moderation occurs within Schools/Centres.</li></ul>

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	<ul style="list-style-type: none"> <li>- Has overall responsibility for ensuring that any issues/breaches with moderation process are mitigated/rectified.</li> </ul>
<b>Quality and Academic Unit</b>	<ul style="list-style-type: none"> <li>- Monitors the moderation processes used at Wintec as part of the self-assessment process.</li> <li>- Audit assessment and moderation materials from time to time.</li> <li>- Oversees external moderation requirements for unit standards that are moderated through NZQA.</li> </ul>
<b>Programme Committee/s (PC)</b>	<ul style="list-style-type: none"> <li>- Ensures rigour and consistency of moderation practices and processes across School/Centre programmes.</li> <li>- Approves the three-year and annual moderation schedules.</li> <li>- Reviews all Wintec-managed and externally-managed moderation results, and tracks, monitors, and reviews any required or recommended changes.</li> <li>- Considers and selects external moderators from nominations that have been recommended by staff to the PC.</li> <li>- Where compliance with externally-managed NZQA Consent and Moderation Requirements (CMR) or ITO moderation conditions is required, the Programme Committee will ensure that procedures will facilitate this.</li> <li>- Reports to the Academic Approvals Committee through the Strategic Programme Oversight Committee minutes and self-assessment plan three time a year on:             <ul style="list-style-type: none"> <li>o general outcomes of Wintec-managed and externally-managed moderation</li> <li>o any significant issues and actions required to address these</li> </ul> </li> </ul>
<b>Head of School/Centre Director</b>	<ul style="list-style-type: none"> <li>- Has overall responsibility for the implementation and management of Wintec-managed and externally-managed moderation schedules and procedures for all School/Centre modules delivered at all sites.</li> <li>- Establishes a co-ordinated approach to scheduling, undertaking and reporting moderation for modules/unit standards delivered under a service level agreement elsewhere in Wintec.</li> <li>- Arranges for the appointment of external moderators.</li> <li>- Has overall responsibility for ensuring that all aspects of the moderation process are completed.</li> </ul>
<b>Team Manager or designated nominee<sup>1</sup></b>	<ul style="list-style-type: none"> <li>- Is responsible for the implementation and management of moderation schedules and procedures (both Wintec-managed and externally-managed) for all modules delivered at all sites</li> <li>- Is responsible for ensuring that moderation processes are robust and effective.</li> <li>- Is responsible for ensuring that all aspects of the moderation process are completed.</li> </ul>

<sup>1</sup> School/Centre may designate another staff member to implement and monitor moderation processes across programmes to ensure rigour and consistency; however, the Team Manager maintains overall responsibility.

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## Academic Staff Members

- Implement moderation as and when specified in the School/Centre annual moderation schedule.
- Ensure that all moderation reports are presented to the Programme Committee.
- Work within the moderation processes and timeframes required by their Programme Committee.
- Supply all documentation required for all Wintec-managed and externally-managed moderation processes.
- Complete all assigned moderator duties in a timely and professional manner.
- Actively seek support from the appropriate unit if professional learning is required.

## 7. MEASUREMENTS OF SUCCESS

- 7.1. There is an active Wintec annual moderation schedule in every School/Centre.
- 7.2. Every active module is moderated (both internally and externally) within a three-year cycle.
- 7.3. Programme Committees report that continuous improvement of teaching and learning and assessment practice occurs as a result of moderation.

## 8. RECORDS MANAGEMENT

- 8.1. In line with the Public Records Act 2005, Wintec is required to provide a records management programme to ensure that authentic, reliable and usable records are created, captured and managed to a standard of best practice, and to meet business and legislative requirements. All records relevant to a specific policy need to be listed in every policy in the following format:

Record	Minimum retention period	Disposal Action	GDA Reference
External moderation materials (including moderated assessments, plans, recommendations)	10 years after date of last action	Destroy	4.2.6
Internal moderation materials (including moderated assessments, plans and recommendations)	7 years after date of last action	Destroy	4.2.7