



Ringa Atawhai Mātauranga

Assessment and Moderation Handbook



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SECTION I Background

(i) Purpose:

The purpose of this Assessment and Moderation System and Handbook is to provide a structured framework and a clear guide including policy, procedures and forms and templates for the effective management and administration of all NZQF standards-based internal assessment carried out by the PTE. The PTE has a responsibility and is committed to implementing quality, effective, manageable assessment and moderation that is compliant with all NZQA, Standard Setting Body and 'Best Practice' requirements.

The purpose of this Assessment Management System and Handbook is to ensure that all NZQF internal assessment and moderation carried out by the PTE:

- is coherent, manageable, robust and complements and supports tauira learning and achievement
- is valid, fair, authentic and consistently applied at the National Standard
- is compliant with all NZQA Standard Setting Body (SSB) and 'Best Practice' requirements
- is consistent with the PTE's assessment policy, procedures and requirements
- has clear, well documented processes and procedures, and has clearly defined roles and responsibilities for both staff and tauira.

(ii) Guiding Documents

The key Guiding Documents relevant to this Assessment and Moderation System are:

- Education and Training Act 2020
- NZQA – Assessment and Examination Rules (2024)
- PTE Teaching and Learning Handbook
- PTE Teaching and Learning Policy
- NZQA – Learning and Assessment Guide to Assessment for the NQF
- NZQA - NZQA – Guidelines for Private Training Establishment Registration (2022)
- NZQA – Best Practice Principles for the Assessment of Unit Standards
- NZQA / SSB Documentation incl. relevant Consent and Moderation Requirements (CMR)
- NZQA – National External Moderation Manual for TEOs
- NZQA – How to Maintain Registration as a Private Training Establishment
- NZQA – Policies and Criteria for On-going Registration of PTEs
- NZQA – Guidelines for Approval/Accreditation of Programmes on the NZQF
- NZQA – PTE Registration Rules (2022)
- NZQA – Consent to Assess Against Standards on the DAS Rules (2022)
- NZQA – PTE Enrolment and Academic Records Rules (2022)
- Relevant SSB/ITO Assessment and Moderation Requirements (CMR)

(iii) Scope of Coverage

This Assessment and Moderation Handbook and System apply to all aspects associated with the internal assessment and moderation of NZQF Standards that are assessed by the PTE and for which the PTE reports credits to NZQA.

The Handbook covers the internal assessment process, administration of assessment, the internal and external moderation of assessment and the monitoring, evaluation, review, reporting and planning of assessment within the PTE. All NZQF assessment and moderation carried out by the PTE is to be managed and administered in accordance with the Assessment Management Practice-based Principles, the NZQF Assessment and Moderation Policy and the Assessment Management Good Practice Guidelines.

SECTION II NZQF Assessment and Moderation Policy

NZQF ASSESSMENT and MODERATION POLICY

RATIONALE:

The assessment of internal “NZQA Unit Standards” that contribute towards national qualifications listed on the NZQF is an integral part of tauira learning and achievement. The PTE has a responsibility and is committed to implementing quality, effective, manageable assessment and moderation that is compliant with all NZQA, Standard Setting Body (SSB) and “Best Practice” requirements.

POLICY STATEMENT:

The PTE will implement assessment on the NZQF that:

- supports tauira learning and achievement;
- is robust, credible, systematic, manageable and consistent, and at the National Standard;
- uses assessment methods that are fair, reliable, effective and integrated with learning;
- uses assessment evidence that is valid, accurate, authentic and verifiable;
- is compliant with all NZQA, SSB and “Best Practice” requirements;
- uses internal and external moderation to build a shared understanding of the assessment criteria and assessment process; and
- has a key focus of guiding and informing the continuous improvement of the assessment process, assessment practice, outcomes for learners, learning programmes and learning and teaching within the PTE.

GUIDELINES:

The following guidelines relate to management of all NZQF standards-based internal assessment carried out by the PTE:

- (1) Assessment is to be used to provide feedback on learning, to measure, support and enhance tauira learning, and ensure accountability. All assessment is to be accurate, reliable, valid, authentic, verifiable, open and consistent. It will also be culturally appropriate and equitable.
- (2) Tauira are to be given the opportunity to show their best achievement. Reassessment and the collection of additional assessment evidence is to be handled fairly, openly and in accordance with the assessment guidelines. Tauira prior learning and current competency, Credit Transfer and Cross Credit will be fairly and appropriately recognised and addressed.

- (3) Tauira are to be provided with full, accurate and clear assessment information, and appropriate assessment feedback and feed-forward during the assessment process and be able to record and track their own results/progress.
- (4) Missed and late assessments, impaired performance and tauira appeals and complaints are to be handled fairly and appropriately according to the correct procedures.
- (5) The importance of academic honesty is to be clearly explained and emphasised to tauira and all tauira work is to be authentic; and any Breach of the Rules by tauira are to be handled consistently in accordance with the PTE's procedures.
- (6) The recording, storage and transfer of assessment data is to be accurate, confidential and secure, and all necessary assessment information and moderation documentation is to be retained, securely stored and readily accessible by staff.
- (7) All reporting of assessment results to NZQA is to be timely, accurate and secure, and within the scope of the "Consent to Assess" held by the PTE.
- (8) All internal moderation processes, including any specific Standard Setting Body requirements, are to be clearly documented and well understood and implemented consistently according to the correct procedures. Internal moderation is to have the key focus of providing quality professional feedback and guidance to assessors, building a shared understanding of the assessment criteria and assessment process, and strengthening assessment practice within the PTE.
- (9) All NZQA and National Standard Setting Body compliance, administrative External Moderation and "Consent and Moderation Requirements" (CMR) will be met. External Moderation feedback and follow-up will be used to enhance staff understanding of the assessment process and the National Standard.
- (10) Staff are to be provided with the information, professional development / training advice and support, including external professional engagement and professional learning opportunities required to maintain and enhance their understanding of assessment practice and the National Standard.
- (11) Internal Monitoring, Evaluation and Review (Self-Assessment) of the assessment process and assessment and moderation outcomes are to be used to inform planning and contribute towards continuous sustainable improvement of assessment practice and the teaching/ learning programmes within the PTE.
- (12) The Manager and Administrator and Tutors are to be responsible for implementing NZQF assessment within the PTE.

RELEVANT LEGISLATION:

Education Act (1989) and Education Amendment Act (2011)
Privacy Act (1993)

RELEVANT DOCUMENTS:

NZQA Assessment and Examination Rules (2024),
NZQA/SSB Documentation (including Consent and Moderation Requirements)
NZQA National External Moderation Manual for TEO's (2022)
Teaching and Learning Policy and Handbook
NZQA - Guidelines for Approval/Accreditation of Programmes on the NZQF and Rules (2022)
Assessment and Moderation Good Practice Guide
NZQA - Learning and Assessment Guide to Assessment for the NQF
NZQA - Best Practice Principles for the Assessment of Skill Standards

RATIFICATION:

Policy ratified by Board:

C. Pea
(Signed for Board)

20/02/2025
(Date confirmed)

REVIEW:

This policy is to be reviewed as part of the PTE's Self-review Programme (Cyclic Review)

Review Date: 20/02/2027

CONSULTATION:

Tauira, management and the Advisory Board members are to be consulted as part of the Review of this Policy.

SECTION III Assessment and Moderation Management

(i) NZQA On-going Registration Requirements (Assessment and Moderation)

The following NZQA Policy and Criteria identify the requirements that the PTE must comply with, in order to maintain its NZQA Registration as a PTE.

NZQA Criterion Seven Assessment

Assessment of learner achievement and moderation ensures that assessment tasks, methods and decisions are fair, reliable and valid and that moderation and reporting comply with the requirements of NZQA and other relevant National Standard Setting Bodies.

Policies:

Assessment and Moderation

The PTE will have “systems of assessment and moderation” in place for assessing learners against the expected outcomes of learning programmes which:

- (a) ensure assessment processes and decisions are open, systematic and consistent; assessment methods are appropriate, fair, manageable and integrated with work or learning and evidence is valid, authentic and sufficient;
- (b) provide for internal moderation of assessment materials and judgements;
- (c) comply with external moderation requirements of NZQA and any relevant National Standard Setting Bodies; and
- (d) Ensure learners are only assessed against Standards on the Directory of Assessment Standards (DAS) / NZQF for which Consent to Assess is held.

Reporting:

The PTE will adequately and appropriately report on learner achievement, reporting learner achievement of New Zealand Qualifications Framework credits to NZQA accurately, as soon as practicable after assessment has taken place, and only in relation to the scope of the Consent to Assess granted.

(ii) Assessment Management - Practice-based Principles, Model and System

(a) The 'Keith Practice-based Principles of Assessment Management'

The following '*Keith Practice-based Principles of Assessment Management*' for the assessment against Standards have been used to guide the development of this Assessment Management System and underpin the rules and procedures contained in this Handbook.

An Assessment Management System should:

- facilitate fair, valid, authentic, reliable and transparent assessment of performance, for all candidates
- ensure that the assessment process is creditable, manageable and robust and complements and supports tauira learning and achievement
- use a structured integrated approach with a Policy Statement that clearly links to Good Practice Guidelines, implementation Procedures and process Templates
- ensure that tauira are provided with clear, consistent assessment information and appropriate feedback and feed-forward during the assessment process, and are able to track and record their own results / progress
- have well planned, well documented and robust internal moderation structures and processes that produce a clear, verifiable audit trail, and that match the specific context and needs of learners and the organisation
- have systematic internal monitoring of assessment, moderation and compliance
- have clear, coherent processes and procedures (and Templates) in place to consistently administer and implement the assessment process
- ensure that the recording, storage and transfer of assessment data is accurate, confidential and secure
- use internal and external moderation to provide constructive, professional feedback and guidance to staff and to improve assessment and teaching practice
- encourage professional engagement and professional learning/training by staff to enhance their understanding of assessment practice and the National Standard
- have appropriate, supportive processes in place to professionally address serious assessor errors, competency and compliance issues
- have a structured follow up to External Moderation
- have clearly defined and well documented roles and responsibilities for both staff and tauira
- adopt an evidence based evaluative approach to Quality Assurance with robust Internal Evaluation and Review used to inform planning for continuous sustainable improvement
- have a strong emphasis on the use of assessment exemplars/ benchmarks to improve the quality and consistency of assessment
- be compliant with all regulatory and Standard Setting Body requirements, the Institution's Assessment Policy and accepted 'Best Practice'

(b) NZQA Guiding Documents and Best Practice Principles

The 'Assessment Management Model' used to develop and build this Assessment and Moderation Management System and Handbook is based on the following rules, requirements, principles, established best practice and guiding documents:

- (i) NZQA Requirements - *Assessment and Examination Rules (2012)*
- (ii) NZQA: *Learning and Assessment Guide to Assessment for the NQF*
- NZQA Best Practice Principles for the Assessment of Unit Standards
- NZQA/SSB Documentation (including relevant Consent and Moderation Requirements-CMR)
- NZQA National External Moderation Manual for TEO's (2011)
- Consent to Assess Against Standards on the DAS Rules (2011)
- Programme Approval and Accreditation Rules (2013)

(c) PTE Organisation-specific Factors

The following PTE organisation-specific factors have been considered when designing this Good Practice Assessment and Moderation system:

- the size, nature, type and context, needs and circumstances of the provider, including the assessment experience and ability of staff
- the learning programme, the type and nature of the learning being assessed and the learning objectives and expected learning outcomes
- the context / situation of the assessment including whether on-site or off-site
- the circumstances, context and needs of learners and other stakeholders
- the nature, complexity, transparency and specific learning outcomes of the Standards being assessed, the type of assessment and the assessment strategies being used
- the amount of assessment being carried out by the Provider including the number of different Standards
- assessment and moderation requirements of the relevant Standard Setting Body and/or NZQA and the relevant CMR
- the assessment and moderation record of the Provider and Assessors including any issues of poor engagement of staff in the moderation process, non-compliance or poor external moderation results

- the availability of other Providers, Assessors and/ or Verifiers with the knowledge and experience in the relevant standards

(d) Good Practice Assessment and Moderation System

This **Good Practice Assessment and Moderation System** and Guide are based on the following:

- Keith Practice-based Principles of Assessment Management
- The NZQF Assessment Management Policy (see Section II)
- NZQA On-going Registration Requirement (Assessment and Moderation)
- NZQA Guiding Documents and Best Practice Principles
- National and accepted Best Practice for Standards based Assessment and Moderation
- Organisation-specific factors

(iii) ASSESSMENT & MODERATION GOOD PRACTICE GUIDE

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- Assessment Process
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PART TWO Administration of Assessment

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- Missed / Late Assessments and Impaired Performance
- Special Assessment Conditions
- Authenticity of Taura Work
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PART FIVE Assessment Information for Candidates

ASSESSMENT & MODERATION GOOD PRACTICE GUIDE

PART ONE ASSESSMENT OF LEARNING

Requirement for Good Practice

Tauira prior learning and current competency are recognised and handled fairly and appropriately. Candidates are provided with all necessary assessment information and are well prepared and ready for assessment. All assessment is fair, verifiable, valid, authentic, accurate, reliable, and manageable, open and consistently applied at the National Standard, and used to enhance tauira learning. Reassessment procedures are in place and implemented fairly, effectively and according to NZQA/SSB requirements.

Procedures

These Assessment of Learning Procedures comprise:

- (A) Assessment Preparation
- (B) Assessment Rules
- (C) Assessment Process
- (D) Assessment Feedback and Feed-forward
- (E) Reassessment
- (F) Recognition of Prior Learning
- (G) Credit Transfer and Cross Credit

(A) Assessment Preparation

1. Candidates are to be provided with all the necessary assessment and course information and are to sign a **Learner Declaration (Template 5/T2)** prior to start of the Course. See Part 5 of this Assessment and Moderation Good Practice Guide for Assessment Information for Candidates Exemplar.
2. Careful planning is used to ensure quality, manageable, fair, effective assessment opportunities are provided for all candidates.
3. The assessment process and procedures are to be well publicised, explained and communicated to tauira, and both tauira and staff are to be fully informed and well aware of their roles and responsibilities.
4. Candidates are to be given adequate practice and trial activities and are to be well prepared and ready for the assessment.

5. All candidates are to be given adequate and equal access to the necessary resources, advice, guidance and equipment required for the assessment.
6. The Assessment Material and assessment activities are to be used to complement, reinforce and support the learning programme and the expected learning outcomes.
7. A resource bank of quality, authentic Assessment Material is to be available within the PTE for use by Assessors.
8. Previously externally moderated or SSB Pre-moderated / Approved or NZQA Certified Quality Assured (QAAM) Assessment Material is to be used where possible.
9. Assessment material is to be selected for specific assessments and must match the type of learning and be appropriate for the stated learning outcomes. The Assessment Task must fairly sample the learning objectives and content of the Course of study. The Assessment Material must match the relevant version of the Standard and any special requirements.
10. All self-developed and non-SSB Assessment Material (including the assessment task, assessment schedule and evidence guides) must meet individual subject/industry guidelines and be at the National Standard. The Assessment Material must focus on the required outcomes and evidence requirements of the Assessment Standard.
11. All Assessment Material is to be fit for purpose, fair, clear and consistent and appropriate for the particular Standard. The language, content, context and conditions of the assessment activity must be appropriate for the candidates being assessed, the level of the Standard and the learning outcomes.
12. The reference material provided to tauira during 'open book' assessment must be appropriate for the knowledge, understanding and / or skills being assessed.
13. The Standard is to be transparent and well understood by candidates, including the desired learning outcomes and evidence requirements, and how the assessment links to the learning programme.

14. Tauira are to be made aware of and understand the assessment conditions (e.g. open/closed book, resources available, time frames), the assessment procedures/process, authenticity requirements and the reassessment process.
15. All pre-assessment quality assurance and moderation requirements are to be identified and completed before the assessment takes place. See Part 3A Internal Moderation – Pre-assessment Moderation for details of the **Pre-assessment Moderation** process to be completed for all Assessment Material before use.
16. The PTE will meet all SSB / NZQA requirements regarding the use of Approved and Pre-moderated Assessment Material, pre-assessment moderation of Assessment Material (including the pre-assessment submission of Assessment Material to SSB) and the use of common assessment tasks.
17. Relevant cultural and equity issues and valid “special needs” of candidates are to be identified and addressed.

(B) Assessment Rules (Tauira Conduct)

The following Assessment Rules will apply to all Assessment carried out within the PTE:

1. Candidates must present themselves for the Assessment free from the influence of alcohol and any non-prescription drugs.
2. Tauira must behave appropriately during the Assessment and not disrupt, influence or hinder other candidates.
3. Tauira are required to make the Assessor aware of any Special Assessment Conditions, medical, physical or learning disabilities or other medical conditions they have which are relevant to the Assessment.
4. Tauira must follow all reasonable instructions given by the Assessor.
5. Tauira must always act honestly and in ‘good faith’ during the assessment process.
6. Tauira must not accept or provide undue assistance or unauthorised help to/ from any person in the completion of an assessment or submission of their assessment work.
All work presented for assessment must be genuinely that of the tauira concerned.
7. All assessment work must be completed and submitted before or on the due date.
8. Tauira must make every effort to utilise Assessment and Reassessment opportunities when they are offered to them, by their tutor.

(C) Assessment Process

1. The assessment process is to be systematic and consistent and the assessment procedures and conditions fair, open and manageable. The context, location and environment of the assessment are to be appropriate for the particular assessment.
2. Assessment is to be used to provide feedback and measure and evaluate tauira performance and attainment of the relevant learning outcomes. It must also complement, support, clarify and enhance tauira learning. The assessment process is to be integrated with learning and support the learning and teaching goals and achievement of the desired learning outcomes.
3. All tauira are to be treated fairly and openly during the assessment process. All assessment must be culturally appropriate, free from gender, cultural or ethnic bias and not influenced by issues relating to language, disability, age or social background.
4. All assessment conditions and requirements are to be adhered to during the assessment process, including timeframes, open/ closed book and the resources available. Candidates are permitted to use relevant technology and other equipment for assessment purposes unless its use is specifically prohibited by the NZQA / SSB Rules and Procedures, the Standard, the related supporting documentation or the assessment specifications.
5. The evaluation of assessment evidence by assessors must be consistent with the Range Statement, Outcomes, Evidence Requirements and Explanatory Notes contained in the Assessment Schedule. All assessment evidence must be correctly and accurately judged against the learning outcomes of the Standard.
6. The assessment methodology, strategies, assessment process and assessment tools must be appropriate for the type of learning, the modes of delivery, the level of learning and the stated learning outcomes. The assessment must also meet the requirements of the Assessment Standard, any relevant National Standard Setting Body Consent and Moderation Requirements and the reasonable needs of candidates.
7. The assessment conditions, evidence collection methods, types of evidence and context of the assessment must be appropriate for the Assessment Standard i.e. fit for purpose, and must not compromise the authenticity of the tauira work, integrity of the assessment or purpose of the Standard.

8. Tutors are to ensure that all trial and practice assessments are authentic and well documented, and the evidence produced available for use as 'alternative' or 'replacement' evidence at a later date, if required.
9. Integrated assessment (assessment of similar or related learning outcomes) combined with assessment maps / grids are to be used where appropriate to reduce the number of formal assessment occasions.
10. Where applicable, prior learning, prior performance and/or current / existing competency are to be recognised and supported by existing verifiable evidence or evidence from new immediate or additional assessment. See Part 1F Recognition of Prior Learning (RPL) for details.
11. All valid, authentic, verifiable, reliable, Standard-specific evidence presented by a candidate that demonstrates achievement of the required outcomes of the Standard is to be considered by Assessors when making assessment judgments. This includes on-going and naturally occurring evidence collected during the learning and teaching phase.
12. All assessment evidence is to be well documented and retained for verification purposes and future reference.
13. Correct procedures must be followed when collecting evidence from group activities, including identifying and assessing tauira individually. It must be clear how individual tauira performance will be assessed during group work.
14. Indirect evidence collected from '3rd party verifiers' or "evidence collectors" or "observers" such as attestation and witness testimony evidence must be well documented and match the outcomes and evidence requirements of the Standard. It must also be well supported by other valid, robust evidence and be from creditable, impartial, trustworthy sources. The evidence should include examples of learner comments and learner performance and confirm that the learner performance or behaviour has been at the required level for the required period of time. The evidence must also be signed and dated by the observer/ verifier. Verifiers must be well briefed on the assessment requirements, be appropriately trained and have a practical understanding of the Standards and Assessment being verified.
15. All assessment evidence is to be valid i.e. the assessment is at the right level and there is a direct match between the learning outcomes of the Assessment Standard and the

assessment task. Candidates must provide sufficient evidence to demonstrate that the required outcomes of the Assessment Standard have been met.

16. The 'validity' and 'reliability' of assessment is to be strengthened by the use of a variety of sources and types of evidence and assessment approaches, including evidence from specially created tasks, on-going and naturally occurring evidence, accumulated evidence, supplementary evidence, indirect evidence, replacement and alternative evidence, and evidence cross-referenced from other authentic PTE assessments. Evidence of tauira performance/ achievement should be gathered in a variety of ways / settings including informally during the learning process and other naturally occurring situations and not just focussed on formal, separate, endpoint (summative) assessment events. See Appendix 2 for further information on the 'Use of On-going and Naturally Occurring Evidence'.
17. A holistic or big picture approach is to be adopted for assessment that considers how the individual parts of the assessment, and all the available evidence, contributes to the overall assessment judgement and assessment outcome. When assessing aspects or elements of an Assessment Standard separately or, when assessment evidence is collected piecemeal, Assessors must ensure that the candidate can also demonstrate an understanding of or competency against the Standard as a whole and is capable of a complete, coherent performance.
18. The assessment strategies and assessment outcomes are to be evaluated and reviewed by Assessors, and the information used to modify and make improvements to assessment practice, and the learning and teaching programmes.
19. Assessors are to only assess Standards that are within their assessment and subject area expertise and experience, and within the scope and status of the PTE's registration and Consent to Assess.

(D) Assessment Feedback and Feed-Forward

1. Assessors are to provide regular, confidential, timely, accurate and constructive feedback and feed-forward to tauira during both the learning and assessment process.
2. Assessment feedback / feedforward are to be used to provide tauira with a sense of progress and achievement and also provide tauira with an understanding of the performance and standard required.

3. The feedback / feed-forward provided to tauira by assessors following an initial Assessment must consider possible Further Assessment or Resubmission Opportunities and not compromise the authenticity of the tauira work or the integrity of the assessment.
4. Feedback to tauira should be used to assure tauira that the relevant assessment decisions and moderation judgements have been made fairly and objectively.
6. There will be clear and effective procedures in place for informing candidates of assessment decisions and assessment final results, and Reassessment opportunities (if available).

(E) Reassessment

Reassessment involves the collection of additional assessment evidence of tauira achievement or performance after an initial Assessment has been completed (i.e. after the due date or Extension date)

1. Background Information

- (a) Where possible Tutors will minimise the need for Reassessment by adopting the following strategies:
 - quality feedback and feed-forward prior to the original Assessment
 - not assessing learning until candidates are ready and when the assessor is confident that achievement of the Standard is within the tauira reach (or until the due date)
 - ensuring that tauira understand the Standard, the learning outcomes, the evidence requirement and range statement
 - discussing exemplars and benchmark samples of past tauira work (set in different contexts) with tauira
 - providing learners with adequate practice and trial activities and assessment tasks

Source: Relevant NZQA Material

- (b) If necessary, manageable and subject to Standard Setting Body rules and requirements, candidates are to be provided with appropriate Reassessment opportunities that allow them to demonstrate and provide evidence of their best performance and achievement.

- (c) Reassessment by Assessors will comprise the following methods / strategies:
- **Resubmission of Evidence (Resubmission) and/or**
 - **Further Assessment Opportunity (Resit) and/or**
 - **Continued Collection of Assessment Evidence (Continued Assessment)**
- (d) Assessors must ensure that all Reassessment meet relevant Standard Setting Body requirements and is valid, fair and consistently applied and that the correct procedures are followed.
- (e) Reassessment must comply with all the other relevant requirements of normal assessment and the process closely supervised and well documented.
- (f) The conditions of any Reassessment must be consistent with the original assessment and must not compromise the overall authenticity of the taura work, the integrity or validity of the assessment or purpose of the Standard. The Reassessment strategies and assessment task must meet the required learning outcomes / criteria of the relevant Assessment Standard and the reasonable needs of candidates.
- (g) All available valid, authentic, reliable, verifiable, standard-specific evidence is to be considered by the Assessor when making final assessment judgements. This includes evidence from the original Assessment, any Resubmission and Further Assessment Opportunities and any Continued Assessment plus and any other alternative evidence, such as evidence available from relevant naturally occurring events, the assessment of other Standards including from other Courses.
- (h) A holistic or big picture approach is to be adopted for all Reassessment that considers how the individual parts of the assessment and all available evidence contributes to the final overall assessment judgement and assessment outcome. When assessing aspects or parts of an Assessment Standard separately Assessors must ensure that the candidate can demonstrate an understanding of, or competency against, the Standard as a whole.
- (i) Reassessment requirements and rules must be well explained and made clear to candidates at the beginning of the course. Candidates are to be given written information setting out who is eligible for Further Assessment and Resubmission

under what circumstances and the approximate dates that the opportunities will be offered and the relevant time limits.

2. Resubmission of Evidence (Resubmission)

- (a) If a candidate has made a small number of minor mistakes or omissions or has a small amount of incomplete work in an original Assessment or Further Assessment Opportunity (and as a result has provided insufficient assessment evidence) he/she may be given (at the discretion of the Assessor) the opportunity to make corrections or provide more information or additional assessment evidence.
- (b) The collection of additional assessment evidence through the use of Resubmission could involve careful oral questioning (conferencing) by the Assessor to elicit additional information or clarify the taura responses; or written corrections, alterations or improvements to the original written assessment work by the taura. Resubmission must be limited to specific aspects of the assessment, such as the correction of specific mistakes or omissions, or the completion or redrafting of specific parts of the assessment, or the provision of specific new additional information by the taura to correct a lack of assessment evidence.
- (c) Resubmission should take place promptly before the Tutor/Assessor has given any specific assessment feedback to the individual taura concerned or to the class as a whole, and prior to any further teaching and learning.
- (d) After appropriate discussion and only general advice from the Assessor, the taura must be capable of discovering and correcting their own work immediately and making the necessary changes by themselves. Assessors must be careful not to provide undue assistance to taura during Resubmission which could compromise the authenticity of the taura work, such as the use of 'leading questions'.
- (e) Additional evidence collected during the Resubmission (i.e. new information or changes made by the taura), should be made in writing by the taura in a different coloured pen, and signed and dated by the taura.
- (f) When oral questioning or conferencing is used by the Assessor to collect additional evidence of achievement, and used to contribute to an assessment

judgement, the process must be well documented and annotated on tauira's script by the Assessor.

All additional evidence collected by the Assessor using resubmission must be signed and dated by the Assessor (in green pen) and certified as 'additional valid and authentic evidence of tauira performance'.

- (g) Assessors must be careful to ensure that any additional evidence provided by tauira during a verbal Resubmission in a classroom setting, does not compromise the validity or authenticity of the assessment of other tauira.
- (h) If appropriate and at the discretion of the Assessor, tauira may be given a Resubmission opportunity, after the original Assessment and after each subsequent Further Assessment Opportunity.

3. Further Assessment Opportunity (Resit)

- (a) A Further Assessment Opportunity or Resit is when a new quality-assured, complete and separate assessment event and /or assessment activity is provided after an original Assessment and after further learning / teaching has taken place. It provides tauira with another opportunity to provide evidence of their best performance/ achievement or competency.
- (b) Subject to Standard Setting Body rules and requirements and if it is appropriate, manageable and feasible, tauira are to be offered a Further Assessment Opportunity to achieve a Standard. It is the PTE's/ Programme's decision whether a Further Assessment Opportunity will be offered. If no Further Assessment Opportunity is offered the tauira must be advised from the outset of the Course. It is up to the tauira to decide if they wish to utilise a Further Assessment Opportunity.
- (c) Tauira are only to be offered a Further Assessment Opportunity after further learning and teaching has taken place and when the Assessor is satisfied that the tauira have been adequately prepared and are ready for the Further Assessment.
- (d) If the Outcomes of the Assessment Standard are 'knowledge' or 'understanding' based then the Further Assessment Opportunity should be a new task or the same task substantially modified by using a different context or with different

specific content/ data. The conditions of the Further Assessment must comply with and be consistent with the original assessment and the Further Assessment must not compromise the integrity, authenticity, validity or fairness of the assessment of the Standard. Further Assessment Opportunities must be subject to the same internal and external moderation procedures as other similar Standards-based assessment carried out by the PTE.

- (e) If the parts or outcomes of an Assessment Standard are inextricably linked and an integrated performance is required from the candidate, then a full complete assessment or assessment activity (ie a Further Assessment Opportunity) should be completed rather than collecting assessment evidence piecemeal through Resubmission or Continued Assessment.
- (f) If a Further Assessment Opportunity is provided, it must be offered to all tauira entered for the particular Assessment Standard.

4. Continued Collection of Assessment Evidence (Continued Assessment)

- (a) “Continued Collection of Assessment Evidence” involves the Assessor continuing to gather evidence of tauira achievement in the normal way over a period of time, after an original Assessment or Further Assessment has been completed. For the assessment of practical skills and abilities this may involve learners repeating parts of the original Assessment and gradually improving/ upgrading their original performance and assessment evidence. The continued collection of evidence could involve “partial assessment” such as assessment of specific skills/ knowledge using specially prepared assessment activities to gather specific additional evidence of tauira achievement, performance or competence. The Continued Collection of Evidence could also involve a verifier and/or Assessor gathering authentic, verifiable evidence from naturally occurring events or situations in the classroom, workplace or life.
- (b) The continued collection of assessment evidence must be consistent with the conditions and outcome requirements of the original Assessment and must not compromise the integrity, authenticity or validity of the assessment.
- (c) Assessors must keep an accurate record of any continued evidence collection including a description of the evidence, how the evidence relates to the outcome requirements of the Standard; and must be signed and dated by the Assessor.

- (d) Where possible Assessors should use a variety of assessment approaches and types of evidence during Continued Assessment such as naturally occurring evidence, indirect evidence, alternative evidence and evidence cross-referenced from other authentic PTE assessments.
- (e) When assessing specific aspects or outcomes of an Assessment Standard Assessors must ensure that tauira can demonstrate an understanding or competency against the Standard as a whole.

Tutors must take a holistic approach ensure that evidence from Continued Assessment is not collected 'piece-meal' when an integrated performance is required. If the aspect of performance to be reassessed is integrated or inextricably linked with another aspect, then a full assessment task i.e. a Further Assessment Opportunity should be carried out.

5. PTE Reassessment Guidelines – Recommended Good Practice

The following general Guidelines are to be adopted by Assessors within the PTE, when carrying out Reassessment.

If practical, feasible and manageable and at the discretion of the Programme / Assessor and subject to SSB rules and requirements, candidates completing internally assessed NZQF Standards are to be offered the following (for each Standard in one year):

- A minimum of one and a maximum of two Further Assessment Opportunities after an original Assessment has been completed, and in each case only after further learning has taken place.
- One Resubmission opportunity after a completed original Assessment and/or one Resubmission Opportunity after any subsequent Further Assessment Opportunity (if applicable).
- A time limit of one month after the assessment due date (or Extension date) of the original Assessment to complete all Reassessment including Continued Assessment.

(F) Recognition of Prior Learning (RPL)

1. The PTE acknowledges the right of learners to have their current skills and knowledge recognised and gain credit for this through the process of Recognition of Prior Learning. The PTE is committed to the Principles of Recognition of Prior Learning (credit awarded for informal or uncertificated learning) and will have systems and procedures in place to recognise, assess and if necessary, extend learning to accommodate tauira' prior learning.
2. The Prior Learning and current competency of tauira will be recognised and addressed by the PTE as soon as possible, e.g. prior to or at the start of the learning programme. Assessors are to investigate and where relevant and appropriate use Enrolment information, Records of Achievement, Academic transcripts, structured interviews with tauira, attestations, portfolios of tauira work, feedback / demonstration of relevant knowledge / skills to evaluate tauira current competency, knowledge, skills or abilities.

Tutors are to help tauira identify parts of the learning programme that they are already competent or have prior knowledge. If necessary, Tutors are to also assist tauira assemble evidence of their prior performance, such as evidence of job experience or other previous achievement outside formal learning. The evidence must relate directly to the outcomes of the Standard being assessed.

3. The availability of valid, verifiable, indirect evidence of prior performance such as letters of validation from peers and supervisors, if adequate, may replace the need for formal assessment tasks. However, where possible indirect evidence should also be supported by other valid, robust, direct evidence collected by the assessor.
4. If prior learning has taken place but there is no valid, verifiable evidence of prior performance to support it, then a new authentic assessment task should be completed to verify the tauira current level of knowledge and / or skills.

Tauira who demonstrate that they have the necessary knowledge and / or skills to achieve the required outcomes of the standard should be 'prepared for assessment' and assessed immediately and the necessary additional evidence collected.

5. If a tauira does not have the complete prior knowledge and / or skills necessary to achieve the required outcomes of the Standard, then the tauira' knowledge / skill should be extended (as required) through the provision of further learning and / or an 'individual learning programme' or by the tauira attending relevant parts of the course.
6. Prior learning and prior knowledge is to be assessed against the same Standards / learning outcomes / criteria and, using the same moderation procedures, as other similar Standards-based assessment carried out by the PTE.
7. Indirect verifiable evidence used to assess prior learning and current competency must meet all 'normal' evidence requirements, i.e. come from a range of sources and be valid, authentic and accurate.
8. When indirect verifiable evidence is used for the Assessment of Prior Learning (APL) or Recognition of Current Competence (RCC) it must be well documented and show a clear and direct link to the outcomes / elements of the Standard, e.g. through the use of an evidence grid or map. It must also show exactly how the candidate's current level of competency was measured against the outcomes / elements of the Standard, such as for practical skills.

(G) Credit Transfer and Cross Credit

Requirement for Good Practice:

The PTE provides clear, coherent information to learners on credit transfer and has fair, effective procedures in place for the recognition and transfer of credit between programmes / qualifications.

Procedures

1. **Credit Transfer** is a process whereby credit already achieved from a programme/ qualification awarded by one provider is recognised and used to contribute towards another qualification offered by different providers.

Cross Credit involves the use of credit already obtained from one programme/ qualification from within the organisation towards a different programme/ qualification offered by the same organisation.

2. Application by tauira for the recognition and transfer of credit from other programmes / qualifications (from within the organisation and from programmes/ qualifications of other Providers) will be considered on their own merit on a case-by-case basis.
3. Learners are required to apply in writing, detailing their existing qualification/ achievement and the proposed credit recognition and transfer. Tauira must also provide the following evidence and supporting documentation: a certified copy of the qualification certificate and / or Provide Results Notice and an up-to-date CV. An application fee must also be paid on lodging the application.
4. The Credit Recognition / Transfer Application is then considered and assessed by the PTE by evaluation the currency and level of the knowledge, understanding and/or skills and the learning outcomes of the tauira existing qualification against the proposed new qualification / programme.
5. Tauira will be advised in writing of the results and outcome of the Credit Recognition / Transfer within 21 days of lodging the application. Tauira are entitled to appeal the decision by lodging a formal appeal within 7 days of being advised of the decision.

PART TWO ADMINISTRATION OF ASSESSMENT

CONTENTS

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PART TWO ADMINISTRATION OF ASSESSMENT

(A) Course and Assessment Information

Requirement for Good Practice

Tauira are provided with all the necessary course and assessment information and are well informed and understand the Assessment Standards offered, the assessment process, requirements and conditions and their rights, roles and responsibilities in the assessment process.

Procedures

1. All tauira are to be provided with a Learner Handbook which includes a section on PTE-wide Assessment Information. Tauira are to also receive Course Information which includes specific information about the Assessment for each Course. See the MS Part 2 Teaching and Learning Programme Handbook Section III (vi) Course Information for Learners for details.
2. The Assessment information Section in the Learner Handbook will include the following Assessment information. An Exemplar of this information is included in Part 5 of this Assessment and Moderation Management Good Practice Guide.

Assessment Information for Candidates

The Assessment Information for candidates comprises:

- **Assessment Rules (Tauira Conduct)**
- **Assessment Procedures**
- **Reassessment**
- **Missed and Late Assessment**
- **Special Assessment Conditions**
- **Authenticity of Tauira work**
- **Assessment Appeal Process**
- **Assessment Complaints Procedures**
- **Breach of the Rules**
- **Impaired Performance**
- **Recognition of Prior Learning / Current Competency**
- **Credit Transfer and Cross Credit**
- **Privacy of Assessment Information**

See the Assessment Information for Candidates (Exemplar) Part 5 of this Assessment and Moderation Good Practice Guide.

(B) Missed / Late Assessments and Impaired Performance

Requirement for Good Practice

Tauira Assessment Extensions for missed and late assessments and Additional Assessment Opportunities for Impaired Performance are handled fairly, openly and according to the documented procedures.

Procedures

1. Missed / Late Assessment

- (a) Tutors are to make the assessment due date for assessment work clear to tauira. All assessment due dates are to be included in the Tauira Information provided to tauira by each subject at the beginning of the course.

The '**Assessment due date**' is the actual date / time of an assessment event or the final deadline date/time for completed tauira work to be handed-in (or electronically submitted) to the Assessor for marking and also the final deadline date/time for the collection of assessment evidence in any form by the Assessor.

- (b) Under normal circumstances all assessments are to be completed on or before the assessment due date, and Assessment / Further Assessment Opportunities are to be utilised by tauira when offered to them by the Assessor. Tauira work submitted after the assessment due date will not normally be included in the evidence used to make assessment decisions and grade judgements.
- (c) Tauira who are unable to complete an initial Assessment or Further Assessment by or on the assessment due date / time, for genuine valid reasons or due to circumstances beyond their control, may request an Assessment Extension from the Assessor. **Assessment Extensions** could include an:
- **Extension of Time** (for an on-going assessment) OR
 - **New Assessment Occasion** (for an assessment event held at a specific date/time).
- (d) Assessors have the right to grant Extensions of Time or a New Assessment Occasion to allow tauira to complete assessments, missed for genuine valid reasons; provided that the Assessment Extension does not overly penalise other

taura or give unfair benefit / advantage to the taura concerned or compromise the authenticity of the assessment.

- (e) In the case of a genuine planned absence that results in a missed or late assessment, such as genuine family reasons, the taura must apply to the Assessor using the **Taura Assessment Extension/ Impaired Performance Application form (Template 5/T8)**. The application must be lodged at least two days before the assessment due date of the original Assessment or Further Assessment. The Taura Assessment Extension Application must be supported by appropriate evidence, such as a note / letter from another Tutor.
- (f) In the case of a genuine valid, unplanned absence or unforeseen circumstances that results in a missed or late assessment, a taura can apply for an Assessment Extension from the Tutor concerned.

An Assessment Extension can be granted if the Tutor considers that the taura ability to complete the Assessment or Further Assessment has been unfairly affected due to circumstances beyond their control. The taura may be required to provide evidence of work done on the assessment to date.

New Assessment Occasions and Extensions of Time for unplanned absences / unforeseen circumstances are only to be granted by Tutors for genuine valid reasons / explanations, and if adequate documented evidence is provided.

Some possible reasons for an Assessment Extension could include:

- illness or misadventure that is supported by a medical certificate or note from caregiver
 - family trauma or bereavement of a family member / close acquaintance
 - exceptional circumstances beyond their control supported by a signed note from another Tutor
 - other genuine unforeseen circumstances supported by a signed note from a staff member
- (g) It is the responsibility of the taura concerned to approach the Assessor to make application for an Assessment Extension, provide the necessary documentation and obtain formal approval.

Assessors are to consider each case on its own merits. Marked work should not be returned to other tauira until after all Extensions of Time have been completed or expired.

- (h) Tauira who are deliberately or wilfully absent from an original Assessment or Further Assessment are not eligible for and are not to be provided with an Assessment Extension.
- (i) In the case of a missed or late assessment, where an Assessment Extension has not been granted, the Assessor should then consider all other available existing documented, authentic, verifiable, Standard specific evidence that is available on which a valid assessment decision could be based. This may include other naturally occurring evidence collected over time, or evidence from the original Assessment in the case of a Further Assessment Opportunity

2. Impaired Performance

- (a) If illness, misadventure or family trauma / bereavement of a family member / close acquaintance or other external factors outside the tauira control or influence impairs their performance in an Assessment or Reassessment activity or event, then the tauira is entitled to apply for and receive an **Additional Assessment Opportunity**. If the Outcomes of the Assessment Standard are 'knowledge' or 'understanding' based then the Additional Assessment Opportunity should be a new task or the same task substantially modified by using a different context or with different specific content / data.
- (b) Tauira must apply to the Assessor using the **Tauira Assessment Extension / Impaired Performance Application form (Template 5/T8)**. The application must be lodged within 7 days of the assessment due date of the original Assessment or Further Assessment.

It is the responsibility of the tauira concerned to approach the Assessor and request an Additional Assessment Opportunity, provide the necessary documentation and obtain approval. Assessors will consider each case on its own merits.

(C) Special Assessment Conditions

Requirement for Good Practice

Candidates identified as qualifying for Special Assessment Conditions are provided with appropriate assessment conditions and support.

Procedures:

1. The PTE has a responsibility to ensure that tauira with valid disabilities are identified and supported and provided with appropriate assistance and the Special Assessment Conditions entitlement for which they are eligible.
2. Candidates with a permanent or long-term medical or physical disability or specific learning disability that directly impacts on their ability to be fairly assessed against Standards may apply for Special Assessment Conditions. These conditions allow candidates to demonstrate their knowledge skills and understanding in assessment without providing unfair advantage over other candidates.
3. Potential candidates for Special Assessment Conditions are to be identified as early as possible during their time at the PTE.
4. Candidates with a diagnosed disability that wish to be considered for Special Assessment Conditions must first discuss this with their Tutor, and then lodge an application with the Manager.
5. An application for Special Assessment Conditions must be supported by appropriate documentation including a current assessment Report not more than 2 years old from a suitably qualified, independent registered professional recommending Special Assessment Conditions that address the candidate's specific needs.
6. Special Assessment Conditions must not reduce the validity or reliability of an assessment, compromise the integrity of the assessment or compromise the assessment objectives of the Assessment Standard.
7. Existing and potential Special Assessment Conditions candidates are to be monitored, and their situation reviewed at the end of each year.

8. Tutors are to be kept well informed of candidate Special Assessment Conditions entitlements and the type and degree of assistance and support for which individual tauira qualify. The specific requirements for different types and level of support such as Reader, Writer, Reader/Writer and extra time will be clearly explained and communicated to Tutors.

(D) Authenticity of Tauira Work

Requirement for Good Practice

Tauira comply with all the assessment rules and requirements relating to authenticity during the assessment process and all work submitted by tauira for assessment is genuinely their own.

Procedures

1. All work submitted by tauira for assessment as evidence of achievement is to be authentic and genuinely their own. Staff are to be made fully aware of the potential for authenticity issues during the various types of assessment and must be able to verify that all tauira work used for assessment purposes is authentic.
2. The PTE and Programme Areas will have procedures and practices in place to prevent, detect, investigate and address suspected cases of cheating, academic dishonesty and plagiarism.
3. Appropriate assessment strategies and assessment conditions are to be used by Assessors during the assessment process to ensure authenticity. This includes the level of tauira interaction and tauira access to documents and reference material during the assessment.
4. Assessors have the responsibility to ensure that all tauira work used for assessment is authentic. Tauira are to be clearly informed and understand the authenticity requirements of the Standard and learner evidence submitted for assessment. The importance of academic honesty is to be regularly emphasised and explained to tauira. Tauira are to be provided with written information outlining authenticity expectations and procedures, and the consequences of plagiarism and cheating. The information is to be provided in the Assessment Information for Candidates (Learner Handbook) and / or

in the specific Course Information for Learners. Tutors will clearly explain to tauira the measures used to identify and address plagiarism, cheating and other types of academic dishonesty.

5. All tauira are to sign a **Learner Declaration (Template 5/T2)** which includes an **Assessment Authenticity Statement (Template 5/T2)** at the beginning of each course. Tauira will be required to declare that all their work is original, authentic and free from plagiarism.
6. A mix of assessment evidence collection methods including 'direct' and 'controlled' assessment, one-to-one oral assessment and the submission of portfolios are to be used where appropriate to ensure authenticity. Assessors are to avoid making assessment judgments based solely on indirect evidence.
7. The correct procedures and strategies are to be followed by Assessors when collecting assessment evidence from group work, including close monitoring, breaking tasks into group and individual components and setting the specific assessment tasks after the group work has been completed.
8. A bank of authentic Assessment Material is to be developed, available to assessors, and used alternatively / rotated from year to year and course to course. Assessments are to be specific and / or unique to tauira as possible, for example by using different contexts, case studies or unique data.
9. Assessors are to monitor and closely supervise the development of tauira work during on-going assessments. This will be done by regular discussion with tauira (which are noted and dated on the tauira work) including conferencing and tauira verbal explanations; also, by tauira submission of planning notes and draft material, tauira keeping Journals / Logs of their work and the use of built-in checkpoints / milestones.
10. All on-going tauira assessment work should include some supervised class time and, where possible and practical, the tauira work should be retained on site. Naturally occurring evidence (such as formative assessment evidence) used to make assessment decisions is to be closely examined by Assessors and verified as authentic.
11. Assessors must ensure that the use of benchmark samples or annotated exemplars or any type of previous tauira work used to exemplify the Standard and guide tauira, does not compromise the authenticity of the assessment or objectives of the Standard.

12. Assessors must ensure that guidance, support, assistance and discussion with tauira during the assessment process, including during Resubmission does not compromise the validity or authenticity of the tauira work or integrity of the assessment.
13. Where necessary and appropriate candidates are to include an **Assessment Cover Sheet (Form 5/T4)** with relevant assessment work submitted for marking. The Cover Sheet includes a Tauira Declaration of Authenticity, where the tauira declares that:
 - the work is their own and that they have not received undue assistance from any other person in the preparation of the work
 - they have read and understand the PTE's assessment requirements and the consequences of submitting material that is not their own work
 - they have met the PTE's assessment requirements including the acknowledgement of sources of information and assistance
14. Tauira are to be made aware of the correct method and agreed conventions for acknowledging resources and sources of information used and quoted, including internal referencing, quotations and the presentation of bibliographies / references. Common agreed conventions are to be used consistently across the PTE.
15. The authenticity and integrity of the samples of tauira work submitted for Post Assessment Moderation are to be checked and verified by the Moderator as part of the internal moderation process.
16. The PTE will have confidential procedures in place for concerned tauira (whistle blowers) to report the suspected cheating or academic dishonesty of other tauira.
17. The procedures for handling any authenticity issues are to be as per Part 2 (E) Breach of the Rules (below).

(E) Breach of the Rules

Requirement for Good Practice

Tauira breach of the assessment rules including misconduct, are handled fairly, appropriately and according to the documented procedures

Procedures

1. Breach of Rules in an assessment could include:

- failure to follow instructions
 - influencing, assisting or hindering other candidates
 - dishonest practice by a candidate
 - false tauira declaration of authenticity
 - plagiarism
 - altering work when seeking an Appeal
 - copying another tauira work
2. (a) Suspected Breach of the Rules in an assessment such as authenticity issues or misconduct are to be first discussed by the Assessor with the Manager. Then, if necessary, it should be brought to the attention and discussed with the tauira concerned and investigated by the Assessor as soon as possible after the infringement has occurred.
- (b) If the 'Breach of Rules' issue is not resolved, then the Assessor is to formally advise the tauira of the alleged breach and the process that will be followed. All evidence associated with the Breach of Rules is to be retained by the Assessor and securely stored.
- (c) The 'Breach of Rules' must then be reported in writing by the Tutor concerned to the Manager and NZQA Liaison within 3 working days of the Assessor becoming aware of the infringement. A detailed description of the incident must be provided by the Tutor, including all relevant evidence, and a copy of the information given to both the Manager and the NZQA Liaison.
- (d) The Manager is to then carry out a full investigation of the incident, including interviewing the tauira and if necessary, also interviewing other tauira, witnesses and the Assessor. The Manager is to keep a written record of the investigation. The tauira must be given the opportunity to explain the situation and put their side of the story. The Manager is then to complete and sign a **Breach of the Rules Report Form (Template 5/T10)** and pass the Report on to the NZQA Liaison. The NZQA Liaison will investigate further if required, make a decision, decide on any disciplinary action to be taken (if any), complete and sign the Breach of Rules Report Form and pass the form onto the PTE CEO for confirmation and signing.

- (e) If a Breach of the Rules has occurred and / or the tauira has been unfairly advantaged by his / her action or misconduct, then the assessment result is to be declared invalid, a Not Achieved Grade given and disciplinary action taken. No Further Assessment Opportunity is to be offered to the tauira. Serious misconduct may also be referred to the Police for further investigation and action.
- (f) The tauira must be notified in writing of the NZQA Liaison's decision within 3 working days of the NZQA Liaison receiving the Manager's Breach of Rules Report. The letter must provide details of the appeal process available to the tauira. Serious misconduct is also to be reported to NZQA.
- (g) The tauira has the right to appeal any Breach of the Rules decision. The procedure to be followed for an Appeal of a Breach of the Rules decision is the same as that for a Tauira Assessment Appeal. See Part 2 (F) Tauira Assessment Appeals for details of the Appeal process.
- (h) The Principles of 'Natural Justice', 'Good Faith', 'Transparency', the 'Right to Privacy' and 'Fair Process' must apply to all Breach of the Rules investigations and decisions.
- (i) Serious breach of the assessment rules may also result in Disciplinary Procedures by the Manager / Governance Board. Refer to Tauira Discipline in the Management System Part 3 Tauira Management and Welfare Handbook (Section III iv).

(F) Assessment Appeal Process

Requirement for Good Practice

The PTE has effective procedures in place for dealing with assessment Appeals. Tauira are given the right and opportunity to appeal any aspect or decision associated with the assessment process and all Appeals are handled fairly, appropriately and according to the documented procedures.

Procedures

1. Candidates are to be given the right and opportunity to lodge an appeal about their academic results and / or any aspect or decision associated with the assessment

process; this includes assessment grades, non-acceptance of late work, the declining of an Assessment Extension Application or a Breach of the Rules decision. The Appeal must follow the correct procedures and must be lodged within ten (10) days of the date that the assessed work was returned to the tauira and / or the tauira was made aware of the situation / decision.

2. If the Tutor concerned and the tauira are unable to resolve the situation then the tauira is to complete Part I of a **Tauira Assessment Appeal Form (Form 5/T9)** which is then given to the Manager.
3. The Manager is to investigate the Appeal, discuss the matter with the tauira and the Assessor, make a decision, and complete Part II of the Tauira Assessment Appeal Form. If not satisfied with decision or outcome of the Appeal the tauira may request that the case be reviewed by an Independent External Assessor. The Manager will then consider the external input and make a final decision on the Appeal, complete Part IV of the form and advise the tauira of the final decision. The Manager is to securely store all Tauira Appeal records and documentation.
4. If a candidate is not satisfied that the correct Appeal process has been followed by the PTE or has issues with the final outcome of the Appeal then they are entitled to lodge a formal complaint. See the Assessment Complaints Procedures below for details.

(G) Assessment Complaints Procedures

Requirement for Good Practice

Fair, clear NZQA complaint procedures are in place and are well communicated and understood by tauira.

1. Tauira who have a serious issue, concern or complaint regarding any aspect associated with an assessment related decision are entitled to lodge a formal complaint.
2. Tauira are to be advised to use the following procedures if they wish to lodge an Assessment Complaint:
 - (i) First raise the issue or complaint informally with the Tutor involved – before invoking formal procedures (if appropriate).
 - (ii) If the issue / concern is not resolved the tauira should lodge an Assessment Appeal using the **Tauira Assessment Appeal Form (Form 5/T9)**.
 - (iii) If not satisfied with the outcome of the Appeal process and the issue is still not resolved the tauira may take their complaint / grievance directly to the Manager, by completing and signing the **Tauira Complaint / Grievance Form (Form 3/T1)** and returning it to the PTE's Main Office .

The Manager will investigate the complaint, discuss it with the tauira, clarify any issues and make a decision. The tauira will be advised of the outcome and any action to be taken in writing within 10 days of the Complaint being lodged. A follow-up letter is to be sent to the complainant giving the final decision, outcome and the intended action of the Manager / Board.

- (v) If a satisfactory outcome is not achieved from the complaint to the Manager the tauira is entitled to lodge a formal complaint directly with NZQA (provided the situation / event took place within the last 6 months) using the correct NZQA procedures and forms found in a copy of the NZQA Complaints Kit (See NZQA Website). The Complaint should be sent to:

The Complaints Officer
Quality Assurance Division
NZQA
PO Box 160
WELLINGTON 6140

3. The internal process (set out above) for considering complaints and grievances will be transparent and clearly explained and communicated to tauira and staff.
4. Appeals and Complaints by tauira are to be considered in a fair, impartial, timely manner and final decisions must be free from any bias or unlawful discrimination and based solely on the relevant facts, information and evidence.
5. The complainant has the right to withdraw the complaint or grievance at any time.
6. A detailed record is to be kept of all complaints, the inquiry discussion, relevant meetings, final conclusion / outcomes and intended action. All the relevant documentation is to be kept in the 'Complaints File' and held in secure and confidential storage by the Manager.

(H) Verifying and Reporting of Assessment Data

Requirement for Good Practice

Accurate records are kept of tauira entries, withdrawals and results. There is accurate and secure storage and timely checking, transfer and reporting of assessment information / data.

Procedures

1. When marked assessment work is returned to tauira for checking the tauira is to complete and sign Section II Tauira Verification of the **Assessment Cover Sheet (Template 5/T4)**, verifying and accepting the grade that has been awarded for the assessment work. The Assessor is to retain the Assessment Cover Sheet and the original marked tauira work for future reference and internal and external moderation. In situations where no Cover Sheet is used for the assessment work, the tauira is to verify the grade by writing on the script *"the above grade is verified as fair and correct"*, then signing and dating the statement.
2. Once the Post Assessment Internal Moderation process has been completed, including the **Internal Moderation Checklist (Checklist 5/T12)**, assessor Tutors are to complete and sign the **Results Submission Sheet (Template 5/T13)** and hand it on to the NZQA Administration Officer for input of the data onto the PTE's central computer database records. The person entering the results then initials and dates the form and gives a

printout of the entered results to the Assessor for checking and signing. The form is then returned to the NZQA Administration Officer for filing and safe storage.

3. The Assessor and the Administrator must ensure that all assessment data is systematically recorded, stored and accurately transferred from mark book / computer onto the Results Submission Sheet. Checking for transposition errors must be made at all points in the data transfer process. The results of assessment are recorded using methods that conform with organisational and external body requirements.
4. All tauira entries and withdrawals from Assessment Standards are to be managed according to NZQA requirements and by key dates. The PTE must only report assessment results which have been subject to the PTE's internal moderation process, are complete, up to date and verified for accuracy.
5. The PTE's assessment database system is to be regularly backed up and data files checked before and after submissions to NZQA. Staff are to use the PTE's general access page on the NZQA website to regularly check the accuracy and completeness of assessment data which has been submitted to NZQA and the NZQA Liaison advised of any errors or omissions.
6. Tauira are to be encouraged to use their NZQA Learner Self-Provisioning (LSP) Service to check their entries, results and qualifications online and inform their Assessor of any errors or omissions.
7. The PTE is to give tauira the opportunity to check and confirm that their final recorded NZQA assessment results are correct, This check is to take place within 2 weeks of the end of the Course.

All tauira are to be issued with a copy of the NZQA recorded assessment results for the relevant Course; the form is to be signed and verified by the tauira as sighted and correct and returned to the NZQA Administration Officer for filing and safe storage.

8. The transfer of tauira achievement data to the NZQA Record of Achievement database will be accurate, take place on a regular basis as soon as practical after the credits have been awarded and only in relation to the scope of PTE's Consent to Assess.
9. The PTE will report tauira assessment results and credits to NZQA within 3 months of carrying out the assessment.

(I) Information Security and Privacy

Requirement for Good Practice

The collection, input, storage and use of assessment information and data are private and secure, and all information is managed in accordance with the Privacy Act (1993) and the PTE's Privacy Policy.

Procedures

1. Staff are to be made fully aware of their legal obligations and ethical responsibilities with regard to the collection, storage and use of private information.
2. The Privacy Act imposes legal obligations on PTEs with regard to the collection, storage and use of personal information. Under Principle 5 Information Privacy of the Privacy Act 1993, PTEs are required to take all reasonable steps to prevent the unauthorised use, disclosure, modification or misuse of personal information. This includes tauira assessment data and information.

The requirements of the Privacy Act must be observed when dealing with the storage and release of tauira results, tauira personal details and tauira assessment work. Tauira assessment results must only be shown to the individual tauira concerned, staff of the PTE and NZQA. Tauira assessment results must not be published or inappropriately disclosed to any other tauira.

3. Assessors and the Administrator must ensure that all assessment data is stored safely and securely, and no unauthorised person has access to it.
4. Assessors must be careful when handing back marked tauira work and when advising tauira of their results, not to breach privacy.
5. When using tauira work as exemplars or benchmarks samples, permission must be obtained in writing from the tauira concerned. A simple statement "I give approval for the PTE to use this material" signed and dated by the tauira, written on the front of the material, will suffice. Tauira permission can also be provided using the **Assessment Cover Sheet (Form 5/T4)**. The tauira's name and any other possible identification must be removed from the material.

6. Hardcopy tauira records and documentation, including assessment grades and assessment material, are to be stored safely and securely and disposed of appropriately when no longer required.
7. The input and storage of NZQA tauira assessment data on the PTE's computer tauira management system is to be closely controlled and secure, with appropriate security safeguards in place. Only the Administrator and Manager are to have access to the NZQA secure site and be able to submit assessment data to NZQA.
8. Tauira have the right and are to be given the opportunity to access, check and correct any personal information about them held by the PTE, including assessment information held by Assessors.
9. See the Privacy of Assessment Information in the Assessment Information for Candidates part of the Learner Handbook for details of the Privacy information provided to tauira.

(J) Retention and Storage of Assessment Information and Moderation Documentation

Requirement for Good Practice

Assessment records, information and moderation documentation is safely and securely stored in a central location and readily available and accessible to staff.

Procedures:

1. Assessment Information and Assessment material, including evidence of the internal moderation process and samples of tauira work required for external moderation, are to be securely stored in a central location within the Programme Area. The material / information is to be clearly labelled and readily available to Programme staff and the NZQA Liaison if requested.
2. The following information and moderation documentation storage methods are to be used by the PTE:

(a) Assessment Information File

The Administrator will maintain a Course Assessment Information File with the following information stored and readily available to staff:

- Sample Assessment Material including Assessment Task / Activity, Assessment Schedule, Assessor Briefs, Evidence Guides, Common Assessment Tasks, Checklists and Marking Guide with any annotated changes and Pre-assessment Moderation Report.
- Assessment information such as relevant NZQA publications and National Moderator reports.
- Nationally Moderated assessment material annotated as required.
- Exemplar / benchmark samples of tauira work (annotated).
- External Moderation Reports annotated / highlighted as required plus External Moderation response sheet (if applicable).
- Records of any relevant assessment decisions, records of relevant interactions such as with colleagues from other PTEs regarding assessment decisions.
- Group Moderation Meeting minutes, Moderation Report and annotated samples of tauira work.

The Assessment Information File is to be updated as new or more relevant material becomes available and is to be readily available to Assessors including the following year.

(b) Programme Moderation File

The Programme Moderation File is to be used to store evidence of the Internal Moderation process. The following historical moderation documentation is to be stored in the file, for each internally assessed Standard offered within the Programme.

- Internal Moderation Checklist glued on the front of the box file
- Copy of the Standard
- Assessment Activity / Assessment Schedule
- Pre-assessment Moderation Report
- Post Assessment Moderation Report
- Copy of Results Submission Sheet
- Samples of tauira work for External Moderation

Samples of randomly selected evidence for each Standard assessed are to be retained until fresh evidence becomes available or until after the next External Evaluation and Review (EER) has taken place.

A key aim of the Programme Moderation File is to provide a clear and transparent assessment and moderation audit trail.

(c) Marked Tauira Work

Marked tauira work will be handed back to tauira for checking then collected back in. If requested, tauira will be permitted to retain a copy of their assessment work. Marked tauira work not used as part of the internal moderation process or required for exemplar / benchmark samples and external moderation is to be securely stored and available to respond to tauira Appeals.

(d) Tauira Assessment Records

An accurate permanent record will be kept of all tauira assessment and examination results, cross-credits, credit-transfer and recognition of prior learning arrangements, and the achievement of awards and qualifications.

3. Tutors with support from the Administrator have the responsibility of supervising the filing and secure storage of assessment scripts, records, assessment information and moderation documentation. This information is to be readily accessible to staff in the event of a Tutor leaving the PTE or a sudden or prolonged absence. Staff are to be made aware of the importance of maintaining a strong subject professional memory.

K) NZQA Liaison Responsibilities (Operations Manager)

Requirement for Good Practice

The NZQA Liaison has a clear, well understood role and responsibilities and these are implemented fairly and effectively.

Procedures:

1. The Manager of the PTE will nominate and appoint a NZQA Liaison who will have the following responsibilities:
 - (a) receive and administer candidate entries and fees, and forward these to NZQA at set times
 - (b) monitor internal assessment and internal moderation within the PTE
 - (c) verify and report assessment results and achievement of NZQF credits to NZQA as soon as possible after the assessment has taken place
 - (d) provide a Moderation Plan, submit samples of tauira work to NZQA / SSB for external moderation and handle all external moderation matters
 - (e) ensure that the PTE and staff engage fully in the internal and external moderation process
 - (f) monitor changes in NZQA / SSB policies, procedures and requirements
 - (g) ensure the PTE meets all NZQA 'Consent to Assess' requirements
 - (h) ensure learners are only assessed against the current version of the Standard, and against Standards or qualifications on the NZQF for which the PTE has Consent to Assess / Accreditation

- (i) ensure that all monitoring, evaluation and review of assessment and moderation are implemented effectively
- (j) ensure that the PTEs NZQF Assessment and Moderation Policy and Procedures are updated as required to meet NZQA / SSB directives and changes in 'good practice'
- (k) monitor and ensure adequate external professional engagement of all Assessors
- (l) keep staff well informed about assessment matters and arrange staff professional development as required
- (m) maintain continuity of professional memory within the PTE as applied to assessment and moderation, including Exit Interviews and Induction of staff
- (n) regularly check / monitor and ensure the Consent to Assess / Accreditation status of all Standards offered within the PTE, including new Standards
- (o) closely monitor and evaluate all external moderation results and follow up and provide professional guidance and support to staff as required
- (p) analyse and evaluate PTE wide and Subject Tauria results and achievement
- (q) regularly report to the CEO on assessment and moderation within the PTE
- (r) ensure that the PTE follows all NZQA Rules and meets all relevant Consent to Assess requirements when using sub-contractors to deliver study or training.

PART THREE MODERATION OF ASSESSMENT

Explanatory Notes

All PTE's that assess learners against Assessment Standards registered on the Directory of Assessment Standards (DAS), that contribute to qualifications listed on the NZQF, must carry out internal moderation and engage with the external moderation that applies to the particular Standards.

Every Assessment Standard registered on the DAS is attached to a Consent and Moderation Requirement (CMR). The Moderation Requirement (MR) section in the CMR sets out the internal moderation requirements and the national External Moderation system for the Standard. NZQA and other Standard Setting Bodies are responsible for managing and supervising the assessment and moderation of specific Standards.

It is the responsibility of the PTE with the relevant "Consent to Assess" to ensure that they carry out the Internal Moderation that applies to the Assessment Standards offered by the PTE. See the Consent and Moderation Register Sheet which sets out the Standards (and Domain), the relevant Standard Setting Body, the Consent and Moderation Requirements (CMR) and Moderation Requirements (MR) for the Standards, that the PTE will be assessing and reporting credits.

The Moderation Process is used to:

- *evaluate assessment material*
- *check and ensure that Assessor judgments are fair, accurate, valid, consistent and at the National Standard*
- *sample and evaluate approaches Assessors are taking in the assessment of taurira achievement*
- *ensure that the PTE's quality assurance processes and systems remain effective*
- *provide professional feedback to Assessors and strengthen assessor judgements and assessment practice*
- *enhance Assessor understanding of the National Standard*
- *inform the continuous improvement of assessment practice, and future teaching and learning programmes, and ensure compliance with NZQA / SSB quality assurance requirements*

Moderation of Assessment

Moderation of Assessment within the PTE will comprise:

- A. **Internal Moderation**
- B. **External Moderation**

(A) Internal Moderation

Explanatory Notes

1. *Internal Moderation is the responsibility of the PTE. All PTEs that have a “Consent to Assess” Standards that are registered on the DAS and contribute credits towards qualifications on the NZQF are required to have appropriate and effective Internal Moderation systems and procedures in place.*
2. *Internal moderation is the process of monitoring, checking and verifying assessment to ensure that it is valid consistent, fair, sufficient, authentic and at the National Standard and compliant with all NZQA, CMR and / or Standard Setting Body requirements.*
3. *“Internal Moderation should be more than just a post-event check against sample answers by a moderator. Where possible Moderation should be a collective and collaborative exercise between assessors and Moderators to compare their judgements and either confirm or adjust them”. NZCER, 2012.*
4. *The Internal Moderation systems, processes and strategies adopted by a PTE must meet all the requirements of the relevant Standard Setting Body and/or NZQA. The Internal Moderation model adopted must be appropriate for the learning programme and its delivery and must also match the type of learning, the type of assessment, the Standard being assessed, the stated learning outcomes of the Standard, the specific context of the assessment and the particular circumstances / needs of stakeholders and the provider. See Appendix 3 ‘Guide for Moderation of Assessment on the NZQF’ for additional information on ‘Designing an Internal Moderation System / Model’.*
5. *Depending on the specific Assessment Standard and the PTE organisation specific factors (and where necessary or required, feasible and applicable) it is recommended that an appropriate mix and version of the following Internal Moderation strategies be implemented by PTEs for the Internal Moderation of Standards that contribute credits towards qualification on the NZQF.*

Internal Moderation Strategies

- *Pre-assessment Moderation - Critique of Assessment Material (if necessary)*
- *Post Assessment Moderation - Verification of Assessor Decisions*
- *Group Moderation Meetings (if necessary and feasible)*
- *Assessment Inter-class Consistency (if applicable)*
- *Assessment Exemplars / Benchmarks*
- *Strengthening Assessor understanding / judgements*
- *Additional / Specific SSB Internal Moderation Requirements (if required)*
- *Monitoring of Assessment and Moderation*
- *Review of Assessment and Moderation*

6. *Internal Moderation must meet all good practice requirements, be practical, manageable and affordable and implemented consistently across the PTE, according to the documented procedures. Internal Moderation must be well planned, systematic, transparent and robust.*

The Internal Moderation process must also be well documented and recorded and provide a clear, detailed audit trail.

Requirement for Good Practice

Effective internal moderation systems and procedures are in place to successfully manage the internal quality assurance of assessment practice within the PTE. All internal moderation processes, including any specific SSB requirements, are clearly documented, well understood and manageable and implemented fairly and consistently to ensure that all assessor judgments are valid, verifiable and consistently applied at the National Standard.

Internal Moderation has a key focus of providing quality professional feedback and guidance to Assessors, building a shared understanding of the assessment process and strengthening assessment practice within the PTE.

Internal Moderation Model:

Depending on the specific Assessment Standard and where required, feasible and / or applicable, an appropriate combination and / or version of the following Internal Moderation strategies are to be implemented for all Assessment Standards assessed within the PTE:

1. Pre-assessment Moderation - Critique of Assessment Material (if necessary)
2. Post Assessment Moderation - Verification of Assessor Decisions
3. Group Moderation Meetings (if necessary and feasible)
4. Assessment Inter-class consistency (if applicable)
5. Assessment Exemplars / Benchmarks
6. Strengthening Assessor Undertaking / Judgements
7. Additional Requirements (if necessary) / Specific (CMR) or SSB Moderation Requirements (if required)
8. Monitoring of Assessment and Moderation
9. Review of Assessment and Moderation
1. **Pre-assessment Moderation - Critique of Assessment Material**

- (a) Assessment Material refers to assessment tasks and / or activities, assessment schedules. Assessor briefs, evidence guides, common assessment tasks (CAT's) checklist and marking guides and / or sample answers. All Assessment Material is to be fair, fit for purpose, appropriate and at the National Standard. The Assessment Material must match the current version of the Standard or any special requirements.
- (b) All self-developed and non-SSB Assessment Material used for the first time (that has not been approved or externally moderated by the SSB), including material used for the Further Assessment, must be Moderated well in advance of use by a suitably qualified person other than the creator / writer of the material, and modified if necessary.

This includes Assessment Material from commercial sources, material downloaded from the internet, self-designed material and material developed by colleagues from other PTEs.

Unmodified SSB and NZQA produced, approved and / or pre-moderated Assessment Material is not required to be moderated before use.

- (c) SSB approved or externally moderated material that has been altered or modified must also be Moderated before use.
- (d) The Assessment Material used in the original Assessment and the material used for the Further Assessment are to be critiqued together and checked for consistency and compatibility.
- (e) Pre-assessment Moderation is to be carried out using the **Pre-assessment Moderation Report (Template 5/T3)**. If the Assessment Activity / Schedule and Standard are unchanged from past use, then a previous Pre-assessment Moderation Report or External Moderation Report will suffice.
- (f) All non-SSB and self-developed Assessment Material used in the PTE for the first time is to be closely checked and scrutinised during the critiquing process. Pre-moderated and SSB approved or developed Assessment Material and / or certified Quality Assured Assessment Material (QAAM) are to be used where possible.

- (f) The Moderator must consider the assessment conditions, e.g. open book conditions, when completing an Assessment Material Critique.
- (g) Where appropriate the Assessment Material and any relevant Pre-assessment Moderation issues are to be discussed at a Programme Staff Meeting / Workshops before use. Programme assessment decisions and modifications to the Assessment Material are to be well documented and records kept on file for future reference.
- (h) Any applicable CMR or SSB pre-assessment Moderation requirements such as approval of Assessment Material, including submission of Assessment Material to SSB, is to be completed before the assessment takes place.
- (i) Any Assessor Group discussion / Evaluation of Assessment Material is to be completed and documented before assessment takes place (if required as part of Internal Moderation).
- (j) Non-SSB Assessment Material must be modified to incorporate any previous external moderation feedback, internal moderation and any other relevant assessment decisions.
- (k) The Assessment Schedule should provide clear examples of learner responses which meet the requirements of the Standard (Evidence Statements). Assessment Schedules should also clearly describe the quality and quantity of performance levels which meet the requirements of the Standard (Judgement Statements).
- (l) Feedback from the Moderator to the Assessor must be timely, direct, constructive, supportive and confined to the relevant aspects of the Assessment Material. Feedback is to inform and support quality assessment and improvement of the Assessment Material and assessment practice.
- (m) Any Assessment Material that requires updating or modifying as a result of a Pre-assessment Moderation or External Moderation must be modified, revised and resubmitted for moderation before further use. Changes should also be made to Assessment Material if errors or omissions are identified in the Assessment Schedule.
- (n) The Assessment Schedule should also be modified if necessary to include any unexpected but acceptable responses provided by tauira during the assessment process.

- (o) The Manager is responsible to follow up any necessary changes to Assessment Material. All Assessment Material must be reviewed after use and either confirmed or modified for possible future use.
- (p) Details of the Pre-assessment Moderation of the Assessment Material are to be recorded on the **Internal Moderation Checklist (Checklist 5/T12)**, and the checklist is attached and stored with the marked and moderated tauira assessment work.
- (q) Programme Areas are to keep appropriate samples of Assessment Material for future reference and comparison. The material is to be stored in the Programme Assessment Information File and is to be readily available to staff, including from year to year. The information is to be updated as new or more relevant material becomes available.

2. Post Assessment Moderation - Verification of Assessor Decisions

- (a) This sample-based moderation method involves a Moderator checking and verifying the assessor judgments / decisions for a sample of tauira work. The tauira work / evidence is checked for completeness, reliability, accuracy, validity and authenticity. The Assessor judgements are confirmed as being fair, accurate and consistent. The overall grade judgement is reviewed against the assessment criteria and the desired learning outcomes of the Assessment Standard. The assessment decisions must also be consistent with the evidence provided and the Assessment Schedule.

The Verification of assessor decisions could also involve 'Dual Assessment' or observation of assessor / assessment by a peer assessor or moderator and a follow-up discussion.

The purpose of post assessment moderation is to verify the assessment evidence and to check that the assessor judgments are consistent within the Programme including across different classes; also to verify that the Assessor judgments are fair, accurate, valid, reliable and consistent with the registered Standard and the assessment schedule and at the National Standard, and that the assessment decisions are supported by the evidence. The Moderator must also check that the tauira work / evidence is complete, reliable and authentic. Another key purpose is to provide constructive professional feedback to staff and enhance Tutor understanding of the National Standard and the assessment process with the aim of improving the quality and consistency of assessment practice within the PTE.

- (b) A sample of all internal Assessment Standards assessed in any particular year is to be internally verified by being sample check marked. The check marking could involve:
- The Manager or another suitably experienced tutor from within the PTE who is familiar with the Standard, check marking a sample of tauira work
 - A suitably experienced subject specialist / colleague from another PTE check marking a sample of tauira work
 - A Peer Panel of Tutors check marking a sample of tauira work

- Inter-class consistency methods doubling as verification
- (c) The following is to be used as a minimum requirement for the check marking sample size:
- for single classes sample size is to be 4 or 15% whichever is the larger
 - for multiple classes the sample must include a minimum of three samples of tauira work from each class

The size of the sample check marked may be increased at the discretion of the NZQA Liaison, in high risk or high use areas, and in the case of poor previous moderation results or for new Standards.

- (d) Tutors new to Standard-based assessment are to have at least 50% of all their tauira assessment work moderated during their first year of assessment.
- (e) The sample of tauira work selected for Pre-assessment Moderation should be representative and illustrate the range of assessor judgments at or near the grade boundaries. The selection process should be as random as possible.
- (f) When completing the verification / check mark the Moderator should remark in green pen and should not know the original grade awarded by the Assessor.
- (g) The Moderator is to complete a **Post Assessment Moderation Coversheet (Template 5/T5)** for each tauira plus a **Post Assessment Moderation Report (Template 5/T6)** that summarises the moderation judgements and the assessor alignment with these.
- (h) As part of the process of verifying assessor judgments Moderators should consider and evaluate the whole 'body of work' or evidence presented by the tauira. Verifiers must consider the tauira overall understanding / competency against the Standard as a whole, i.e. against a collection of learning outcomes, not just against individual elements / tasks or specific aspects of the Assessment Standard.
- (i) Feedback to Assessors following internal moderation must be timely, inform and support quality assessment, be confined to assessment practice and enable improvement and modifications to occur before the next assessment cycle.
- (j) Feedback of moderation outcomes to Assessors must be handled fairly, transparently and constructively. Where there is significant variation between the Assessor grades and the Moderator grades, the Moderator is required to inform the Manager. The Assessor is to be given the opportunity to respond to the Moderator's judgments.

The Manager is responsible for any follow up action that may be required, which is to be well documented. Follow up could include additional corrective feedback, assistance, support and professional development for the assessor Tutor to enable improvement in the quality of their assessment practice.

- (k) Correct procedures and fair process must be followed when dealing with any serious Assessor's judgment errors and the process well documented. Respectful consideration is to be given to the professional judgment and professional interpretation of Assessors. All parties are expected to act in 'good faith'.
- (l) If any serious assessor judgment errors are discovered during the internal moderation process, the Manager must inform the NZQA Liaison. The Manager is also to record details of the error in the Programme Log book and complete a **Moderation Follow-up Report (Template 5/T11)** which is also to be signed by the Assessor and the NZQA Liaison.

Further learning evidence may then be collected e.g. by verbal conferencing or a specially prepared Assessment Task, in order to clarify the situation and verify the taurira's grade.

Each case is to be evaluated by the Manager and NZQA Liaison according to the particular circumstances. A second opinion of a colleague from outside the PTE may need to be obtained.

The NZQA Liaison is to fully document the details of the process and the final decision in the NZQA Liaison Logbook. In the case of serious on-going assessment judgment errors by the Assessor, then an amended Professional Action Plan / Log form is to be completed.

- (m) All Post Assessment Moderation and the internal moderation process must be completed within 2 months of the Assessment being completed.
- (n) The Programme Moderation File is to be used to store evidence of the internal moderation process. See Section 3L 2(b) Programme Moderation File for details. Also see **Internal Moderation Checklist (Checklist 5/T12)** for a detailed list of the documentation to be stored in the Programme Moderation File, for all internally assessed Standards.

3. Group Moderation Meetings (Pre-moderation or Post Assessment)

- (a) If practical, manageable and feasible, and considered necessary by the NZQA Liaison, Assessors are to participate in Group Moderation Meetings with other assessors from outside the PTE, e.g. external Cluster Groups, or assessors from within the PTE, e.g. Peer Meetings, who are assessing similar / relevant Standards. Group Moderation Meetings are to be used to discuss the assessment material and evaluate and moderate Exemplars or marked samples of tauira work. The Group Moderation can comprise either:
- (i) Pre-Moderation Meetings carried out before the assessment takes place and used to evaluate Assessment Material and Exemplars of previous tauira work; or
 - (ii) Post Assessment Meetings carried out after the assessment and used to evaluate samples of actual marked tauira work.
- (b) A key aim of Group Moderation Meetings is to prevent assessors working in isolation and to assist sole-Assessors to clarify and improve their understandings of the National Standard.
- (c) The following procedures are to be implemented for Group Moderation Meetings:
- Assessors submit Assessment Material and samples of tauira work or Exemplars prior to the Moderation Meetings;
 - samples to include near borderline judgments and or inconsistent evidence;
 - Assessors independently assess the material;
 - Assessment Material and marked samples or Exemplars of tauira work are evaluated and collectively discussed at the Group Meeting; and
 - after discussion and clarification assessors come to an agreed judgement of tauira performance.
- (d) Good records are to be kept of the Group Moderation decisions / judgements including annotated examples of tauira work showing the judgement reached. If necessary, the annotated samples of tauira work are also to be discussed at Programme Staff Meetings the Group Moderation material is to be stored in the Programme Information file and be readily accessible to other Assessors.
- (e) Respectful consideration is to be given to professional judgement and interpretation and dignity of individual Tutors during the Group Moderation Meeting process.

- (f) If necessary, after the Group Moderation Meetings have taken place feedback, advice and guidance is to be provided to Assessors and this may also include a Moderation Follow up Report and a Professional Action Plan / Log.

4. Assessment Inter-Class Consistency

- (a) Staff are required to put in place and implement procedures to ensure that there is consistency in assessment practice and consistency in the assessment of Standards across different classes within the PTE, within a year and from year to year (if applicable).
- (b) A record must be kept of all relevant assessment discussions and decisions by staff and a copy stored with the particular Standard's documentation in the Assessment Information File.
- (c) The methods used to ensure that there is inter-class consistency in both assessor decisions and final grade judgments could include:
- Group discussion of samples of tauira work which is used to refine the assessment schedule
 - Programme Area Meetings – 'teaching conversations' and discussion of the Standard, relevant assessment material and benchmark samples by Assessors at Programme meeting, with good records kept and stored
 - Panel or team assessment of tauira work and discussion of grade boundary / borderline examples of tauira work
 - Common assessment tasks used across classes combined with appropriate marking methods such as:
 - Cross Assessment: Assessors marking a mix of tauira work from different classes
 - Strip assessment: different Assessors marking different sections of tauira work
 - Co-ordinated check marking procedures: co-ordinated and consistent check marking of tauira work for various classes.
 - Marking rosters
 - Discussion, peer tutoring / mentoring and observations of each other
 - Reference to guinea pig papers, annotated benchmarks or previous moderated samples

5. Assessment Exemplars / Benchmarks

- (a) Exemplars / benchmark samples of actual tauira work or created exemplars / benchmarks are to be used as a yardstick to grade new work and to establish, measure and confirm levels of tauira performance and achievement. The samples selected for benchmarking should be those that help establish clear reference points and grade boundaries and can be used to effectively evaluate and measure / grade new tauira work.
- (b) Annotated exemplars / benchmark samples of tauira work, including work from previous years, can also be used to maintain and refresh the Programme professional memory. Benchmarking enhances staff understanding of the National Standard and helps guide Tutors new to the Standard.
It ensures consistency of marking from year to year and can be used to clearly exemplify the Standard to tauira. Assessment benchmarking is an important component of the moderation process and is to be used by all Assessors.
- (c) Assessors are required to retain and store exemplar / benchmark samples of tauira work for future use and reference. The work should be annotated in a different coloured pen, e.g. green, with useful comments by Assessors or the Manager about relevant aspects of the assessment and marking process. Key aims of assessment benchmarking are to maintain Programme professional memory and enhance staff understanding of the National Standard.
- (d) Signed and dated written permission must be obtained from the tauira concerned to use samples of their work as exemplar / benchmark samples and the tauira name and any other identification removed from the material.
- (e) A bank of annotated exemplar / benchmark samples of tauira work is to be stored in the Programme Assessment Information File for each internally assessed Standard. The exemplar / benchmark samples are to be continually updated and replaced with material when new versions of the Assessment Standard are registered and / or when more suitable material becomes available.

. **Strengthening Assessor Understanding / Judgements**

The following methods will be used to strengthen Assessor understanding of the National Standard, Assessor judgements and Assessment Practice within the PTE.

(a) **External Professional Engagement**

- (i) Professional engagement involves the maintaining of links, interaction, contact and involvement with other subject specialist Tutors, colleagues and subject professionals from outside the PTE. Professional engagement enhances and maintains Assessor current understanding of the National Standard, is an important component of the moderation process and is to be used by all Assessors.
- (ii) All Assessors are to maintain strong links and interaction with external subject professionals and the wider professional community. This could include links with:
 - Tutor colleagues and subject specialists from other PTEs
 - Other subject professionals
 - Attendance at assessment cluster group meetings
 - Industry Training Organisations
- (iii) The Manager must ensure that Tutors within their Programme have strong links and engagement with suitably qualified and experienced subject professionals from outside the PTE and that Tutors are not working in professional isolation. It is the responsibility of the Manager to ensure that worthwhile staff external engagement takes place.
- (iv) The Manager is to monitor the external engagement of Tutors within the Programme and record this information on Tutor **External Professional Engagement and Training Record (Template 5/T18)**. These forms are to be available for inspection by the NZQA Liaison.
- (v) The external professional engagement of Assessors is to be discussed and reviewed at the Programme Area Annual Self-Review of Assessment.
- (vi) The external professional engagement of staff is to be reported and explained in the Programme's Annual Assessment Report given to the NZQA Liaison.

The Report will include a summary of the External Professional Engagement record forms.

The NZQA Liaison is to monitor and ensure that all Assessors are maintaining strong links and engagement with suitable, experienced and qualified subject specialists.

(b) Other Methods of Strengthening Assessor Understanding / Judgements

- (i) In addition to External Professional Engagement, PTE are also expected to use a range of other strategies / methods to maintain and develop Assessors understanding of the National Standard, the assessment and moderation process and assessment good practice and strengthen Assessment judgements.
- Regular informal 'professional conversations', discussion and interaction with colleagues within their own Programme
 - NZQA subject specific resources and subject specific web pages
 - Internal Moderation
 - Feedback from Pre-assessment Moderator
 - Feedback from Post Assessment Moderator
 - Post Assessment Moderation Follow up Report
 - External Moderation
 - External Moderation Feedback
 - Assessors Response to External Moderation Form
 - Tutor Self Review of External Moderation
 - Tutor Professional Action Plans / Logs
 - NZQA Assessment Circulars
 - Monitoring, Evaluation, Review, Reporting and Continuous Improvement Processes (See Part 4)
 - Use of the Assessment Information File stored documentation / records
- (ii) Staff are to be provided with all relevant NZQA Circulars and other NZQA assessment information as it comes available.
- (iii) Full staff attendance, participation, involvement and discussion at Programme Staff Meetings. Programme Staff Meetings are to be used to improve staff understanding of the National Standard, the assessment and moderation process and assessment good practice.

- (iv) All Tutors that assess Standards that contribute credits to qualifications on the NZQF are to be trained in assessment and moderation and must hold the following Unit Standards:

- 4098 v4 Use Standards to assess candidates (Level 4, credits 5)
- 11281 v3 Prepare candidates for assessment (Level 4, credits 3)
- 11552 v3 Design assessment (Level 5, credits 6)
- 11551 v3 Moderate assessment (Level 5, credits 6)

NB Unit Standard 4098 alone is regarded as initial assessor training only.

- (iv) Staff are to be provided with on-going **Training, professional learning and development** opportunities as required to maintain and develop their knowledge of relevant National Standard and assessment practice and expertise, particularly Assessors in sole-Tutor learning areas. Internal or External Moderation feedback, and Programme Staff Meeting / discussion is to be used to identify gaps in the knowledge and skills of assessors and assessor training and professional development needs.
- (v) Assessors are to make use of the opportunities available during the internal and external moderation process, includes any SSB external moderation clarification and appeal processes to improve their knowledge and understanding of the National Standard.

7. Additional / Specific CMR or SSB Internal Moderation Requirement

The PTE will implement any additional Internal Moderation strategies required by the relevant National Standard Setting Body, as set out in the relevant CMR and / or other documentation. See the **Consent and Moderation Requirements Register (Toolkit 5/T20)** which sets out the Standards Setting Body and relevant Consent and Moderation Requirements (CMRs) and Moderation Requirements (MR) for the Standards that the PTE will assess and report credits.

8. Monitoring of Assessment and Moderation

Internal Monitoring of Assessment and Moderation - the consistency, quality and effectiveness of the assessment and internal moderation process is to be formally monitored. See Part 4A(i) on Monitoring of Assessment and Internal Moderation for details.

9. Review of Assessment and Moderation

There will be regular and on-going Review of the Assessment and Moderation process. See Part 4 of the Assessment Management Procedures – Internal Monitoring, Evaluation, Review Planning and Reporting. The Review will include evaluation and review of the internal moderation system and moderation practice and enable the identification of improvement opportunities and ensure that the system remains effective.

The following areas are to be regularly reviewed:

- Effectiveness and efficiency of the moderation system
- The skills and knowledge of the personnel involved
- Moderation policies, processes and practices
- The need for professional development of staff
- The appropriateness of the Moderation model, system and strategies

Internal Moderation Assessment Plan

An internal Moderation Plan is to be developed at the end of the previous year. The Plan is to show the person responsible and the approximate date that the internal moderation strategy will be implemented. The timing of Internal Moderation should match the assessment timetable. All internal moderation is to be completed within 2 months of the assessment being completed. The Moderation Plan is to be monitored and reviewed on an on-going basis during the year by the NZQA Liaison.

*Refer **Internal Moderation Plan (Toolkit 5/T21)** to complete an Internal Moderation Plan for the various Assessment Standards assessed as part of the PTE's Learning Programmes.*

(B) External Moderation

Explanatory Notes

1. *PTEs are required to engage in the External Moderation that applies to all Standards they assess on the NZQF. The relevant Standard Setting Body and / or NZQA is responsible for all External Moderation. The specific moderation requirements, and in some cases, specific external moderation strategies are set out in the CMR attached to each Standard.*

2. *The specific External Moderation requirements of the relevant SSB for the Standards being assessed may include the following external moderation strategies / methods.*

Examples of External Moderation Strategies / Methods used by SSBs are:

Pre-assessment Strategies

- *Pre-assessment meetings with Assessors / Moderators*
- *Pre-assessment checking and approval of Assessment Material by SSB*
- *Visits to site, advice and guidance for assessors*
- *SSB Developed Assessment Material*
- *Provision of Common Assessment tasks*
- *Provision of information and training for Assessors*
- *Sample Pre-Moderation Workshops*

Assessment Strategies

- *On-site visits during Assessment and 'Visit Reports'*
- *Observation (discussion of assessment practice)*
- *Observation / moderation of practical assessment*

Post Assessment Strategies

- *Submission of Assessment Material for Checking / Moderation*
- *Submission of samples of taura work for external verification by SSB / NZQA*
- *Provider Reports to SSB (outlining engagement in moderation process)*
- *Post Moderation Report by SSB*

Requirement for Good Practice

All NZQA and / or National Standard Setting Body external moderation requirements and submission deadlines are to be met by the PTE. External Moderation feedback and follow up is used to enhance staff understanding of the assessment process and strengthen assessment practice within the PTE.

Procedures:

1. The PTE will fully engage in and comply with all the external moderation requirements of relevant NZQA and / or the National Setting Body (SSB) (as set out in the Consent and Moderation Requirements Register).

❖ Use the **Consent and Moderation Requirements Register (Toolkit 5/T20)** to set out details of the relevant CMR and specific Moderation Requirements for the Assessment Standards being assessed by the PTE.

2. A Moderation Liaison person or NZQA Liaison will be nominated and appointed by the Manager to co-ordinate the PTE's dealing with NZQA / SSB including handling external moderation matters.

3. **External Moderation Strategies/Methods**

List and provide details of the specific (a) Pre-assessment (b) Assessment and (c) Post Assessment External Moderation that the PTE will implement, in order to meet SSB / NZQA requirements. See Background Information, the relevant CMR and the Consent and Moderation Register Sheet for further details.

4. NZQA Managed Standards: The following external moderation procedures will be implemented for all NZQA Managed Standards offered by the PTE. The PTE will submit an accurate online Assessment Plan setting out the Standards it plans to assess in the coming year to NZQA by the due date. The PTE will submit Assessment Materials for National External Moderation for Standards listed in the Moderation Plan. See the National External Moderation Manual for Tertiary Organisations (2011) in Section VI File Documents of this Handbook for details.
5. Samples of tauira work required for external moderation by NZQA / SSB are to be stored in the Programme Moderation File along with the internal moderation information for the Standard until required for submission for External Moderation. The NZQA Liaison and the Manager are to monitor, evaluate and review all External Moderation. See Section 4 Self Assessment and Moderation. The key components of External Moderation Monitoring are:
 - Selection of Moderation Materials
 - SSB Moderation Reports
 - External Moderation Follow up
6. The NZQA Liaison is to review all NZQA / SSB subject External Moderation Reports. The Reports and moderation results, including the subject moderation-to-Tutor agreement rates, are to be monitored by both the NZQA Liaison and the Manager. Low subject agreement rates between assessor and moderator are to be examined closely and may

indicate a need for more rigorous check marking of tauira work and / or professional development to assist Tutors with their understanding of the National Standard.

7. The Manager and Assessor are to act on and implement any feedback / comments or instructions contained in the NZQA / SSB External Moderation Report, including modifications to the assessment material.
8. The Manager is to follow up and discuss the NZQA / SSB External Moderation Report with the staff involved and / or at a Programme meeting. External Moderation issues are to be managed in 'good faith' using 'fair process' and with due respect to the professional judgement of the staff involved.

The Manager must also provide the help, advice and follow up support to staff needed to implement the recommendations contained in the Moderator's Report. This may also include the provision of professional development and / or external professional engagement, such as contact with other subject specialists or subject advisors.

9. All Programmes are to complete an **Assessor Response to External Moderation Form (Template 5/T14)** including Follow up Action by Programme staff. The Manager is responsible for ensuring that a Subject Response to External Moderation Form is completed and given to the NZQA Liaison and that the necessary Follow up Action is implemented.
10. Where serious issues / problems are identified in the assessment material or Assessor judgments in the NZQA / SSB External Moderation Report and / or if the External Moderation Moderator-to-Teacher Agreement Rate is less than 60%; then the NZQA Liaison is to use an **External Moderation Memo form (Template 5/T15)** to formally request that the Manager and the Assessor(s) involved complete an **Assessor Self Review of External Moderation (Template 5/T16)** and a **Professional Action Plan / Log (Template 5/T17)**.

As part of the Assessor Self Review of External Moderation, the Assessor is required to examine and evaluate their External Moderation results and, with the assistance of the Manager, identify strategies to address the concerns raised in the External Moderation Report. The Assessor is to be provided with a copy of the relevant subject External Moderation Report.

Part II of the Assessor Self Review of External Moderation form involves the Assessor, in consultation with the Manager, identifying possible strategies for improvement.

The relevant Internal Moderator is also to be given the opportunity to comment on the Moderation Report and the Assessor's response.

After completing the Assessor Self Review Form, the Assessor is to then complete a confidential Professional Action Plan / Log. The purpose of this Plan is to assist the Assessor(s) to implement the improvement initiatives / strategies that have been identified by targeting specific knowledge, techniques or skills.

The implementation of the Professional Action Plan is to be recorded / logged by the Assessor in the Log of Events/Action part of the form. The Manager is responsible for the follow up and Review of the Action Plan / Log.

The following professional support and professional learning for the Assessor are some possible improvement initiatives and strategies that could be used to target the specific knowledge and skills needed to address any serious concerns raised during External Moderation.

- More informal assistance / support from Manager / colleagues
 - Formal monitoring by Manager / PTE colleagues
 - External assistance / guidance, e.g. from external colleagues or subject experts
 - More external professional engagement with colleagues outside the PTE More subject professional development
 - Assessment professional development
 - Greater use of benchmark samples and moderator reports
11. Assessors are to be encouraged to make use of NZQA's / SSB clarification and appeal processes in order to enhance their understanding of the National Standard and improve assessment practice.
 12. All nationally moderated material, External Moderation Reports, Subject Response to External Moderation Response Sheets and records of other assessment decisions are to be stored in the Assessment Information File and retained by the Programme for future reference and be accessible by Tutors.
 13. Any tauira who have grade improvements assessed in the External Moderation Report are to be advised and Programme / PTE NZQA records are to be amended accordingly.

PART FOUR SELF ASSESSMENT OF NZQF ASSESSMENT AND MODERATION

Requirement for Good Practice

Procedures are in place and implemented to ensure that there is effective internal monitoring, evaluation, review, planning for continuous improvement of assessment and moderation management within the PTE, and this forms part of the PTE's overall Self-Assessment Programme

Contents:

(A) Internal Monitoring (of Assessment and Moderation Management)

1. Monitoring of Assessment and Internal Moderation
2. Monitoring of External Moderation
3. Monitoring of Taura Academic Progress
4. Monitoring of Taura Academic Achievement
5. Monitoring of External Professional Engagement / Training
6. Monitoring of Consent to Assess Status and NZQA Changes
7. Monitoring of External Providers
8. Monitoring of Assessment Administration

(B) Internal Evaluation

1. Evaluation of Assessment and the Quality Assurance Process
 - (a) Assessment Material
 - (b) Assessment Process
 - (c) Participation and Engagement of staff
 - (d) External Moderation results
 - (e) External Professional Engagement
 - (f) NZQA Compliance Audit Reports (if applicable)

(C) Internal Review (of Assessment and Moderation Management)

1. Review of Assessment Process
2. Programme / Learning Area Annual Self Review of Assessment
3. Independent Assessment Review
4. Annual Review of NZQA Systems / Procedures
5. NZQA Liaison Annual Assessment Review
6. Cyclic Assessment Reviews

(D) Planning for Continuous Improvement

(E) Internal Reporting

1. Programme / Learning Area Annual Assessment Report
2. NZQA Liaison Annual Assessment Report
3. Independent Assessment Review Report (if applicable)

(A) Internal Monitoring (of Assessment and Moderation)

The purpose of Internal Monitoring of Assessment and Moderation is:

- to assist in the supervision, checking and tracking of progress and performance, and consistent implementation of assessment and moderation
- to provide valid evidence, information and data for the Evaluation, Review and Continuous Improvement of Assessment and Moderation Management
- to identify staff non-compliance or partial compliance within the PTE including compliance with NZQA assessment and moderation requirements
- early identification of quality assurance issues, including Assessor understanding of National Standard that requires additional guidance and / or professional development
- early identification of problem areas / issues in tauira assessment, learning and / or academic progress

Internal Monitoring of Assessment and Moderation is to comprise:

- (1) Monitoring of Assessment and Internal Moderation
- (2) Monitoring of External Moderation
- (3) Monitoring of Tauira Academic Progress
- (4) Monitoring of Tauira Academic Achievement
- (5) Monitoring of External Professional Engagement / Training
- (6) Monitoring of Consent to Assess Status and NZQA Changes
- (7) Monitoring of External Providers
- (8) Monitoring of Assessment Administration

1. Monitoring of Assessment and Internal Moderation

The formal monitoring of internal moderation and the consistency, quality and effectiveness of the assessment process is to take the form of:

- Assessors monitor the effectiveness of the assessment process and the specific Assessment Standard being assessed, including any Standard version expiry and the Standard Exclusions list
- Tauira Information. The NZQA Liaison is to monitor the Course and Assessment information given to tauira for all NZQF courses
- Programme Meeting discussion – to be recorded in Programme Meeting Minutes
- Internal Moderation Checklist – these signed checklists, which are completed by Assessor for every internally assessed standard and stored in the Programme Moderation File, are able to be used by the Manager to monitor staff engagement and compliance with the PTE's Internal Moderation process. In particular, to monitor Assessor use of assessment exemplars / benchmarks, assessment interclass consistency strategies, critiquing and review of assessment materials, Post Assessment Moderation and the storage of moderation documentation.
- Programme Retention and Storage of Assessment Information and Internal Moderation Documentation. The Manager is to monitor the maintenance and storage and availability to staff of assessment and moderation documentation.

2. Monitoring of External Moderation

The NZQA Liaison and Manager are to be responsible for monitoring external moderation. The key components of External Moderation Monitoring are:

- Selection of Moderation Material
Assessors are to follow any specific SSB Guidelines for selection of tauira work for External Moderation and the process monitored by the Manager.
- Moderation Reports
External Moderation Reports and External Moderation results, including the quality of assessment material and Moderator-to-Tutor Agreement Rates for tauira work, are to be closely monitored by the NZQA Liaison and Manager. See Part 3B External Moderation.

- External Moderation Follow Up

Manager is responsible for implementing and monitoring all the necessary follow up to External Moderation. The Programme Meeting Minutes, Assessor Response to External Moderation, and if necessary, the Assessor Self Review of External Moderation and Professional Action Plan / Log are to be used to record and monitor the process.

The NZQA Liaison is to also use the Assessor Response to External Moderation form to monitor Assessor's follow-up to any issues raised in the External Moderation Report.

3. Monitoring of Tauira Academic Progress

The Managers (or a delegated Tutor) is to be aware of and monitor overall tauira / class on-going academic achievement and progress and the assessment results being submitted by Assessors.

4. Monitoring of Tauira Achievement

Final tauira achievement results for the year are to be monitored by Programmes and evaluated for each subject at the beginning of the following year.

5. Monitoring of External Professional Engagement / Training

Assessors are required to maintain links, contact and involvement with other subject professionals and complete any necessary training / professional development. Managers must ensure this takes place and are to monitor the process using the External Professional Engagement / Training Record Form. These forms are also to be available for inspection by the NZQA Liaison.

6. Monitoring of Consent to Assess Status and NZQA Changes

The Manager is to monitor and check the on-going Consent to Assess status of Standards offered within the Programme Area, in particular new courses and Standards being offered for the first time. The NZQA Liaison is to monitor the on-going additional requirements and changes to NZQF policies and procedures, made by NZQA during the year and planned for the following year. All NZQA Circulars, NZQA Updates, Sec Qual

information and the NZQA Website is to be monitored by the NZQA Liaison and Managers and staff advised of changes as required.

7. Monitoring of External Providers (if applicable)

Any External Providers being used by the PTE are to be monitored by the Manager and the NZQA Liaison. This is to include checking that current formal Memorandum of Understanding (MOUs) agreements are in place with all external providers and NZQA provider numbers have been supplied to the PTE.

8. Monitoring of Assessment Administration

The Manager and NZQA Liaison are to monitor the accuracy and completion of Assessor submission of tauira Standard entries and the reporting of results for recording onto the PTEs central system. The NZQA Liaison is to monitor the recording of tauira entries and results on the PTE system and the reporting of this information to NZQA.

(B) Internal Evaluation

Evaluation involves the collection, analysis and interpretation of data, information and other evidence obtained from the monitoring process, and other sources. Evaluation should focus on outcomes and the key processes that contribute to those outcomes. The evaluation must be based on valid analysis and interpretation of the evidence i.e. qualitative and quantitative data and information. The information must be analysed honestly and transparently. Findings from Evaluation are to be used to carry out an Internal Review of assessment and moderation management. Programmes are required to carry out the Evaluation of:

This Internal Evaluation involves analysing the effectiveness of the assessment process and results of assessment and moderation, in particular evaluation of:

(a) Assessment Material

The quality of the assessment material used in the PTE including the recent trends and patterns revealed by the PTE's external and internal moderation and the validity of assessment material are regarded as key components of quality assessment.

(b) Assessment Process

Assessors evaluate the effectiveness of the assessment process / strategies.

- (c) Participation and Engagement of staff in the quality assurance process. The evaluation uses information from, Quality Assurance Checklist Forms, staff feedback and Programme Staff Meeting Minutes.
- (d) External Moderation Results
The external moderation results for each Course are reviewed and analysed.
- (e) External Professional Engagement / Training
The external professional engagement training and professional development of staff is to be analysed and compared with identified needs target and best practice. The External Professional Engagement Sheet records are to be used for this evaluation.
- (f) Internal Moderation System / Process
The effectiveness, efficiency and engagement of staff in the internal moderation system / process will be evaluated.
- (g) NZQA / SSB Compliance/ Audit Reports
The NZQA / SSB Compliance Audit Reports and EER (if applicable) are to be analysed.

(C) Internal Review (of Assessment and Moderation)

Internal Review of Assessment and Moderation involves using the information and evidence obtained from Evaluation and other sources to make evidence-based judgments, form conclusions and make decisions; then identify opportunities and plan for continuous improvement.

The **Internal Review** process will comprise:

- (1) Review of Assessment Process
- (2) Programme Annual Self Review of Assessment
- (3) Independent Assessment Review
- (4) Annual Review of PTE NZQA Systems / Procedures
- (5) NZQA Liaison Annual Assessment Review
- (6) Cyclic Assessment Reviews

1. Review of Assessment Process

This involves the on-going Review of the effectiveness of the assessment process and assessment practice by Assessors. Feedback from tauira and other Assessors is to be used to review, identify areas for future refinement and improve the assessment process.

This review is to be carried out by Assessors and at Programme Staff Meetings. Changes and improvement to the Assessment process are to be well recorded and documented.

2. Programme Annual Self Review of Assessment

Each Programme Area will carry out a Programme Annual Self Review of Assessment management processes, procedures and implementation. A Programme Assessment Report is then to be given to the NZQA Liaison by each Programme Area. The Programme Annual Self Review of Assessment provides an opportunity for staff to be consulted on matters associated with assessment and moderation within the subject area. A key component of the Programme Annual Self Review of Assessment is the findings from the Internal Evaluation

The Programme Annual Self Review of Assessment and Programme Assessment Report will include consideration of the:

- use of tauira assessment / achievement results (including the Subject Achievement Analysis) to improve tauira achievement, teaching and learning and programme development
- the results achieved and effectiveness of the external providers
- engagement and completion of quality assurance process by Tutors
- the quality of the assessment material used within each Course
- effectiveness and efficiency of the internal moderation system / processes, moderation policies, procedures and practice including the appropriateness of the current Internal Moderation Model
- completion of actions / key tasks by Assessors – including administration requirements such as tauira entries into Assessment Standards
- evaluation of assessment and moderation outcomes and results data and external moderation subject agreement rates

- effectiveness of the Programme's Areas recording, filing and storage of assessment and moderation information and documentation (including availability to staff)
- any trends, patterns or issues with the quality of assessment within the Programme, that have become evident as a result of external moderation
- the accreditation status of Standards offered by the Programme Area
- any areas requiring further investigation, issues that need to be addressed and opportunities for improvement
- external professional engagement by Assessors with the wider professional community
- changes in NZQA systems / processes and requirements
- any current Improvement Action Plans
- identification of staff professional learning requirements / opportunities
- plans for improvement, next steps and any proposed Improvement Action Plans

3. An Independent Assessment Review of one or more Programme Areas is to be carried out each year if required and recommended by the CEO. The aim of the review is to determine the efficiency and effectiveness of the PTE's assessment quality assurance. An Independent Assessment Review Team will comprise a group of Managers, co-ordinated by the NZQA Liaison. It will examine a set number of assessment activities, moderation documentation and taura work from each Programme to check for compliance and consistency. An Independent Assessment Review Report is to be produced. The CEO, Senior Management and NZQA Liaison will consider the report and, if necessary, recommend changes to assessment policies and procedures for the following year, to the CEO / Management.

The Independent Assessment Review Report is to be future focused and concentrate on the next steps in the development and improvement of the PTE's Assessment and Moderation systems, processes and practice.

4. Annual Review of PTE NZQA Systems / Procedures

At the end of each year the NZQA Liaison is to complete a review of all NZQA's recent changes and proposed changes to NZQF requirements, systems and processes.

5. **NZQA Liaison Annual Assessment Review** After receiving the Programme Assessment Reports and analysing the NZQA External Review (if applicable), the NZQA Liaison will complete a NZQA Liaison Assessment Review and provide an Annual Assessment Report to the CEO. The effectiveness of the administration of assessment is to be included as part of the Review. If necessary, the NZQA Liaison will meet with the Manager to discuss the Report. The Manager will report back to tutors on any matters arising for the Annual Review of Assessment and in conjunction with the Advisory Board plan future improvement and development of assessment and moderation management within the PTE. The NZQA Liaison Assessment Report will be future focused and concentrate on next steps.
6. **Cyclic Assessment Reviews** Once every 3 years an Assessment Review Team is to carry out a Review of PTE-wide Assessment Policy and Procedures and the conclusions / recommendations included in the NZQA Liaison Assessment Report.

(D) Planning for Continuous Improvement

1. The PTE will strive for effective, sustainable, continuous improvement of its assessment and moderation management systems, assessment practice and the quality of assessment within the PTE. The outcomes of the assessment and moderation process and taura achievement results are to be used to inform and guide the continuous improvement of assessor understanding of the National Standard, Moderator performance, assessment design, the assessment processes, and the teaching and learning programmes.

The conclusions / results of Programme Annual Self Review of Assessment, the NZQA Liaison Annual Assessment Review, the Independent Assessment Review and the Cyclic Assessment Review (if applicable) are to be used by the NZQA Liaison and Programme Areas to guide and inform future planning, including staff professional learning. Programme Areas are to use the Evaluation and Review process to plan, improve and develop teaching and learning programmes, inform curriculum review and make decisions about policy and resource use; also for professional reflection and to set new Programme objectives and targets.

2. The NZQA Liaison is to use the information gained from the on-going monitoring of NZQA changes to NZQF rules and procedures and assessment and moderation requirements, to annually update the PTE's Assessment and Moderation Handbook. The NZQA Liaison will also make the necessary improvements and modifications to the Assessment and Moderation Handbook resulting from the Annual Assessment Review process.
3. Programme Annual Plans are to include at least two objectives which are directly related to the development and improvement of Assessment and Moderation Management within the Programme Area. The plan must detail – specific actions required, who is responsible, the resources required and an appropriate timeline for implementation for each objective.
4. Improvement Action Plan. Programmes are to use the **Improvement Action Plan (Template 5/T19)** to plan, implement and monitor improvement strategies identified as part of the Internal Review Process.

(E) Internal Reporting

Internal reporting of assessment and moderation management involves the reporting of the analysed evidence, interpretation judgments, conclusions and decisions made as part of the Evaluation and Review process.

Internal Reporting comprises:

1. Programme Annual Assessment Report

Staff are to be consulted as part of the Programme Annual Self Review of Assessment (see (C) Annual Self Review of Assessment for details) and a Report given to the NZQA Liaison by each Programme Area.

2. NZQA Liaison Annual Assessment Report

After receiving each Programme's Annual Assessment Report, (and the Independent Assessment Review Report – if applicable) and meeting with each Manager individually, the NZQA Liaison will provide a written report on Assessment and Moderation to the Manager. The Report is to include information on the follow up of concerns raised in external moderation reports.

The conclusions and recommendations of the 3 yearly cyclic assessment reviews will also be included in the NZQA Liaison Assessment Report. The Report is to be future focused and concentrate on next steps and used to plan for the continuous improvement of assessment and moderation in the PTE.

3. Independent Assessment Review Report

If required and recommended by the Manager, tutors will carry out a review of a sample of assessments (including tauira work and moderation documentation) from one or more courses. The team will check for compliance and consistency. A report will be produced outlining the findings and any recommendations, including possible changes / improvements to assessment and moderation procedures for the following year. The Manager will provide a report for the Advisory Board.

SECTION IV Organisational Information

(i) Resources (Financial, Physical and Human)

See the Management System (MS) Part 1 Governance and Management Handbook (Ref 1/S IV) for information on the allocation of financial, physical and human resources to Teaching and Learning and Assessment within the PTE.

(ii) Roles and Responsibilities

The following personnel will be involved in the management and implementation of Assessment and Moderation within the PTE and will have these responsibilities:

Assessors will be responsible for the assessment of tauira learning and achievement and will have a responsibility to fully engage in the internal moderation process.

The NZQA Liaison will be responsible for supervision, monitoring, implementation, evaluation, review, reporting and planning of assessment and moderation within the PTE. The NZQA Liaison will be nominated and appointed by, and report directly to, the Manager.

See Assessment and Moderation Management Guide Part 2(I) for a detailed list of the NZQA Liaison role and responsibilities.

The Manager is ultimately responsible for all Assessment and Moderation within the PTE, including meeting all NZQA “Consent to Assess” and “On-going Registration” requirements and is responsible to, and will report to, the Board.

(iii) Internal Monitoring

Internal Monitoring is an important component of successful implementation of Assessment and Moderation within the PTE, and will comprise the following:

Internal Monitoring (of Assessment and Moderation Management)

- Monitoring of Assessment and Internal Moderation
- Monitoring of External Moderation
- Monitoring of Taura Academic Progress
- Monitoring of Taura Academic Achievement
- Monitoring of External Professional Engagement / Training
- Monitoring of Consent to Assess Status and NZQA Changes
- Monitoring of External Providers
- Monitoring of Assessment Administration

See Management System Part 1 Governance and Management Handbook for further details on Internal Monitoring.

(iv) Stakeholder Consultation and Engagement

See the Management System (MS) Part 1 Governance and Management Handbook) for information on Stakeholder Consultation and Engagement. Also see the MS Part 7 Self-Assessment Programme Handbook for details of Stakeholder Needs Analysis and Consultation. Also see the Assessment and Moderation Management Guide in this Handbook for details of the consultation and feedback from taura on the Assessment Process, which is used for the Internal Evaluation and Review of Assessment and Moderation.

(v) Evaluation and Review (Self-Assessment)

- (a) See the MS Part 7 Self-Assessment Programme Handbook for detailed information on Evaluation and Review (Self-Assessment) within the organisation. The relevant Key Evaluative Question used as Part of the PTEs Self-Assessment Programme is ‘How effective is the assessment of learner achievement and moderation.

Evaluation involves the collection, analysing and interpretation of data / information obtained from the monitoring process and other sources. Review involves the use of the findings from Evaluation to make evidence-based judgements, form conclusions and identify opportunities for continuous sustainable improvements. The results of the Self-Assessment Evaluation and Review of learning programmes are used to improve learning outcomes and taura achievement.

- (b) See Part 4 of the Assessment and Moderation Management Guide in this Handbook for details of the Internal Evaluation and Internal Review of Assessment and Moderation.

Internal Evaluation of Assessment and Moderation will comprise:

- Evaluation of Assessment and the Moderation Process
 - Assessment Material
 - Assessment Process
 - Participation and Engagement of staff
 - External Moderation Results
 - External Professional Engagement and Training
 - Internal Moderation Systems / Processes
 - NZQA / SSB Compliance / Audit Reports

Internal Review of Assessment and Moderation will comprise:

- Review of Assessment Process
- Programme Area Annual Self Review of Assessment
- Independent Assessment Review
- Annual Review of NZQA Systems / Procedures
- NZQA Liaison Annual Assessment Review
- Cyclic Assessment Reviews

(vi) Planning and Internal Reporting

Decisions and the results of Evaluation and Review are used to guide and inform planning, develop and improve / refine teaching, assessment and learning programmes; and guide resource allocation and staff professional learning and development. Internal Reporting involves conveying the evidence-based judgments, conclusions and decisions and resulting planning to the relevant parties.

- (a) **Planning:** See Part 4 of the Assessment and Moderation Management Guide in this Handbook for details of the planning for the continuous sustainable improvement of Assessment and Moderation within the PTE. Also see the MS Part 1 Governance and Management Handbook for details of overall Strategic and Annual Planning within the PTE.
- (b) **Internal Reporting of Assessment and Moderation:** See Part 4 of the Assessment and Moderation Management Guide in this Handbook for details of the Internal Reporting process.

Internal Reporting of Assessment and Moderation (if applicable) will comprise:

- Programme Area Annual Assessment Report
- NZQA Liaison Annual Assessment Report
- Independent Assessment Review Report (if applicable)

Also see MS Part 1 Governance and Management Handbook for further details.

SECTION V Forms, Templates, Toolkits and Checklists

The following Forms, Templates, Toolkits and Checklists are included in this Section of the Handbook.

Template 5/T1 Assessment Statement

Template 5/T2 Learner Declaration

Template 5/T3 Pre-assessment Moderation Report

Form 5 /T4 Assessment Cover Sheet

Template 5/T5 Post Assessment Moderation Cover Sheet

Template 5/T6 Post Assessment Moderation Report

Template 5/T7 Student Record Sheet

Template 5/T8 Student Assessment Extension Application

Form 5/T9 Student Assessment Appeal Form

Template 5/T10 Breach of the Rules Report

Template 5/T11 Moderation Follow-up Report

Checklist 5/T12 Internal Moderation Checklist

Template 5/T13 Results Submission Sheet

Template 5/T14 Assessor Response to External Moderation

Template 5/T15 External Moderation Memo

Template 5/T16 Assessor Self Review of External Moderation

Template 5/T17 Professional Action Plan / Log

Template 5 /T18 External Professional Engagement and Training Record

Template 5/T19 Improvement Action Plan

Toolkit 5/T20 Consent and Moderation Requirements (CMR) Register

Toolkit 5/T21 Internal Moderation Plan

Form 3/T1 Student Complaint/ Grievance Form

SECTION VI Guide for Moderation of Assessment on the NZQF

The Moderation of the assessment against Standards that contribute credits towards qualifications on the NZQF consists of:

- (1) Internal Moderation**
- (2) External Moderation**

As part of the Accreditation from NZQA and “Consent to Assess” against Standards on the Directory of Assessment Standards (DAS) PTE’s are required to engage in Internal and External Moderation. All accredited organisations are required to internally moderate their assessment material and assessor decisions and comply with the External Moderation of the relevant Standard Setting Body (SSB).

The purpose of moderation is to provide assurance that assessment is fair, valid and at the National Standard, and that assessors are making consistent judgements about learner performance (NZQA, *Tertiary Moderation*, 2011).

(1) Internal Moderation

Internal moderation is the responsibility of individual Private Training Establishments. All PTE’s that have an Accreditation / Consent to Assess Standards on the NZQF must have appropriate and effective Internal Moderation systems in place.

Internal Moderation helps ensure consistency of assessment decisions within an organisation over time and between assessors. It also enables organisations to manage and enhance the quality of their assessment practice.

Purpose of Internal Moderation

The purpose of Internal Moderation is to:

- check and evaluate the assessment material
- check and ensure that the assessment process and assessor judgements are verifiable, fair, accurate, valid, consistent and at the National Standard
- ensure the consistency of assessor judgements and assessment within an organisation and between assessors

- sample and evaluate approaches assessors are taking in the assessment of tauira achievement
- ensure compliance with NZQA / SSB quality assurance requirement
- ensure that 'best practice' in assessment is implemented
- ensure that variances from the National Standard are detected, corrected and the issue successfully managed
- provide 'improvement-focused' feedback to assessors and provide the opportunity for professional discussion on assessment and enhance assessor understanding of the Standard and assessment process
- strengthen assessor judgments and improve assessment practice and improve the quality and effectiveness of NZQF assessment within the organization
- provide reassurance to learners, the organisation and its stakeholders
- guide continuous improvement of assessors and moderator performance and ongoing professional development
- ensure compliance and engagement of assessors with the internal and external quality assurance requirements
- inform the continuous improvement of current practice and future teaching and learning programmes.

Designing an Internal Moderation System / Model

PTE moderation systems and processes must meet the requirement of the relevant NZQA / SSB, match the organisation's particular circumstances and the learning and assessment being carried out. The following factors must be taken into account when designing an Internal Moderation system / process for a specific PTE and / or Course.

- the size, nature, type and context, needs and circumstances of the Provider including the assessment experience and ability of staff
- the learning programme / Course, the type and nature of the learning being assessed and the learning objectives
- the context / situation of the assessment including whether on-site or off-site
- the circumstances, context and needs of learners and other stakeholders
- the nature, complexity, transparency and the specific learning outcomes of the Standards being assessed, the type of assessment and the assessment strategies being used
- the amount of assessment being carried out by the Provider including the number of different Standards
- assessment and moderation requirements of the relevant Standard Setting Body and / or NZQA and the relevant CMR
- the assessment and moderation record of the Provider and assessors including any issues of poor engagement of staff in the moderation, previous non-compliance or poor external moderation results
- the availability of other Providers, Assessors, Verifiers with relevant knowledge, expertise and experience in the relevant standards

Good Practice Internal Moderation - Key Aspects

Internal Moderation should:

- be well planned, systematic, open and transparent and consistent
- be affordable, manageable and practical
- involve a collaborative collective approach by assessors
- focus on providing meaningful and constructive feedback and guidance to assessors and improving assessment practice
- inform continuous sustainable improvement within the PTE
- allow respectful consideration of the professional judgment / interpretation and dignity of individual assessors when providing moderation feedback
- be fully documented, recorded and verified (by assessors, verifiers and moderators), and produce a verifiable audit trail
- make use of assessment Exemplars / Benchmarks to exemplify the standard to tauira and assessors
- provide appropriate professional advice, guidance and support to assessors
- be well supervised and monitored
- have clear procedures in place to monitor the engagement and compliance of assessors with the organisation's moderation requirements
- involve a shared understanding and responsibility, and mutual trust and confidence between all participants involved in the Internal Moderation process
- be well evaluated and reviewed

Internal Moderation Systems

An Internal Moderation system is a coherent, well-planned set of processes designed to ensure confidence in assessment design and assessor judgements. The Internal Moderation strategies / methods adopted by a PTE must meet the requirements of the relevant SSB and match the type of learning and assessment, the learning outcomes of the Standard, the context of the assessment and needs and particular circumstances of the organisation.

An **Internal Moderation System** should monitor, evaluate and review the adequacy and consistency of the assessment and moderation process carried out within the PTE.

Internal Moderation Systems comprise an appropriate combination of three main types of Internal Moderation:

Types of Internal Moderation:

The three main types of Internal Moderation are:

- (i) Pre-assessment Moderation**
- (ii) Assessment Process Moderation**
- (iii) Post-assessment Moderation**

Pre-assessment moderation involves preparation for the assessment and moderation of the assessment material. It occurs before the assessment takes place and it is used to check and ensure that the Assessment Material and the assessment process are fair, valid, appropriate and at the National Standard.

Assessment Process Moderation occurs before and / or during the assessment event.

Post-assessment Moderation occurs after the assessment event and / or before the next assessment cycle.

The following are example Internal Moderation strategies / methods used, customized and adapted by PTE's into their own Internal Moderation system and processes -depending on SSB requirements and their particular circumstances and needs.

(i) Pre-assessment Internal Moderation Strategies

- Tutor Conversations / Professional discussions amongst staff
- Pre-assessment discussion, advice and guidance on Assessment Material / Assessment
- Critique of Assessment Material
- Use of SSB Approved / pre-moderated Assessment Material
- Group Moderation Meeting – Pre-moderation Cluster Group / Peer Meetings
- Pre-assessment Moderation Reports
- External Professional Engagement
- Strengthening Assessor Understanding / Judgements
- Assessor Professional Development / Training

(ii) Assessment Process Internal Moderation Strategies

- Peer tutoring / Mentoring
- Observation of assessor / assessment by peer / Moderator, and follow-up discussion

- Verification of assessor judgements by 'Dual Assessment' by a peer / Moderator
- Monitoring of Assessment Process
- Assessment inter-class consistency
 - Group / Panel / Team assessment (e.g. discussing borderline samples)
 - Common Assessment Tasks, e.g. cross assessment and strip assessment
- Consistent use of moderation documentation / templates / system by Assessors
- Strengthening Assessor Understanding / Judgements and assessment practice
- External Professional Engagement
- Assessment Exemplars / Benchmarks (to clarify Standard)

(iii) Post-assessment Internal Moderation Strategies

- Verification of Assessor Decisions
- Group Moderation Meetings – Post Assessment
- Post Assessment Reports
- Assessor Self Review / Reflection
- Strengthening Assessor Understanding / Judgements
- Evaluation of Assessment and the Assessment Process
- Review of Assessment / Moderation
- Assessor Self Review External Moderation
- Assessor Response to External Moderation
- Internal Monitoring of Assessment and Moderation

The appropriateness and effectiveness of a particular moderation model and the moderation methods / strategies used must be regularly monitored and reviewed by the organisation.

Internal Moderation System / Strategies

Depending on the specific Assessment Standards being assessed, and where necessary or required, feasible and applicable, an appropriate combination and version of the following Internal Moderation strategies should be used by the PTE to moderate Standards that contribute credits towards qualifications on the NZQF.

- Pre-assessment Moderation - Critiquing of Assessment Material (if necessary)
- Post Assessment Moderation - Verification of Assessor Decisions
- Group Moderation Meetings (if necessary and feasible)

- Assessment Interclass Consistency (if applicable)
- Assessment Exemplars / Benchmarks
- Strengthening Assessor Understanding / Judgements
- Additional / Specific SSB Requirements (if required)
- Internal Monitoring of Assessment and Moderation
- Review of Assessment and Moderation

Internal Moderation Good Practice Guidelines

The following are generic Internal Moderation Good Practice Guidelines for the assessment of NZQA managed Standards on the NZQF.

- All Internal Moderation and quality assurance, including the verification of assessor decisions is implemented consistently and according to the documented procedures.
- All “self-developed” and non-SSB Assessment Material (that has not been previously approved or externally moderated by the SSB) is Checked / Critiqued (using an Assessment Material Critique form) well in advance of use and modified as required; by a person other than creator / writer of the material.
- All assessment is sample check-marked for accuracy, consistency, and authenticity and the assessment judgment verified.
- Annotated samples of Exemplars / Benchmarks tauira work are used to clarify and enhance staff understanding of the National Standard and exemplify the standard to tauira.
- External professional engagement with external professional community is used by staff to enhance their understanding of the National Standard and improve assessment practice.
- Staff are provided with appropriate professional development to develop and strengthen their understanding of assessment practice and the National Standard and assessment judgements.
- The compliance and effectiveness of assessment and moderation process is regularly monitored, evaluated and reviewed and the outcomes used to inform planning and contribute towards continuous sustainable improvement of teaching and learning programmes within the PTE.

- Internal Moderation has the key aim of providing “improvement-focused” feedback and guidance to tutor assessors, building a shared understanding of the assessment process and strengthening assessor judgements and assessment practice within the PTE.

(2) External Moderation

National External Moderation is the responsibility of NZQA and the relevant Standard Setting Body (SSB). The aim of External Moderation is to ensure that there is consistent assessment to the required National Standard. It also aims to ensure that the PTE’s quality assurance processes and systems remain effective, provide professional feedback to assessors, enhance assessors understanding of the National Standard and inform continuous improvement of assessment practice.

PTEs must comply with the External Moderation requirements of NZQA and / or the National Standard Setting Body. Every registered Standard is attached to a specific CMR (Consent and Moderation Requirement), previously called an Accreditation and Moderation Action Plan (AMAP), which sets out the National External Moderation Systems for the Standard. It is the responsibility of all PTE’s to ensure that they engage in the National External Moderation system for Standards for which they are assessing and reporting credits.

External Moderation Good Practice Guidelines

The following are Good Practice Guidelines for PTE External Moderation:

- All NZQA / SSB pre-assessment moderation requirements are met including the submission of Assessment Material for moderation or approval (if required)
- Valid samples of tauira work (as set out in the SSB Moderation Plan) are submitted to the NZQA / SSB (if required). All NZQA/ SSB External Moderation requirements are met
- Timely, valid and clear External Moderation feedback is to be provided to assessors
- Assessors are to be given the opportunity to discuss the External Moderation feedback and respond to any issues identified in the External Moderation Report
- External moderation issues / concerns are appropriately investigated and addressed and the process well documented using the correct template forms
- All necessary information and assistance is provided with any ‘on site’ Moderation visits requested by the relevant NZQA / SSB

- Respectful consideration is to be given to the professional judgment and interpretation of individual assessors. External moderation issues are to be managed in 'good faith' using 'fair process'
- Assessors are to be provided with the necessary support, guidance and professional development needed to address any External Moderation issues and the process well documented
- Assessors are encouraged to use the External Moderation process and feedback, including clarification of Moderators comments and appeals procedures to improve their assessment practice, assessment judgements and enhance their understanding of the National Standard

Coverage and Intensity of External Moderation by SSB / NZQA

(Adapted from NZQA material)

The coverage, intensity and level of external moderation (including the selection of Standards) required by the NZQA / SSB, which forms the moderation plan, will depend on a combination of:

- the amount of assessment being carried out
- the number of Assessment Standards used
- the moderation history of the organisation, including past issues of non-compliance
- the use of newly registered or high-risk Standards
- any first-time use of Standards
- any new teaching staff or assessors
- any newly accredited providers

National External Moderation Requirements (for NZQA managed Standards)

To meet NZQA / SSB National External Moderation requirements (for NZQA Managed Standards) PTE's are required to:

- nominate a Moderation Liaison or CEO Nominee to co-ordinate the PTE's dealing with NZQA / SSB
- provide an Assessment Plan for the year
- meet Moderation Plan and Moderation submission deadlines

- provide assessment materials and make assessor judgements that are fair, valid and consistent
- implement appropriate follow up action in response to external moderation feedback

External Moderation Strategies

The following are examples of tertiary External Moderation strategies used by NZQA and SSBs to externally moderate PTE assessment on the NZQF:

- Pre-assessment Assessor Meetings with Assessors / Moderators
- SSB developed Assessment Material available for use by Providers
- Pre-assessment Moderation / Approval of Assessment Material and submission of Assessment Material to the relevant SSB prior to use
- Post-assessment Moderation of Assessment Material simultaneously with Verification of taura work; and a full Moderation Report
- Submission of samples of assessed taura work for 'verification of assessor judgments' by individual Moderators or a panel of Moderators and a Moderation Report / Feedback
- External Moderation feedback and support by SSB
- On-site Moderation visits by SSB Moderator to observe and discuss assessment; and evaluate assessment practice and assessment decisions and / or observe and moderate practical assessments; and provide a 'Visit Report'
- Provider Annual Moderation Reports sent to SSB, outlining engagement and compliance with the moderation process

SECTION VII File Documents

The following documents are stored on file at the Ringa Atawhai Administration office.

- *NZQA – National External Moderation Manual for TEO's*
- *NZQA / SSB – Documentation including relevant Consent and Moderation Requirements*
- *NZQA – Best Practice Principles for the Assessment of Unit Standards*
- *NZQA – Consent to Assess Against Standards on the DAS Rules (2011)*
- *NZQA – Learning and Assessment Guide to Assessment for the NQF*

SECTION VIII Appendix

- *Appendix 1 – Assessment and Moderation Abbreviations*

The following documents will be stored at the Ringa Atawhai administration office, Whanagrei:

- *PTE's current Improvement Action Plans*
- *PTE's External Professional Engagement and Training Records*
- *PTE's Consent and Moderation Requirements (CMR) Register*
- *PTE' Annual Self-Assessment documentation*
- *PTE's Annual Assessment Reports*

APPENDIX 1

Abbreviations

The following abbreviations are used in this material:

A	Achieved Grade
ITO	Industry Training Organisation
LSP	Learner Self Provisioning on NZQA website
MOE	Ministry of Education
MOU	Memorandum of Understanding
NA	Not Achieved
NCEA	National Certificate of Educational Achievement
NZQA	New Zealand Qualification Authority
NZQF	New Zealand Qualification Framework
PC	Performance Criteria
QAAM	Quality Assured Assessment Material
SSB	Standard Setting Body
TKI	Te Kete Ipurangi (NZ Ministry of Education website)
V	Version