Moderation Procedures

27 November 2019

Document Control

Document Control applies to this material.

This procedure, its contents and specified processes are not to be altered.
Official updates will be provided by Careerforce.

Recommendations for change to contents should notify:

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Introduction

Moderation is a quality assurance process designed to achieve fair, equitable, consistent, and compliant assessment decisions across all assessors, in all situations. Moderation is managed by the Careerforce National Moderators.

Moderation also enables Careerforce to:
• Identify where there is a need to improve assessment practices
• Interpret standards and provide guidance to assessors
• Identify issues with standards to inform reviews and updates for continuous improvement
• Provide feedback on the quality of unit standards
• Ensure assessment tools comply with standards

The rules for assessment and moderation of Careerforce unit standards are defined in Consent and Moderation Requirements (CMR 0024).

Purpose of Moderation

Moderation is a quality assurance process designed to achieve fair, equitable, consistent, and compliant assessment decisions across all assessors, in all situations. Moderation is managed by the Careerforce Moderation Team.

Moderation enables Careerforce to:
• Identify where there is a need to improve assessment practices
• Interpret standards and provide guidance to assessors
• Identify issues with standards to inform reviews and updates for continuous improvement
• Provide feedback on the quality of unit standards
• Ensure assessment tools comply with standards

Moderation is a process that ensures consistency between learning outcomes and assessment methods, and consistency in the application of assessment processes and assessor decisions.

Good practice moderation has two components: quality control and quality assurance. These align with good practice principles in the following manner:

• Quality control
• Systematic processes
• Quality assurance
• Effective partnership
• Continuous improvement

Moderation follows guidelines for systematic process.

The rules for assessment and moderation of Careerforce unit standards are defined in Consent and Moderation Requirements (CMR 0024).

Monitoring of the moderation system

The moderation system is subject to annual review as described in Appendix B

Moderation Processes

Code of ethics for moderation

Education providers, Careerforce registered workplace assessors and moderators should aim at all times to act in good faith to all parties involved in the moderation process. Participation in moderation processes should be carried out in a constructive, supportive and efficient manner.

Where a conflict of interest exists – or is likely to arise – that may compromise the moderation process, that actual/ possible conflict of interest should be declared to the Moderation Team. The Moderation Team is responsible for negotiating a solution that will best preserve the integrity of the moderation process.

Education providers, Careerforce registered workplace assessors and moderators must respect all intellectual property rights, confidentiality, and non-public information received in the course of their involvement in moderation.

When does moderation occur?

Moderation takes place before and after assessment is conducted;

Pre-assessment moderation
Assessment materials are moderated prior to use with trainees

Post-assessment moderation
The assessor's decisions about trainee evidence are moderated to ensure fairness, equity, consistency and compliance with standards and is applied to all assessor decisions whether these are made by registered workplace assessors (internal) or TEO and school assessors (external).

Moderation Elements

Who gets moderated?
External Moderation maintains the consistency of assessment of Careerforce unit standards between Tertiary Education Organisations, Government Training Organisations, PTEs, ITOs and schools. Careerforce Moderation Team applies our moderation principles to assessments completed and registered with NZQA by accredited organisations during the moderation year (Jan-Dec) and aligned with the Careerforce 5-year Moderation Plan.

Internal Moderation maintains the consistency of assessment among Careerforce registered assessors and contracted assessors. It also enables Careerforce to maintain consistency between internal assessments and assessments conducted by external organisations.

Types of Moderation

Peer Moderation Workshops

Peer moderation workshops are held to conduct internal post-assessment moderation with Careerforce registered assessors. Careerforce requires new assessors to attend a peer moderation workshop within their first year of registration as an assessor and to complete moderation annually after that. The annual schedule of workshops is on the Careerforce website offering workshops at a range of locations. There are two rounds of workshops each year, March to June and July to October to give assessors sufficient opportunity to attend. Assessors gain benefit from direct contact with the Moderation Team and other assessors.

Cluster Moderation Workshops

Cluster Moderation Workshops are held to conduct moderation of external training providers who have consent to assess against Careerforce unit standards. These workshops are clustered by qualification subject area to enable peer moderation and networking among subject experts.

Visits

The Moderation Team may visit a training provider or workplace and conduct face-to-face moderation with staff and assessors. Organisations appreciate the chance to work with the Moderation Team, engaging in discussion and getting immediate feedback about their performance.

Specialist Moderation Workshops

A group of moderators and SMEs may be brought together to conduct moderation of specialist or complex subjects, particularly at Level 5 and above. This allows experienced people to peer moderate a number of assessments, both pre and post-assessment, to ensure consistency.

Postal

Assessment samples may be posted or scanned and emailed to the Moderation Team at any time. This gives assessors the opportunity to get feedback and to provide samples throughout the year. Assessments must be scanned as a single document file and not as multiple documents containing one page each. Photo copies and scanned copies must be legible and clear or they will be returned without being moderated.

On-job (validation) moderation

There are times when moderation may be conducted at the assessor's work site where a complex or practical assessment necessitates observation of the assessor by the moderator. This is particularly useful when moderating group assessments.

Online moderation

The Moderation Team can conduct moderation of on-line assessments on the Careerforce Aka Toi platform. This is not possible on a provider systems.

What moderation samples are required and when?

When do I have to complete moderation?

Assessors can submit assessments for moderation any time from January to October. All internal moderation samples must be with the Moderation Team by **31 October** each year to avoid delays in processing.

Internal workplace assessors must complete moderation prior to their annual re-registration date to maintain their assessor status. Assessments must be with the Moderation Team at least two months ahead of re-registration to enable processing and to avoid de-registration.

Education providers should consult the Moderation Team about requirements in relation to their programmes. Attendance at cluster moderation meetings is a requirement in CMR 024.

Targeted Sampling

Careerforce may request specific samples at any time from internal assessors or education providers as part of its risk-based moderation programme. Requests are related to risk and include monitoring of products and unit standards, as well as supporting assessor performance.

This may be for a number of reasons, including but not limited to:
- Support for new assessors
- New scope extensions
- NZQA or other ITO units
- New or modified units
- New or modified qualifications
- New or modified assessments
- Management of perceived risks
- High volume results
- Multiple site delivery
- Issues identified by users about unit standards

Samples must be sent to the Moderation Team within 10 working days of receiving a request.

What is in a post-assessment moderation package?

To minimise delays in processing, the following should be included in a moderation package:
- A moderation cover sheet
- Trainee assessments, assessment results pages showing trainee & assessor details, and the result
- All verification and observation forms
- All other relevant evidence, including videos, photos or voice recorded evidence
- Copies of the assessor guide for each unit or integrated assessment; this is particularly important if assessments are not Careerforce products
- If you are submitting an integrated assessment, please send the whole assessment – **do not** separate out individual unit standards

Auto-marked assessments

Where an assessment includes auto-marked on-line questions, the assessment results page must include a note from the assessor stating that the theory part of the assessment has been auto-marked on-line and that the assessor has confirmed that the trainee has met all requirements. There is no need to print or attach auto-marked questions/answers where the on-line assessment has been pre-moderated by the Moderation Team.

On-line Assessments

The trainee answers and assessor marking/comments must be printed out and sent in as part of the moderation package or copied and pasted into a word document for emailing with other scanned materials/evidence for on-line assessments on an employer's or training provider's platform.

Assessments in Aka Toi can be moderated directly within the Careerforce platform and do not require printing unless they are being brought to peer moderation.

Requirements for Internal and workplace assessors

Assessors must supply a minimum of **3 samples** of different assessments every year for post-assessment moderation. These should be recently completed assessments but not older than 6 months since completion. These must always be from within the current calendar year.

Where assessors have scope for different qualifications, samples should be from across the range of qualifications assessed in the same year, e.g. HW level 3 and 4 scope require samples from both levels if assessed during the same year.

An integrated assessment counts as one sample regardless of the number of unit standards contained within the assessment. Individual unit standards should **not** be separated out from integrated assessments. The whole integrated assessment must be submitted.

Assessors should try to send assessments containing unit standards listed for the current year from the 5-year Moderation Plan:

Where assessors have not assessed any unit standards listed in the current year of the 5-year Plan, assessors should submit samples from the units that they have assessed.

Assessors should send assessments showing a range of trainee performances, especially ones where the assessor has had to seek more evidence or has asked for re-submission of evidence. This allows the moderator to help the assessor with confirmation of their decision and guidance or advice where required.

Requirements for New Assessors

New assessors must send their first 3 assessments to the Learning Engagement Advisors (LEAs) for moderation following attendance at their Initial Assessor Training (IAT) course. The LEAs will evaluate the assessments and provide advice and guidance to the assessor as part of the learning and development phase.

Results may be entered into i-portal but will be held by the system until successful moderation is completed.

Requirements for Extensions to Assessor Scope

When an assessor is approved for a scope extension, the first 3 assessments must be submitted to the National Moderation Team for moderation.

Results may be entered into i-portal but will be held by the system until successful moderation is completed.

Requirements for Education Providers

Post-Assessment Moderation
Education Providers must supply:

- A minimum of **3 samples** of assessments for **3 different unit standards** every year for post-assessment moderation from **each delivery site** in N.Z. where different people assess at each site.

- Samples must include assessments from each programme containing Careerforce unit standards delivered by the provider in the year being moderated.

- A minimum of **3 samples** of assessments for **3 different unit standards** every year for post-assessment moderation from each overseas delivery site. Samples must include assessments from each programme containing Careerforce units standards delivered overseas by the provider in the year being moderated.

Education providers should discuss their specific requirements regarding multi-site delivery with the Moderation Team to negotiate individual agreements to cater for variables.

An integrated assessment counts as one sample regardless of the number of unit standards contained within the assessment. Individual unit standards should **not** be separated out from integrated assessments. The whole integrated assessment must be submitted.

Where assessed, samples should include units listed for the year from the 5-year Moderation Plan:

Pre-assessment moderation of Careerforce assessments
All materials developed by Careerforce for assessment of unit standards must be submitted for pre-assessment moderation before use. Pre-assessment moderation will also include matching matrices of employer processes and systems.

All subsequent changes or updates to approved assessments must be submitted to the Moderation Team for new pre-assessment moderation and approval.

Targeted sampling of new assessments for post-moderation and feedback to the Product Team will be done as results are recorded into the database.

Pre-Assessment Moderation of Training Provider and employer assessments
All materials developed by an Education Provider or a Careerforce employer for assessment of unit standards must be submitted for pre-assessment moderation at least 20 days **before use**. The first three assessments completed using new assessment tools must also be submitted for post-assessment moderation.

Providers and employers have 20 working days after pre-assessment moderation to make any necessary changes and re-submit for re-moderation. Only once final pre-assessment moderation is complete are assessments able to be used.

All subsequent changes or updates to approved assessments must be submitted to Careerforce for new pre-assessment moderation and approval.

What is in a pre-assessment moderation package?

To minimise delays in processing, the following should be included in a pre-assessment moderation package:

- The assessment tasks/tools
- Assessor schedules and/or marking guides (assessor guides)
- Assessment results pages for trainee & assessor details
- All verification and observation forms
- Evidence matrix
- If you are submitting an integrated assessment, please send the whole assessment – **do not** separate out individual unit standards
- Any other evidence requirements

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Auto-marked assessments

Where an assessment includes auto-marked on-line questions, the questions and answers must be supplied as part of the package for pre-assessment moderation.

On-line Assessments

Where an assessment includes on-line questions, the questions and model answers must be supplied as part of the package for pre-assessment moderation.

How long to I need to retain assessments?

Assessments from programmes of 12 or less months duration must be retained for one year from the date of completion. This is to ensure that further assessment samples are available if issues are identified during annual moderation.

Assessments from programmes greater than 12 months must be retained for 2 years from the date of completion.

The annual internal moderation cycle is based on the calendar year between 1 January and 31 October each year.

Intellectual property and confidentiality

As part of the moderation process, assessment documentation is viewed that includes education provider and workplace developed assessment material and students'/trainees' evidence. It is important to emphasise that this material is the individual education provider's or workplace's intellectual property and is confidential to that provider and to members of the moderation group. It is to be used for moderation purposes only. Other non-public information could be sighted during moderation and this information must be kept confidential.

All items should be returned to the education provider, Careerforce registered workplace assessor or moderator before leaving the moderation meeting (or at the conclusion of any other moderation process). A copy of all materials must be kept on file with Careerforce for new / amended materials submitted for pre-assessment moderation. Before presenting assessment evidence, the names of students/trainees, consumers, whānau, employers, agencies and any identifying information should be removed.

Anyone wishing to adopt ideas from another Careerforce registered workplace assessor or provider should negotiate an arrangement with the assessor or provider. If permission is granted, this will normally be on the basis that the source is acknowledged in any use of the materials by the recipient.

Education providers and Careerforce registered workplace assessors must tell their students or trainees that samples of their work may be used for moderation purposes.

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Non-Compliance

Non-compliance includes not meeting national moderation requirements, or failure to comply with Careerforce directions, policies and procedures. Where ongoing non-compliance is identified, the Moderation Team will contact non-compliant Education Providers, Careerforce registered workplace assessors, or employers outlining concerns relating to the results of moderation and indicating actions required to rectify deficiencies.

Education providers who are non-compliant must respond within 10 work days to these concerns with a written action plan within the time specified. This plan should include:
- Specific detailed actions that the organisation will take to develop, implement and/or review materials, or address assessor performance.
- A timeline for each action.
- Reference to wider actions than the modification of individual unit standard assessments, such as a programme review.
- Considerations shown for internal moderation processes, professional development of staff, and the moderation liaison person's role.

If the response or further moderation fails to address the identified issues, the Moderation Team will contact the Chief Executive of the Education Provider advising of the non-compliance in relation to accreditation requirements and requesting action within 10 working days.

If non-compliance continues, Careerforce will report the Provider as a "risk" to NZQA. The Moderation Team will notify the Education Provider of this action.

Careerforce registered workplace assessors who are non-compliant may be required to submit additional assessment judgements. Careerforce registered workplace assessors will also receive support from designated Careerforce personnel on conducting assessment activities and on meeting moderation requirements where their practices fall outside specified standards.

If the situation of ongoing non-compliance cannot be addressed and resolved satisfactorily, following discussion between the assessor and Careerforce the assessor will be de-registered. Careerforce will notify the assessor and employer of this decision by letter.

Careerforce registered workplace employers who are non-compliant must respond within 10 work days to these concerns with a written action plan within the time specified. This plan should include:
- Specific detailed actions that the organisation will take to develop, implement and/or review materials, or address assessor performance.
- A timeline for each action.
- Reference to wider actions than the modification of individual unit standard assessments, such as a review of their programme materials and assessments.
- Considerations shown for internal quality assurance processes, professional development of staff, and the Learning and Development role.

If the response or further moderation fails to address the identified issues, the Moderation Team will contact the Manager advising of the non-compliance in relation to accreditation requirements and requesting action within 10 working days.

If non-compliance continues, Careerforce will put a hold on results being reported by that employer and their assessors until the issue is resolved.

Individual Employers do not have status as registered training providers and may not conduct assessment against unit standards without a Consent to Assess and registration by NZQA. They can only assess unit standard assessments if they have a registered Careerforce assessor and results can only be reported to NZQA by Careerforce. Failure to comply with Careerforce requirements could negate their continued ability to engage in subsidised ITO programmes and will result in formal action.

Feedback

How do assessors get feedback on their assessments?
Once moderation is completed, the assessor will receive an emailed copy of their moderation reports with comments or requests from the moderator. Assessment samples will be returned by post if requested or will be shredded in a secure process.

For pre-assessment moderation, moderation reports will be emailed to the provider and all materials returned by post or email. With complex or full qualification moderations, the Moderation Team may meet with the providers to discuss the reports and any issues identified. Training Providers also receive minutes from cluster group meetings. The Moderation Team will work with assessors and Training Providers to achieve a satisfactory result.

How do assessors give feedback?
Feedback about Careerforce products can be made through the website.

Feedback about moderation can be made through our regular surveys or by email to:
moderation@careerforce.org.nz

Focus areas for moderation

The following will receive specific attention in moderation:

Open Book Conditions
Plagiarism and copying will be monitored through moderation. As described by NZQA:

It may be appropriate in some assessments for learners to have access to reference material such as:

- texts
- manuals
- learning resources or their workbooks.

In these cases the reference material **should not contain the exact answers** to the assessment questions. It can include information that can assist learners to respond.

Learners should **not be allowed to copy the answers directly** from their workbooks, course notes or reference texts, or a presentation. The exception is when the skills being assessed are the learners' ability to locate and/or transcribe specific information.

Group work
As described by NZQA

Group work must be appropriate for the outcome being assessed.

For example, it would be inappropriate to assess a report writing standard by group work. However, it may be appropriate for the group to share the research/investigation work that underpins a written report.

Group work conditions and instructions must be clear. Learners need to know what is expected and how their contribution will be assessed.

Designing assessments for group work

When designing group assessments your TEO should consider that:

- the 'who did what' must be clear to the assessor (and the moderator)
- the assessor must make the overall decision
- there should be a process to allow individuals to complete the assessment if the group falls apart
- assessment activities could be broken into two parts – with individual and group work components
- a post-assessment interview would help ensure that learners are (individually) competent
- **it may be simpler to confine group work to classroom/training activities, not formal assessment activities.**

Disputes and Appeals – Assessment Decisions

Trainees may dispute an assessment decision on the following grounds:

The trainee believes that:
- the assessor was biased;
- they were not given sufficient time to prepare for assessment;
- the assessor compromised the standard being assessed;
- the assessor did not consider all valid evidence; or
- confidentiality of assessment results was breached (beyond those agreed to on the training agreement).

Disputes

If the trainee is dissatisfied about the evaluation of their skill level and wishes to dispute the assessment decision, they are to discuss the matter with the assessor in the first instance. Details of the discussion should be recorded. The intention is to resolve a dispute at the lowest possible level (Appendix C).

Four options are then available:
- Further training and/or practice for the trainee;
- Re-assessment of all or part of the activity;
- Modification of the assessment decision; or
- Resolve the dispute through the appeal process.

If the assessor and trainee are unable to satisfactorily resolve the dispute, the assessor is to record a summary of the discussion and the outcome. Both assessor and trainee must sign this.

The assessor will then provide the trainee with an Appeal of Assessment Result Form and will explain the appeal process to the trainee using the flow chart in Appendix C. The assessor will advise the Moderation Team that an appeal may be lodged and will forward all documents relating to the assessment, including the Appeal of Assessment Results Form to the Moderation Team if/when the form is received back from the trainee.

A request for appeal must be lodged within 10 working days of the outcome of the disputes process.

Appeals

On receiving notification of an appealed assessment result, a Moderation Team will check to ensure that all relevant documents are attached and will convene an Appeals Panel of three people, including a Moderation Team as chairperson, an independent moderator and an experienced assessor with scope to assess the subject under appeal. The appeals flowchart in Appendix C details the process.

The Appeals Panel will examine the assessment process and the assessment result to ensure correct procedures were followed and that the assessment judgements were accurate.

The Appeals Panel will aim to resolve the appeal by deciding to either:

- Uphold the assessor's judgements;
- Request that the assessor reconsider /modify their decision (explaining and justifying reasons for such a request); or

- Request re-assessment by another assessor.

The outcome of the appeal is to be notified in writing to the trainee and the assessor by the Moderation Team within 20 working days of receiving the request for appeal.

As the result of an appeal, the Moderation Team will prepare a summary report to Careerforce management for their information.

Disputes and Appeals – Moderation Outcomes

Careerforce has a process available for disputing and appealing moderation decisions. The flowchart in Appendix D details the processes.

Disputes
A Careerforce registered assessor or an education provider with consent to assess may lodge a dispute against a moderation decision or process. This must be done within 10 working days of the moderation decision.

The intention is to resolve an issue in good faith at the lowest possible level. The first step is to seek an informal negotiated solution with the moderator either verbally or in writing.

If the assessor and moderator are unable to satisfactorily resolve the dispute, the moderator is to record a summary of the discussion and the outcome. Both moderator and assessor must sign this.

A request can be made in writing by either party to the Manager Moderation & Assessment Practice for a formal review within 10 working days. An independent review of the moderation will be undertaken using a panel of two independent moderators. An experienced assessor with subject expertise may be requested to assist when necessary. Manager Moderation & Assessment Practice will advise the outcome of the review with the parties within 20 working days of receipt of the request.

Appeals
Where a dispute cannot be resolved, the matter can be referred to the Manager Moderation & Assessment Practice Moderation Team. The appeal process in Appendix D applies.

A written appeal may be lodged within 10 working days of the outcome of the formal review process with the Manager Moderation & Assessment Practice . This appeal must include a cover letter detailing the reason for the appeal, the specific issues not resolved through the dispute process, and all relevant documentation.

The appeal will be investigated by Careerforce Management as soon as practicable and a decision reached and all parties notified within 20 working days of receipt of the appeal.

The Careerforce General Manager – Learning Solutions will make the final determination and decision for all parties.

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Definitions

Select the Link to definitions from the Careerforce Toi Kupu site

Accreditation   A quality management process administered by the New Zealand Qualifications Authority (NZQA). All organisations seeking to offer unit standards or qualifications registered on the National Qualifications Framework (NQF) must be accredited to do so.

CMR   Consent and Moderation Requirements: a plan devised by Careerforce and registered with NZQA, which outlines the criteria the Careerforce is using for accreditation of providers that seek to deliver and assess against unit standards for which Careerforce is the standard setting body (SSB). The CMR also includes information on how Careerforce will implement quality controlled, external moderation processes to ensure that local, regional and/or national consistency is achieved across unit standards. Every unit standard registered on the National Qualifications Framework (NQF) cites the number of the CMR that applies to that unit standard. (CMR 0024).

Authenticity   Describes assessment evidence that is produced by a student/trainee without assistance from others.

Consistent   Assessment is consistent where, given similar circumstances the Careerforce registered workplace assessor would make the same judgement again, and the judgement will be similar to judgements that other Careerforce registered workplace assessors would make.

Education provider   Inclusive name for a school, Private Training Establishment (PTE), Government Training Establishment (GTE), Institute of Technology and Polytechnic (ITP), College of Education or wānanga.

Evidence   Information or objects that demonstrate a student/trainee's performance.

Integrated assessment   An approach to assessment that collects evidence of skills, knowledge and attitude simultaneously, utilising whole activities that test a range of outcomes and performance criteria across a group of unit standards.

Judgement statements   Judgement statements in an assessment schedule further define the meaning of an element/performance criterion in terms of quality or quantity.

Moderator's Interpretation   A directive given to give assessors consistent guidance about how to assess if issues in a unit standard prevent understanding, prevent the ability to assess, or have become out of alignment with industry practices. This is a temporary measure until the unit standard can be formally reviewed.

Non-Careerforce unit standards   Unit standards for which Careerforce is not the Standard Setting Body (SSB). The SSB for non-Careerforce unit standards will be NZQA or another ITO.

Records	Any of: minutes, annotated changes, file notes, written communication and correspondence (paper and electronic), documented feedback and evaluative data.
Reliable	How well the assessment method will result in consistent, dependable outcomes. Also refers to the ability of the Careerforce registered workplace assessor to judge accurately between competent and not yet competent students/trainees.
Standard setting body (SSB)	A collective term that covers ITOs and advisory groups that are recognised by NZQA as nationally representative of specialists in a particular field, for the purposes of establishing standards for national qualifications.
Sufficiency of evidence	Evidence that establishes with confidence that all assessment criteria have been met, and that the student's/trainee's performance to the required standard could be repeated with consistency.
Systematic	Planning and recording of process this is ordered, well-documented and rigorous, and promotes sufficiency and fairness of assessment.
TEOs	Tertiary Education Organisations including universities, Institutes of Technology and Polytechnics (ITPs), colleges of education, wānanga, private tertiary education providers, ITOs, government training organisations, and other providers. N.B. Schools are education providers, but not TEOs.
Valid assessment	Assessment that achieves fitness for purpose by requiring evidence that is directly related to the specified requirements of unit standards.
Workplace assessment	Assessments carried out mainly in the context of the trainee's everyday activities (job requirements) carried out in the workplace. Workplace assessment relies on evidence produced in actual work situations.

Appendix A. Principles of Good Practice Moderation

Principle 1: Systematic Processes   Good practice moderation occurs within a systematic process that determines whether assessments meet the requirements of the competencies being assessed.

Principle 2: Effective Partnership   Good practice moderation occurs when it is based on effective partnership among assessors and between assessors and moderators in a collegial process.

Principle 3: Continuous Improvement   Good practice moderation occurs when there is an ongoing quality improvement process that underpins relationships among assessors, and between assessors and moderators, and encourages educative processes.

Integral to all principles of good practice moderation are the relevant skills and experience of all participants within the moderation system. On-going professional development is therefore both an outcome and an essential component of good practice moderation.

These Good Practice principles for moderation apply equally to pre-assessment, post-assessment, internal, and external moderation.

Underpinning Concepts

Principle 1 - Systematic Process

- All the participants in the moderation system have a shared understanding of the system and its purpose.

- The process of moderation involves dynamic interaction among assessors, and between assessors and moderators, regarding interpretation and assessment of specific competency standards. Assessment Marking Guides and Assessment Matrices are integral to this interaction.

- A moderation system identifies a sufficiently representative sample of the assessment activity to ensure the standard has been achieved.

- Moderation evaluates the assessment against the stated standard. Formal moderation events are one aspect of the ongoing moderation process.

- Moderation outcomes are reported in a constructive and informative manner with feedback being given to the assessor.

- A moderation system has a mechanism for appealing moderation decisions.

- Careerforce has a responsibility to ensure that its moderation systems are workable, realistic and practical for assessors and moderators.

Principle 2 – Effective Partnership

- An effective partnership is based on clear definition of the roles, responsibilities and obligations of all parties, both for internal and for external moderation.

- An effective partnership is the foundation for mutual trust and respect between assessors, and between assessors and moderators. Mutual trust and respect is crucial and improves the quality of outcome for all parties.

- The intellectual property rights of all parties are respected and secured.

- Normally it is the assessor who makes the final assessment decision using his or her professional judgment.

- A good moderation system has a mechanism for resolving disagreements between moderators and assessors.

Principle 3 – Continuous Improvement

- The Careerforce moderation system is evolving in step with the ongoing development of competency standards, and with the development of training and assessment processes. The Careerforce system is flexible enough to adopt complementary practices and procedures where appropriate.

- Communication among assessors, and between assessors and moderators, is encouraged as it provides opportunity for skill enhancement.

- On-going professional development is an essential component of good practice moderation.

- Constructive feedback into the assessment process ensures that all assessors are included and professionally supported.

- Careerforce encourages open, ongoing communication among all participants and regards this as the hallmark of a well-designed and functioning moderation system that fosters innovation in assessment practice.

Appendix B. Guidelines for Systematic Process

The following is a guide for processes that Careerforce will apply.

1. Selection

Assessments selected for post-assessment moderation must provide a sufficiently representative sample of the assessment activity and should be guided by the 5-year moderation plan..

- Select a suitable method for effective moderation (e.g. postal, visit etc.). Moderation of assessments may be achieved by post by sending samples to the Moderation Team at Careerforce or by email to moderation@careerforce.org.nz. Peer moderation workshops and provider cluster moderation meetings will also be offered as options for completing post-assessment moderation.

- Moderation is normally carried out on a selected sample of assessments based on elements of risk. Moderation of all assessments is neither practicable nor necessary. Methodical, representative sampling enables effective use of the resources available for moderation while enabling conclusions to be drawn regarding all assessment practices.

- When using sampling, consider aligning the selection to take account of, and be consistent with, assessment cycles. The focus of moderation activities, (and therefore of the selection criteria), might change from year to year or it might change as a result of a review of the moderation system.

- The selection includes the following:
    - size of the sample;

    - selection criteria; and

    - method of moderation.

The size of the sample and selection criteria should ensure that the selected sample is sufficiently representative of <u>all</u> assessments undertaken in the moderation cycle.

The selection of standards may include random selection techniques and other criteria such as: high risk or high use areas, higher level standards, standards not previously assessed, known problem areas, poor previous moderation results, new standards or standards included in new qualifications, and should aim to sample all assessors work.

2. Evaluation

- Moderation must evaluate the assessment, including the assessment design and assessor judgment, against the stated competency standard.

- Moderation evaluates the assessment design and the assessor's decisions against the requirements of the competency standard. Measurement can determine whether the requirements specified in the standard have been fairly and validly assessed.

- Planning for any moderation activity should take cognisance of how and when the assessment occurs.

- For pre-assessment moderation, the intended outcome is the validation (or not), of the assessment design. Evaluation includes consideration of whether the assessment design:
    - provides learners with a fair and valid opportunity to demonstrate that they meet the learning outcomes;
    - clearly indicates the evidence the learner is expected to provide; and
    - clearly indicates the basis on which assessment decisions are to be made.

- For post-assessment moderation, the intended outcome is the assurance (or not), of the validity of assessor decisions. Evaluation should include consideration of whether the assessor decisions:
    - considered all learning outcomes when assessing learner evidence;
    - accurately reflected whether or not the learner's performance met the requirements of the competency; and
    - are repeated with consistency.

- The assessment process is consistent with the Careerforce philosophy of REAL and optimized opportunity to include naturally occurring evidence from the workplace.

3. Reporting

Moderators must provide constructive and informative reports on moderation outcomes.
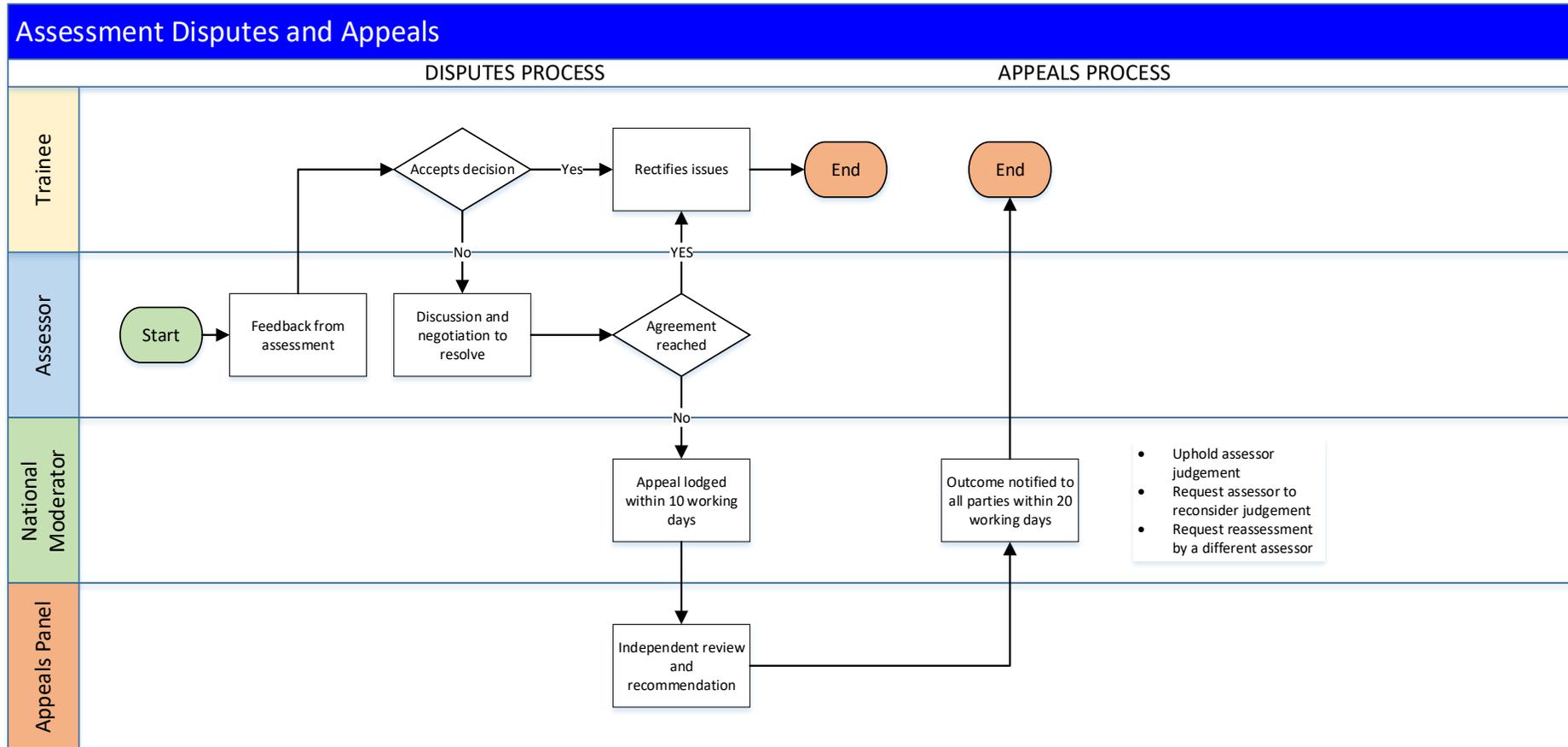
- The outcome of the moderation measurement must be recorded and reported to all participants in the moderation process.

- Where the outcome of moderation is validation of the assessments, the report provides reassurance that assessments were fair and valid, and that the assessor decisions meet the required standard. This confirms good assessment practice.

- Whether or not moderation validates the assessments, feedback from the moderation process should professionally support assessors and provide constructive feedback into the assessment process. Feedback should therefore be:
    - *timely*   to enable any modifications or improvements to be made before the next assessment cycle;
    - *accurate*   correct in all details;
    - *fair*   only that being evaluated should be included;
    - *detailed*   information clearly articulates the outcome of the moderation. If applicable, this should include an explanation of why the assessment design and/or the assessor decisions do not meet the requirements of the assessed standard;
    - *constructive*   feedback affirms good practice and/or guides improvements to future assessment materials and/or assessment processes;
    - *transparent*   all parties involved have equal access to the same information.

- Issues relating to the quality of the competency (e.g. the need for review) are reported to Careerforce separately using the on-line notification tool.
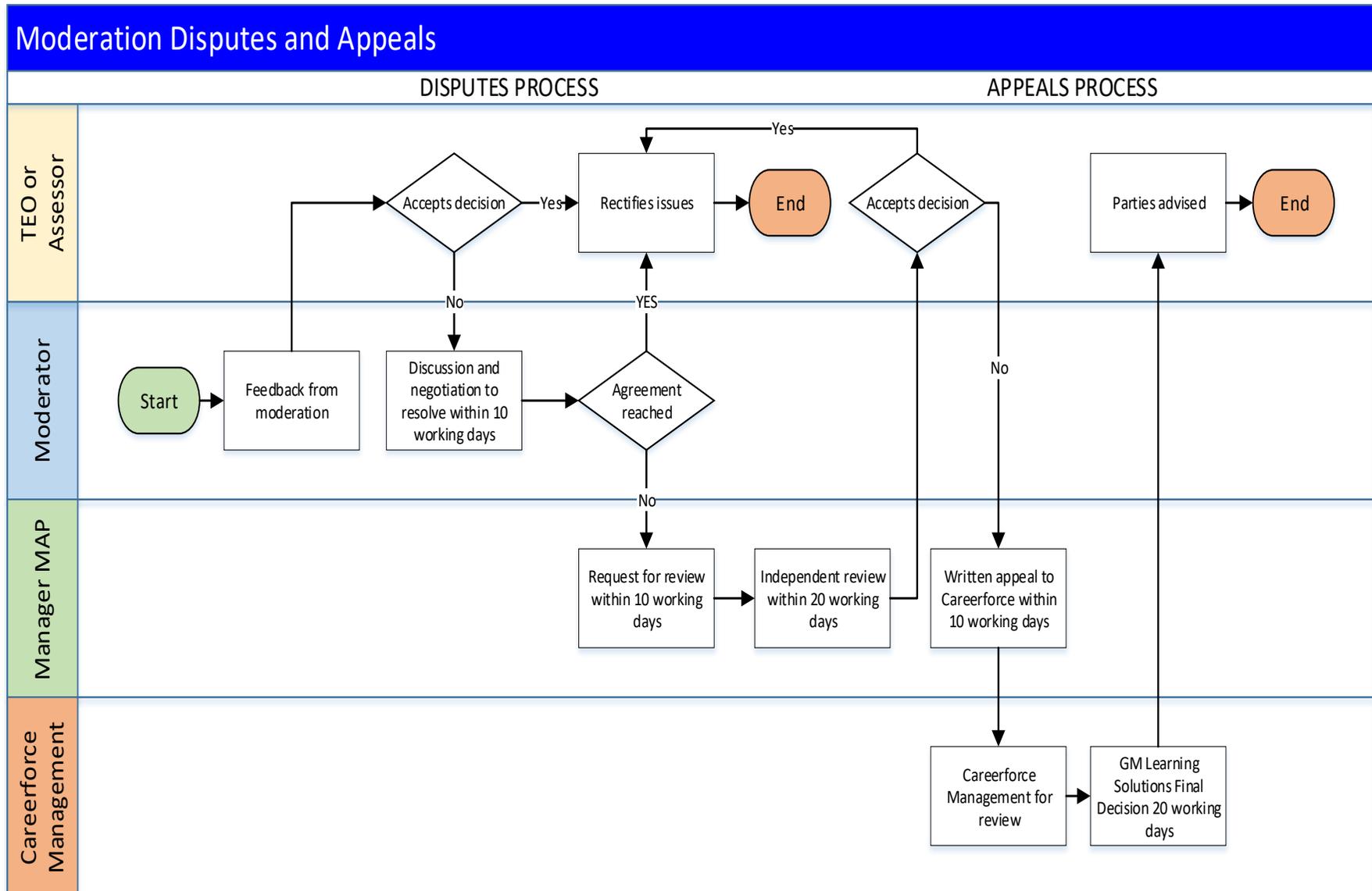
4. Monitoring

Moderation requires the ongoing quality management of the moderation system.

- Quality management of moderation includes, but is not limited to, monitoring and review of the system.

- Ongoing monitoring of the moderation system will ensure that the system is operating, and developing, as intended. The Moderation Team will conduct monitoring of the following areas:
    - moderation results;

    - engagement with the moderation system;

    - consistency among moderators and assessors;

    - resource availability (capacity to perform moderation function);

    - specialist knowledge requirements (capability).

- There will be a formal review of the moderation system conducted annually, this may identify improvement opportunities and will assure quality. The review will consider:
    - the effectiveness and efficiency of the moderation system;

    - the skills and knowledge of the personnel involved in the moderation system, and identification of

    - professional development requirements;

    - moderation policies, processes, and practices;

    - the appropriateness of the moderation model, moderation method(s), selection plan and the selection criteria for sampling (changing risks).

- Moderation outcomes are not necessarily an accurate indicator as to the effectiveness of the moderation system. However, they may provide an indication of areas in need of further investigation or improvement.

27 November 2019

Appendix C - Assessment Disputes and Appeals

Assessment Disputes and Appeals

DISPUTES PROCESS	APPEALS PROCESS

Trainee

Accepts decision → Yes → Rectifies issues → End

End

Assessor

Start → Feedback from assessment → Discussion and negotiation to resolve → Agreement reached

No (from Accepts decision)

YES (to Rectifies issues)

National Moderator

Appeal lodged within 10 working days

Outcome notified to all parties within 20 working days

- Uphold assessor judgement
- Request assessor to reconsider judgement
- Request reassessment by a different assessor

No (from Agreement reached)

Appeals Panel

Independent review and recommendation

Appendix D - Moderation Disputes and Appeals

Moderation Disputes and Appeals

DISPUTES PROCESS — **APPEALS PROCESS**

TEO or Assessor
- Accepts decision — Yes → Rectifies issues → End
- Yes (loop back to Rectifies issues)
- Accepts decision
- Parties advised → End

Moderator
- Start → Feedback from moderation
- No → Discussion and negotiation to resolve within 10 working days → Agreement reached
- YES → Rectifies issues

Manager MAP
- Request for review within 10 working days → Independent review within 20 working days → Written appeal to Careerforce within 10 working days

Careerforce Management
- Careerforce Management for review → GM Learning Solutions Final Decision 20 working days

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Appendix E - Forms

Careerforce provides a series of forms and templates to assist with Pre and Post Moderation. Documents can be accessed by via the Careerforce website.

Appeal of Assessment Form Moderation Cover
Assessor Moderation Cover – Provider