



Moderation Procedures Manual

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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 two outcomes: continuous improvement in assessment practice, and consistency of assessment judgements. Moderation helps to ensure current, consistent, reliable, authentic, valid and sufficient evidence is used by assessors to make assessment decisions across all sectors, in all situations. Moderation is managed by the Careerforce National Moderators.

Purpose of moderation

Moderation enables Careerforce to:

- identify opportunities to improve assessment practices
- interpret standards and provide guidance to assessors
- identify issues with assessment materials to inform reviews and updates for continuous improvement
- provide feedback to appropriate standard setting bodies on the currency of unit 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 assurance and continuous improvement. These align with good practice principles in the following manner:

- **Quality control** – Pre-assessment moderation, ensuring assessment tools (trainee assessment, assessor guide) meet the requirements of the unit standards, are accessible, give the learner every opportunity to meet the standard and support good assessment practice (as defined in the Careerforce Assessment Procedures Manual).
- **Quality assurance** – Post-assessment moderation, ensuring assessor judgements are consistent across contexts and reflect the requirements of the unit standard(s).
- **Continuous improvement** – Ensuring assessor practice is consistent with good practice and providing support to improve practice over time

The rules for assessment and moderation of unit standards are defined in the relevant Consent and Moderation Requirements ([CMR 0024](#), [CMR 0113](#)).

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

Careerforce registered assessors and moderators will 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 and Assessment Practice Team. The Moderation and Assessment Practice Team is responsible for negotiating a solution that will best preserve the integrity of the moderation process.

Careerforce registered workplace assessors and moderators must respect all intellectual property rights, confidentiality, and non-public information received during 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, this is to ensure assessment tools (trainee assessment, assessor guide) meet the requirements of the unit standards, are accessible, give the learner every opportunity to meet the standard and support good assessment practice.
- **Post-assessment moderation** – The assessor's assessment judgements regarding trainee evidence are moderated to ensure that they are current, consistent, reliable, authentic, valid, equitable and sufficient and that the assessor's judgement aligns with the standard(s) being assessed.

Who gets moderated?

All Careerforce registered assessors are moderated annually. Moderation samples are informed by the multi-year moderation plan.

Exemptions are considered for assessors with three (3) or more years of successful assessment with no issues found in moderation. An exemption is only considered and applied when risks are sufficiently managed, and Careerforce retains the right to moderate any assessment sample at any time.

Moderation events

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 and Assessment Practice Team and other assessors.

Visits

The Moderation and Assessment Practice Team may visit a workplace and conduct face-to-face moderation with staff and assessors. This enables the Moderation and Assessment Practice Team to engage in discussion about issues arising and give 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 several assessments, both pre and post-assessment, to ensure consistency.

Postal

Assessment samples may be posted or scanned and emailed to the Moderation and Assessment Practice 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. Photocopies and scanned copies must be legible, clear and in colour or they may be returned without being moderated.

On-job (validation) moderation

There are times when moderation may be conducted at the assessor's worksite 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 and Assessment Practice Team can conduct moderation of on-line assessments on the Careerforce Aka Toi platform.

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 and Assessment Practice 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 and Assessment Practice Team at least two months prior to re-registration to enable processing and to avoid de-registration.

Targeted sampling

Careerforce may request specific samples at any time from internal assessors 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 several reasons, including but not limited to:

- support for new assessors
- new scope extensions
- external moderation requirements
- 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 and Assessment Practice 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 and 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 if they 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 and Assessment Practice Team.

On-line assessments

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 Careerforce registered assessors

Assessors must supply a minimum of three **(3) samples** of different assessments every year for post-assessment moderation. These should be recently completed assessments – ideally within 6 months of the date of assessment; the Moderation and Assessment Practice team are interested in current practice. Assessments completed more than 12 months prior to submission for moderation will be returned and newer samples requested.

Where assessors have scope for different qualifications, samples should be from across the range of qualifications assessed in the same year, e.g. Health and Wellbeing level 3 and 4 scope require samples from both levels if assessed during the same year. Assessors should try to send assessments containing unit standards listed for the current year from the [5-year Moderation Plan: where practicable](#).

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 entire integrated assessment must be submitted.

Where assessors have not assessed any unit standards listed in the current year of the 5-year plan, assessors must submit **three (3) samples** from the units 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 Careerforce registered assessors

New assessors must send their first **three (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 iportal 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 **three (3) assessments** must be submitted to the Moderation and Assessment Practice Team for moderation.

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

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 products, processes, and systems.

Once the Moderation and Assessment Practice Team are satisfied that assessments are fit for purpose they are submitted to the appropriate Standard Setting Body for endorsement and final approval for use.

All subsequent changes or updates to approved assessments must be submitted to the Moderation and Assessment Practice 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 employer assessments

All materials developed by a Careerforce employer for assessment of unit standards must be submitted for pre-assessment moderation before use. The first three assessments completed using new assessment tools must also be submitted for post-assessment moderation.

Employers have 20 working days after pre-assessment moderation to make any necessary changes and re-submit for re-moderation. Employer assessments are submitted to the Standard Setting Body for endorsement and approval in the same way that Careerforce developed assessments are. 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 and 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.

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 do 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 may include workplace developed assessment material and students'/trainees' evidence. It is important to emphasise that this material is the individual 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 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 preassessment moderation.

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.

Careerforce registered workplace assessors must tell their learners that samples of their work may be used for moderation purposes.

Non-compliance

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

Careerforce registered assessors who are non-compliant may be required to submit additional assessment samples. Careerforce registered 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 working days to these concerns with a written action plan within the time specified. This plan should include the following:

- 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 and Assessment Practice 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 TITO programmes.

Feedback

How do assessors get feedback on their assessments?

Once post-assessment 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 securely destroyed.

For pre-assessment moderation, moderation reports will be emailed to the employer and all materials returned by post or email. With complex or full qualification moderations, the Moderation and Assessment Practice Team may meet with the providers to discuss the reports and any issues identified.

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.

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
- 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:

- 1 Further training and/or practice for the trainee
- 2 Re-assessment of all or part of the activity
- 3 Modification of the assessment decision
- 4 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 and Assessment Practice 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 and Assessment Practice 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 member of the Moderation and Assessment Practice Team will check to ensure that all relevant documents are attached and will convene an Appeals Panel of three people, including a Careerforce National Moderator 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:

- 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 and Assessment Practice Team within 20 working days of receiving the request for appeal.

As the result of an appeal, the Moderation and Assessment Practice 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 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 and 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. The Manager Moderation and Assessment Practice will advise the outcome of the review to 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. 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 and 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, 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.

Definitions

- **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 a Standard Setting Body and registered with NZQA, which outlines the criteria the Standard Setting Body is using for accreditation of providers that seek to deliver and assess against unit standards. The CMR also includes information on how the Standard Setting Body(ies) 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.
- **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 WDCs (Workforce Development Councils) 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 in line with judgement statements, and that the student’s/trainee’s performance to the required standard could be repeated with consistency.
- **Systematic** – Planning and recording of process that 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 is fit for purpose by requiring evidence that is directly related to the specified requirements of unit standards.
- **Workforce Development Council** – Workforce Development Councils are organisations that provide skills leadership, set standards, develop qualifications and shape the curriculum of the industries they represent.
- **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 and post-assessment 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, for 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 remotely by submitting assessment samples by email to moderation@careerforce.org.nz. Assessor hubs 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:

- 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 all 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 be representative of all assessors' work.

2. Evaluation

Moderation must evaluate the assessment, including the assessment design, assessor judgment and assessor practice 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 optimised 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

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 and Assessment Practice Team will conduct monitoring of the following areas:

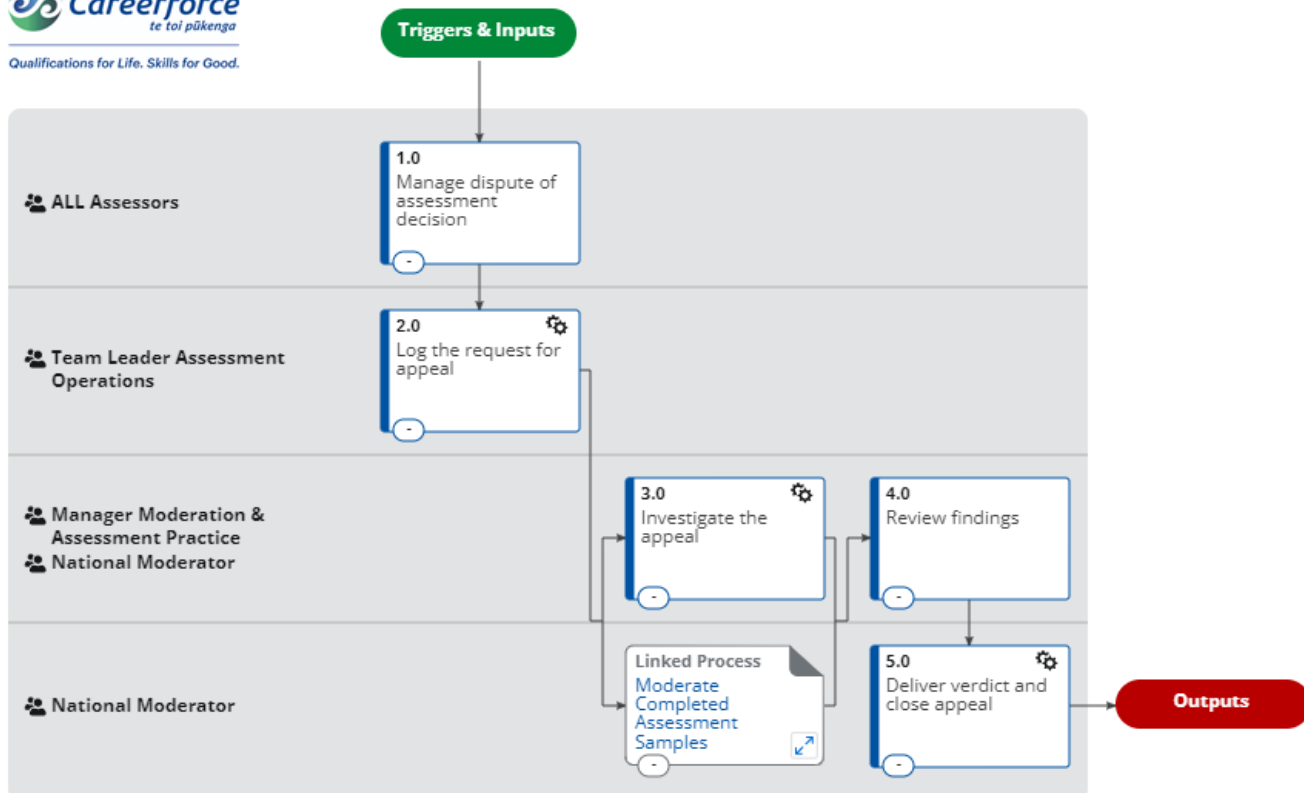
- Moderation results.
- Engagement with the moderation system.
- Consistency among moderators and assessors.
- Resource availability (capacity to perform moderation function).
- Specialist knowledge requirements (capability).

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:

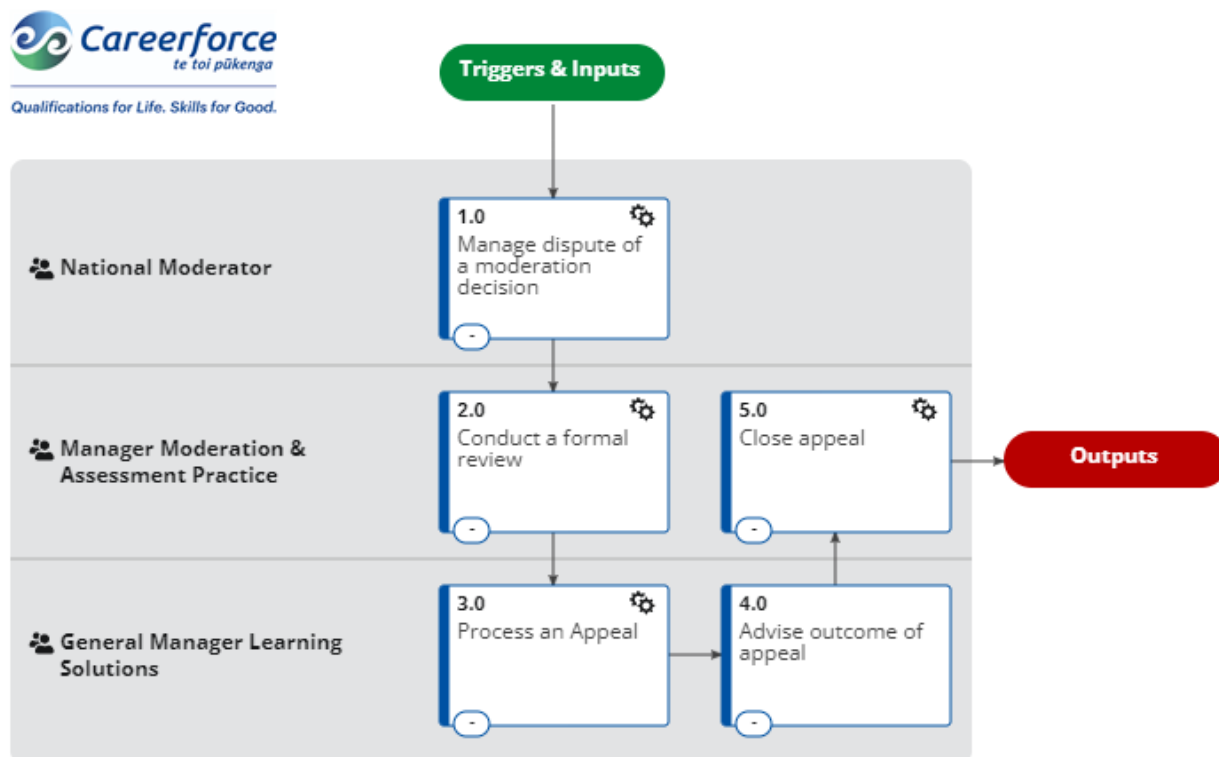
- the effectiveness and efficiency of the moderation system
- the skills and knowledge of the personnel involved in the moderation system, and identification of professional development requirements
- moderation policies, processes and practices
- the appropriateness of the moderation model, moderation 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.

Appendix C – Assessment disputes and appeals



Appendix D – Moderation disputes and appeals



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