

National external moderation manual for Tertiary Education Organisations

2011 TEO Manual

TEO Manual Contents

Introduction	5
General information	6
<i>New Zealand Qualifications Authority moderation</i>	6
<i>Moderation</i>	6
<i>Role of the TEO moderation liaison</i>	7
<i>Kāhui</i>	7
<i>Queries regarding assessment and moderation</i>	7
<i>Reminders about assessment design and practice</i>	8
<i>Alignment of Standards review project</i>	9
<i>Targeted Review of Qualifications</i>	11
<i>New Zealand Qualification Framework updates</i>	12
<i>NZQA web update alerts</i>	12
<i>National external moderation process flow</i>	13
Section One: Assessment plan	14
<i>Assessment plan for NZQA-managed standards</i>	14
<i>Assessment of achievement standards</i>	14
<i>Industry Training Organisation - managed standards</i>	14
<i>Outsourcing</i>	14
<i>Online assessment plan</i>	15
<i>Multi-site organisations</i>	15
<i>Changes to assessment plans</i>	15
<i>Standards for which the TEO does not hold consent to assess</i>	15
<i>Assistance or advice</i>	15
Section Two: Moderation plan	16
<i>What to do when you receive your moderation plan</i>	16
<i>Conflicts of interest</i>	16
<i>Kāhui</i>	16
Section Three: Submitting assessment materials for moderation	17
<i>Tertiary moderation cover sheet</i>	17
<i>Assessment material</i>	17
<i>Late submission of assessment materials</i>	18
<i>Early submission of assessment materials</i>	18
<i>Incomplete assessment materials</i>	18
<i>Learner samples unavailable</i>	18
<i>Non-submission of assessment materials</i>	19
<i>Assessment materials from commercial suppliers and other sources</i>	19
<i>Integrated assessment materials</i>	19
<i>Online assessment materials</i>	20
<i>Assessment by conversation</i>	20
<i>Assessment of Prior Learning (APL) and Recognition of Current Competence (RCC)</i>	20
<i>Preparing audio and visual submissions for moderation</i>	20
Section Four: Moderation report	23
<i>Explanation of results</i>	23
<i>What to do when you receive the moderation report</i>	26
<i>Assessment Materials Not Received (AMNR) report</i>	27
Section Five: National external moderation results	28
Section Six: Moderation clarifications and appeals	29
<i>Clarifying moderation reports</i>	29
<i>Appeals</i>	29

Section Seven: Resubmissions	30
Section Eight: National external moderation requirements	31
<i>Non-compliance</i>	<i>31</i>
Section Nine: Assessment resources	32
Section Ten: Overview of reports and forms	33
<i>Assessment plan 2011</i>	<i>33</i>
<i>Tertiary moderation cover sheet</i>	<i>33</i>
<i>Moderation visual/digital evidence cover sheet</i>	<i>33</i>
<i>Moderation report</i>	<i>33</i>
<i>Tertiary moderation clarification or appeal cover sheet</i>	<i>33</i>
<i>Achievement/Unit standard review report</i>	<i>33</i>
<i>TEO moderation liaison details form</i>	<i>33</i>
<i>TEO manual feedback form</i>	<i>33</i>
Glossary	34
Links	35

This manual is revised annually and available at <http://www.nzqa.govt.nz/providers-partners/assessment-and-moderation/tertiary-moderation/>

Introduction

Welcome to the 2011 TEO Manual

This manual explains the process and requirements for national external moderation of unit and achievement standards managed by the New Zealand Qualifications Authority (NZQA).

The manual is intended for people working in a Tertiary Education Organisation (TEO) engaged, or with an interest in, assessment or moderation activity related to NZQA-managed standards. This includes chief executive officers, heads of departments, academic or quality managers, internal moderators, moderation liaisons, teachers/tutors and assessors.

The manual includes information about:

- submitting an assessment plan to NZQA
- national external moderation reports
- interpreting the moderation results
- what to do if asked to resubmit assessment material and assessed learner work
- how to clarify or appeal moderation reports where the TEO is unclear about or disagrees with the moderation results
- meeting, and the consequences of not meeting, national external moderation requirements.

Changes to this year's manual

A number of changes have been made to the *2011 TEO Manual*. The main ones are as follows:

- Information throughout the manual has been updated, including information about the Alignment of Standards with the NZ Curriculum review project.
- New information has been included about the Targeted Review of Qualifications and assessment design and practice.
- Frequently Asked Questions have been removed and the information incorporated in the body of the text.
- Forms and templates have been removed and are now accessible directly from the NZQA website at: <http://www.nzqa.govt.nz/providers-partners/assessment-and-moderation/tertiary-moderation/>

Feedback on the TEO Manual

We appreciate feedback from TEOs on the relevance, layout and information supplied in this manual. Please return feedback to Tertiary Assessment and Moderation (TAM) by 1 November 2011 using the *TEO Manual feedback form*, available at: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Tertiary-Moderation/TEO-manual-feedback-form.doc>

Who to contact about assessment and moderation

For all questions and issues to do with assessment and moderation of NZQA-managed standards, please contact Tertiary Assessment and Moderation at NZQA.

Tertiary Assessment and Moderation, NZQA
PO Box 160
Wellington 6140

Phone: 04 463 3000 or 0800 NZQA 96 (0800 6972 96)

Email: tam@nzqa.govt.nz

Fax: 04 463 3114

Web: www.nzqa.govt.nz

General information

New Zealand Qualifications Authority moderation

The New Zealand Qualifications Authority (NZQA) manages the national external moderation for achievement standards and unit standards for which the Ministry of Education or NZQA is the Standard Setting Body (SSB).

The Tertiary Assessment and Moderation (TAM) team at NZQA is the contact point for TEOs for matters relating to assessment and moderation.

Within TAM, Assessment and Moderation Facilitators (AMFs) monitor and support TEOs through the national external moderation process. AMFs also liaise with and monitor the work of moderators across a group of moderation systems. Operations officers provide administrative support for these activities.

TAM collates and analyses individual TEO national external moderation results and reports findings annually to the TEO and the relevant Quality Assurance Body.

Moderation

The purpose of moderation is to provide assurance that assessment is fair, valid and at the national standard, and that the assessors are making consistent judgements about learner performance.

Internal moderation

Internal moderation is the responsibility of each organisation with consent to assess. Internal moderation may occur among assessors at a single site, at a provider's multiple sites or between an industry training organisation's registered workplace assessors.

Internal moderation helps to ensure consistency of assessment within organisations, over time and between assessors.

Internal moderation processes must be embedded in the quality management system of every TEO.

TEOs may also engage in external moderation with another provider. This provision may also form part of the organisation's quality management system.

National external moderation

National external moderation systems ensure that organisations with consent to assess are conducting assessment that is nationally consistent and at the national standard.

Every standard registered on the Directory of Assessment Standards is attached to a *Consent and Moderation Requirements* (CMR, previously called Accreditation and Moderation Action Plan or AMAP). The Moderation Requirements (previously called Moderation Information) section in that CMR sets out the national external moderation system for the standard.

It is the responsibility of the organisation with consent to assess to ensure that they engage in the national external moderation system for standards for which they are reporting credits.

Role of the TEO moderation liaison

Each TEO is required to nominate a moderation liaison.

- All moderation enquiries to TAM should be directed through the moderation liaison.
- The moderation liaison ensures assessment materials and samples of assessed learner work are sent to the designated moderator to meet the submission date, or contacts TAM if learner samples cannot be submitted on time.
- The moderator sends moderation reports to the moderation liaison.
- The moderation liaison circulates moderation reports and correspondence from TAM to the appropriate people within their organisation.

If there is a change of moderation liaison in your organisation, please complete the *TEO moderation liaison details form* available at: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Tertiary-Moderation/TEO-moderation-liaison-details.doc> and send it to TAM at tam@nzqa.govt.nz.

Kāhui

Kāhui are moderation meetings held throughout the year to moderate assessment materials and learner samples for the following moderation systems: Māori Performing Arts, Te Reo Māori, Te Reo Rangatira, Tikanga, Tikanga-a-iwi and Whakairo.

Three to six kāhui are held each year, depending on the moderation system.

If your organisation is being moderated in one of these systems, it is important to note that the submission date for the system may be different from that of the overall submission date shown on your moderation plan. If this is the case, the kāhui submission date for your organisation will be included on your moderation plan.

A separate letter outlining the process for submitting materials for moderation by kāhui will be sent to your organisation after moderation plans have been sent.

Where submissions to kāhui include audio and/or visual digital evidence, they need to be prepared as per the guidelines outlined in Section Three of this manual.

The turnaround time for materials submitted to kāhui may be eight to ten weeks, depending on the submission date.

Queries regarding assessment and moderation

If you have any questions relating to assessment and moderation or require further assistance, please refer the questions or issue to your organisation's moderation liaison person in the first instance or ask them to contact us at tam@nzqa.govt.nz.

Queries regarding moderation reports

The TEO's moderation liaison should direct any queries regarding moderation reports to TAM, not to individual moderator(s). See Section Six for information about clarifications and appeals.

Queries regarding standards interpretations

Requests for clarification related to interpretation of:

- field Māori unit standards should be emailed to Māori Qualifications Services at mqs@nzqa.govt.nz
- all other NZQA-managed unit standards should be emailed to National Qualification Services at nqs@nzqa.govt.nz
- achievement standards should be emailed to TAM at tam@nzqa.govt.nz

Please note that NZQA has published clarifications for a number of standards. Refer to the relevant section below.

Reminders about assessment design and practice

Advice and guidance about designing assessment activities can be found at:

<http://www.nzqa.govt.nz/providers-partners/assessment-and-moderation/assessment-of-standards/generic-resources/designing-assessment-activities>

Version of unit standard to be used

Where possible, TEOs should use the latest version of the standard. The moderator may bring to the TEO's attention that a new version has been published. Version changes, including safety issues or legislation are effective immediately. Further information about new versions of standards is available on *Framework Developments* at: <http://www.nzqa.govt.nz/about-us/publications/newsletters-and-circulars/us-qualification-changes/>

Implications of range statements for assessment design

When a range statement:

- is stated in the explanatory notes/special notes, the range items must be evidenced for all outcomes/elements of the unit standard
- appears immediately below an outcome/element, the range items must be evidenced for all evidence requirements/performance criteria in that outcome/element
- appears immediately below an evidence requirement/performance criterion, the range items must be evidenced for that evidence requirement/performance criterion.

For further information, refer to *Unit standard definitions and explanations*, available at: <http://www.nzqa.govt.nz/providers-partners/assessment-and-moderation/assessment-of-standards/generic-resources/unit-standard-definitions-and-explanations/>

Clarification of standards

NZQA has published clarifications for a number of standards such as in English, Mathematics, and Literacy and Numeracy. These give guidance about the requirements of these standards. They should inform organisations' assessment design and practice. Clarifications can be accessed through the relevant subject resource page at: <http://www.nzqa.govt.nz/qualifications-standards/qualifications/ncea/ncea-subject-resources/>

Attestations

Attestations may be appropriate as contributing evidence for the assessment of some standards. Where used, attestations must be supported by other valid and robust evidence sources.

Attestations:

- must be in line with the outcome/element requirements of the standard
- must be from a credible and trustworthy person. This may be a supervisor, client, kaumatua, workplace colleague, among others

- ideally will be supported by examples of actual learner performance from that context
- may confirm that the learner’s performance or behaviour has been consistently at the required level for the required period of time
- must be signed and dated by the attestor.

Recording observed or oral evidence

Where assessed learner performance has been observed or is oral (e.g. is not written), the learner evidence must be sufficiently documented. This could occur through the use of an observation sheet. It is important that examples of learner performance, contributions or comments are recorded, and that the observation sheet is signed and dated by the observer. For some standards, observed or oral evidence will need to be recorded digitally. For information about submitting audio and visual recorded evidence for moderation, refer to Section Three.

Advice and guidance about gathering evidence of achievement can be found at:
<http://www.nzqa.govt.nz/providers-partners/assessment-and-moderation/assessment-of-standards/generic-resources/gathering-evidence-of-achievement>

Assessment conditions and valid assessment

For assessment activities to be valid, the assessment conditions (including resources needed/available) must be appropriate for the outcome/element being assessed. The assessment tasks or questions must allow for learners to demonstrate the required level of knowledge, skills and/or understanding for the outcome/element assessed.

It is recognised that assessments in some subject areas (such as maths and accountancy) may require responses that are ‘exact’ as per the model answers. However, where singular responses (as per the model answers) are not required (e.g. where the outcome/element requires learners to describe concepts), and where assessment activities/questions set may lead learners to provide responses that are very similar to those in the resources used, it needs to be clear in the instructions to learners and in the assessment schedule that answers must be in the learner’s own words to show sufficient depth of understanding.

‘Open book’ conditions

It may be appropriate in 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, but include information that can assist learners (so long as they have an appropriate level of knowledge) to formulate their responses.

Unless the skills being assessed are the learners’ ability to locate and/or transcribe specific information, it is expected learners would not be allowed to copy the answers directly from their workbooks, course notes or reference texts, or from a power point presentation or overhead transparencies.

Advice and resources regarding authenticity can be found at: <http://www.nzqa.govt.nz/providers-partners/assessment-and-moderation/assessment-of-standards/generic-resources/authenticity>

Alignment of Standards review project

As part of the Alignment of Standards with the New Zealand Curriculum (NZC) review project (a project to review NZC-derived achievement and unit standards to align them with the NZC 2007 and including addressing duplication), all NZC-based unit and achievement standards at levels one, two and three have been reviewed.

Background to this review was provided to TEOs in May 2009 in the Framework circular *Review of New Zealand Curriculum derived achievement and unit standards* (ref NQF2009/002). An update on progress of this review and an outline of transition arrangements were provided to TEOs in April 2010 in the Framework circular *Update on the review of New Zealand curriculum based standards, likely transition arrangements, and NCEA level 1 Literacy and numeracy requirements* (ref NQF2010/001). These circulars are available on the NZQA website at: <http://www.nzqa.govt.nz/about-us/publications/newsletters-and-circulars/framework/>

The timeframes for the registration of the reviewed standards are as follows:

- Level 1 standards – registered in December 2010, for implementation in 2011
- Level 2 standards – to be registered in December 2011, for implementation in 2012
- Level 3 standards – due for consultation in August 2011, to be registered in December 2012 for implementation in 2013.

Expiry of curriculum-based unit standards

As a result of the level 1 reviews, most curriculum-based level 1 unit standards will expire at the end of 2011, but this may vary within and between subjects. Search the *Review summaries* (<http://www.nzqa.govt.nz/framework/updates/summaries.do>) for the specific unit standard to confirm the expiring date.

Transition arrangements

2011 is a transition year for all of the level 1 standards, apart from those that are externally assessed. This means that providers have until 2012 before they must implement the new level 1 internally assessed achievement standards. Please refer to the *Review report* and to the unit standard to confirm the expiry date of each standard. Information regarding the transition arrangements can be found in the SecQual circular *Transition arrangements for level 1-3 internally assessed standards* (ref S2010/036), which can be accessed from: <http://www.nzqa.govt.nz/about-us/publications/newsletters-and-circulars/secqual/transition-arrangements-for-level-1-3-internally-assessed-standards/>

Standard exclusion list

Many of the new achievement standards assess similar outcomes to existing standards. Where two standards assess the same outcome they are mutually exclusive. Credits from only one of a pair of mutually exclusive standards can count towards an NZQF national qualification (including NCEA). *The Level 1 Standards exclusion list from 2011* can be found at: <http://www.nzqa.govt.nz/qualifications-standards/standards/level-1-standard-exclusion-list-from-2011/> and the *Standards exclusion list* can be found at: <http://www.nzqa.govt.nz/qualifications-standards/standards/standards-exclusion-list/>

Assessment resources for achievement standards

Assessment resources have been developed for the newly registered achievement standards. These are available under each subject area, which can be accessed through the NCEA subject resources page at: <http://www.nzqa.govt.nz/qualifications-standards/qualifications/ncea/ncea-subject-resources/>

NCEA level 1 literacy and numeracy requirements

As a consequence of the Alignment of Standards project, the literacy and numeracy requirements for NCEA level 1 have changed. The literacy requirement for NCEA level 1 has changed from 8 credits to 10 credits, and the numeracy requirement for NCEA level 1 has changed from 8 credits to 10 credits. The changed requirements come into effect in 2011 in a transition arrangement, and

will be in full effect in 2012. Students can meet the new requirements by achieving specified achievement standards or new unit standards in literacy and numeracy.

Information regarding the NCEA level 1 literacy and numeracy requirements, and the transition arrangements for 2011, can be accessed at: <http://www.nzqa.govt.nz/qualifications-standards/qualifications/ncea/ncea-rules-and-procedures/secondary-schools-supporting-information/literacy-numeracy-2011/#note1>

Information regarding the new literacy and numeracy unit standards (including assessment and moderation information) can be found at: <http://www.nzqa.govt.nz/qualifications-standards/qualifications/ncea/ncea-subject-resources/literacy-and-numeracy-level-1>

Targeted Review of Qualifications

The Targeted Review of Qualifications (TRoQ) began in 2008. The review aimed to ensure that New Zealand qualifications are useful and relevant to current and future learners, employers and other stakeholders. The TRoQ focused on levels 1-6 of New Zealand’s qualification framework (excluding NCEA). Further information about the TRoQ can be found at: <http://www.nzqa.govt.nz/studying-in-new-zealand/nzqf/targeted-review-of-qualifications/>

Terminology change

The TRoQ has resulted in a number of changes in terminology. These include the following:

Old term	New term
NQF Accreditation	Consent to assess
Accreditation and Moderation Action Plan (AMAP)	Consent and Moderation Requirements (CMR)
Accreditation Information	Requirements for Consent to Assess (RCA)
Moderation Information	Moderation Requirements (MR)
Accredited organisations	Organisations with consent to assess
New Zealand Register of Quality Assured Qualifications and National Qualifications Framework	New Zealand Qualifications Framework (NZQF) - <i>for qualifications</i> and Directory of Assessment Standards (DAS) – <i>for standards and CMRs, and the classification system used for those items and for defining the scope of the consent granted to assess against standards</i>

There have also been changes made to the format of unit standards and the terminology used in them. These changes came into effect in August 2010. The changes will apply to unit standards as they are registered or reviewed.

The main terminology changes include:

- ‘Special notes’ have been renamed ‘Explanatory notes’
- ‘Elements’ have been renamed ‘Outcomes’
- ‘Performances criteria’ have been renamed ‘Evidence requirements’.

More information about the unit standard format and terminology changes can be found at: <http://www.nzqa.govt.nz/providers-partners/development-of-national-qualifications-and-standards/unit-standards>

New Zealand Qualification Framework updates

Framework updates, produced monthly on the NZQA website, provide information on changes to NZQF qualifications and DAS unit standards, and list the new and reviewed unit standards and qualifications registered on the DAS and NZQF.

Detailed reports of reviews of unit standards and qualifications are available at:

- <http://www.nzqa.govt.nz/about-us/publications/newsletters-and-circulars/framework/>
- <http://www.nzqa.govt.nz/about-us/publications/newsletters-and-circulars/equate/>

NZQA web update alerts

NZQA offers website users two update services, described below. To receive one or more of these alerts, go to: <http://www.nzqa.govt.nz/about-us/publications/subscribe/>. Through this page you can also subscribe to NZQA's publications such as circulars and newsletters.

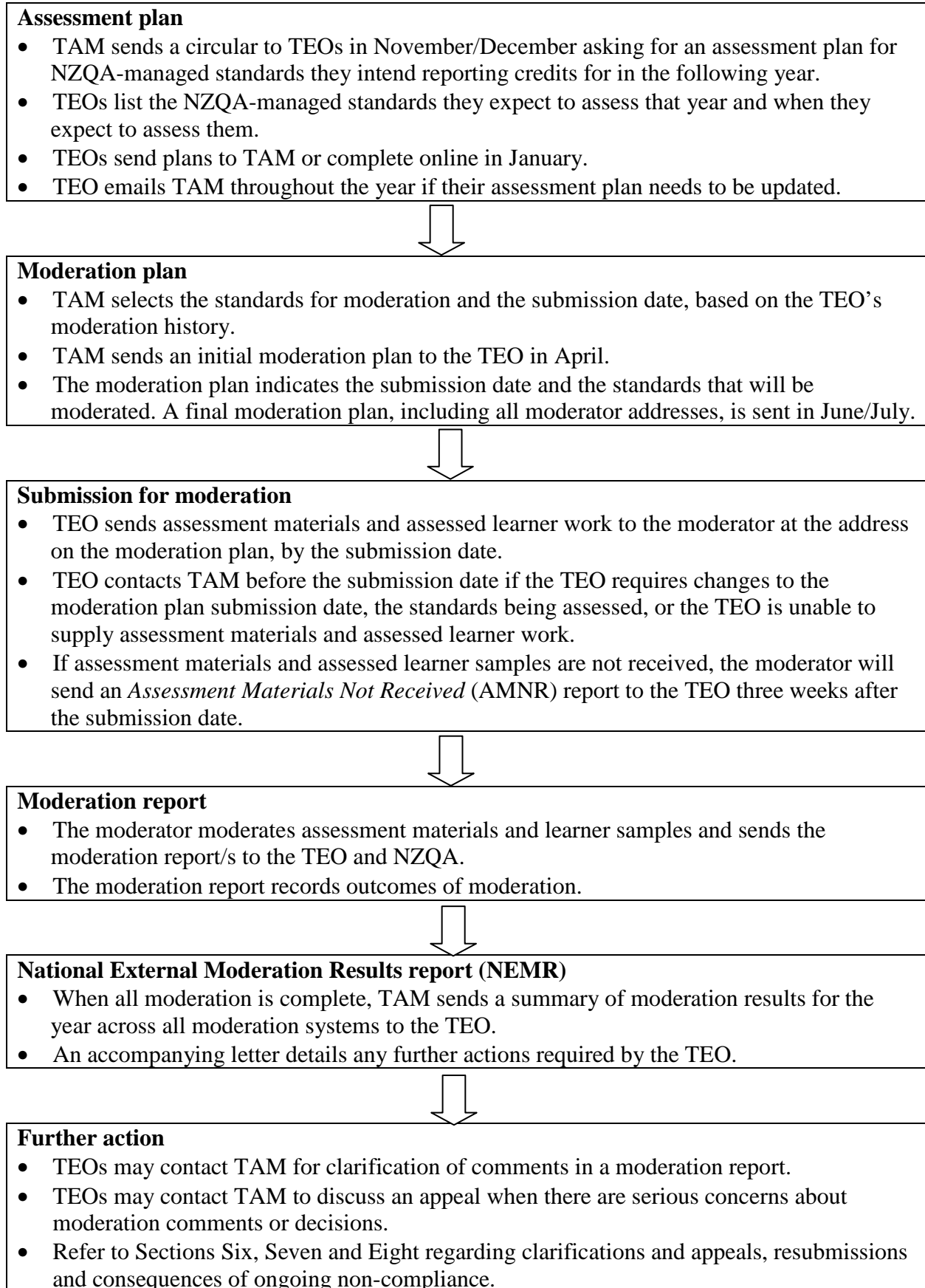
What's new

- provides an alert service for general website users about NZQA general updates
- includes media releases, newsletters, consultations and other developments published on the NZQA website
- sends an email each month with links to NZQA's *What's new* page.

Review summaries

- provides a monthly summary of changes to achievement and unit standards, and qualifications
- includes media releases, newsletters, consultations and other developments published on the NZQA website
- sends an email each month with links to NZQA's *Review summaries* page.

National external moderation process flow



Section One: Assessment plan

Assessment plan for NZQA-managed standards

The assessment plan is a list of all NZQA-managed standards the TEO plans to assess in the coming year. TEOs must complete an assessment plan annually in order to fulfil consent to assess requirements. The assessment plan forms the basis of a TEO's moderation plan for NZQA-managed standards.

If a TEO is likely to report credits for a standard, that standard must be included on the TEO's assessment plan. TEOs should email TAM at tam@nzqa.govt.nz throughout the year if their assessment plan needs amending. For changes to a TEO's moderation plan, refer to Section Two.

NZQA asks that TEOs include the earliest date by which assessments for each standard will be completed, marked, and available for submission for national external moderation. This is to enable TAM to determine a single submission date for materials in all subjects for an organisation.

TEOs who do not submit an assessment plan for a year in which they report credits against NZQA-managed standards may be referred to the appropriate Quality Assurance Body because they are not meeting national external moderation requirements.

Assessment of achievement standards

TEOs using **internally-assessed** achievement standards need to enter them on the assessment plan in the same way as unit standards.

TEOs intending to assess against **externally-assessed** achievement standards must email TAM at tam@nzqa.govt.nz for further information. Special arrangements must be made for entry of TEO learners to external assessment.

Industry Training Organisation - managed standards

TEOs should not record standards that are managed by industry training organisations (ITOs) or other SSBs on their NZQA assessment plan. ITOs and SSBs are responsible for national external moderation for standards they manage. Further information regarding this is available in the Industry Training Federation (ITF) website at: <http://www.itf.org.nz>, or in the relevant *Consent and Moderation Requirements* (CMR, previously called Accreditation and Moderation Action Plan or AMAP).

Outsourcing

TEOs that report credits under their own TEO code for standards that are assessed under an outsourcing arrangement are required to list these standards on their assessment plan and engage in national external moderation. If you have any questions about outsourcing, please email TAM at tam@nzqa.govt.nz.

Online assessment plan

TEOs are expected to use the online facility to complete their annual assessment plan.

The online facility allows a TEO to:

- view copies of their assessment plans from previous years
- use the current year's assessment plan as a template for the next year's assessment plan and then update it
- check whether their assessment plan has been received by NZQA
- start entering standards in their online assessment plan at any time.

The TEO's moderation liaison should contact the Sector Service Desk on 0800 422 599 or email sector.servicedesk@minedu.govt.nz to apply for access to the NZQA secure extranet.

TEO logins can be obtained via: <http://cms.steo.govt.nz/News+and+Info/ESAA.htm> and following the instructions.

TEO representatives can log in to complete their assessment plans via:
<https://secure.nzqa.govt.nz/for-providers/tertiary/login.do>

For help with your organisation's assessment plan, please email TAM at tam@nzqa.govt.nz

Multi-site organisations

Multi-site organisations need to enter one plan that includes all standards assessed across all sites (a single moderation plan will be sent to the "parent" site). Please email TAM at tam@nzqa.govt.nz for advice on this.

Changes to assessment plans

If your organisation is assessing standards not already included on your assessment plan, please inform TAM of this throughout the year.

Standards for which the TEO does not hold consent to assess

If a TEO wants to add standards to their assessment plan that it does not yet have consent to assess, the following will apply:

- If the TEO has applied for consent to assess, the standards should be added to the assessment plan. The TEO should contact the appropriate Quality Assurance Body (QAB) to discuss progress with the application.
- If the TEO has not yet applied for consent to assess, the standards should not be added to the assessment plan. The TEO should contact their QAB to discuss applying for consent to assess.

Assistance or advice

All queries relating to an organisation's assessment plan or national external moderation should be made through the TEO's moderation liaison to TAM by emailing tam@nzqa.govt.nz.

Section Two: Moderation plan

TAM issues a moderation plan which lists the standards selected for national external moderation for the year, based on the information in a TEO's assessment plan. Selection of these standards is based on NZQA-determined criteria. The submission date for an organisation is determined in part by the latest assessment date on the TEO's assessment plan.

An initial moderation plan will be sent to the moderation liaison in April. This does not contain any/all of the moderator names or addresses. A final plan including all moderator names and addresses will be sent by the end of June. If a moderation plan which includes all moderator details is not received by your organisation by mid-July, please email TAM at tam@nzqa.govt.nz.

TEOs will receive a revised moderation plan if a change is made to the submission date, systems selected, standards selected, or moderator details.

Send assessment materials and samples of assessed learner work to the moderator stated on the moderation plan in enough time so that moderator will receive it before your submission date. You are provided with the moderator's name and address solely for the purpose of submitting materials for moderation. All clarifications and queries should be directed to TAM and not to the moderator(s).

What to do when you receive your moderation plan

When a TEO receives their moderation plan from NZQA, they should note the standards selected for national external moderation and the submission date(s). The moderation liaison must arrange to have the assessment materials and assessed learner samples to the appropriate moderator(s) by the submission date. For the number of learner samples to submit, refer to Section Three.

If a TEO is not assessing a standard on its moderation plan, the moderation liaison should email TAM at tam@nzqa.govt.nz well before the submission date so a substitute standard can be selected.

If a TEO will not be able to send assessment materials and related assessed learner samples to the moderator by the submission date, the moderation liaison should email TAM at tam@nzqa.govt.nz as soon as possible and a new submission date may be arranged. If TAM is not notified before the submission date and materials do not arrive within the required time frame, an *Assessment Materials Not Received* (AMNR) report will be sent.

Conflicts of interest

If a TEO receives the moderation plan and an allocated moderator is known personally by the TEO, TAM should be contacted immediately. This prevents a conflict of interest arising before moderation takes place.

Kāhui

The moderation plan will inform you if a standard is moderated by kāhui, and whether the submission date for these standards is different from the submission date for other standards. Send the assessed learner work, and assessment material to the NZQA address on the moderation plan to arrive by the submission date specified. There are three to six kāhui each year, depending on the moderation system.

Section Three: Submitting assessment materials for moderation

Tertiary moderation cover sheet

A completed *Tertiary moderation cover sheet* (available at: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Tertiary-Moderation/Tertiary-moderation-cover-sheet.doc>) should be attached to assessment materials for each standard submitted to the moderator. Clearly indicate the full TEO name and code. In the learner samples section, ensure that both the *Learner* and *Assessor judgements* columns are filled in.

Assessment material

TEOs must submit assessment materials for national external moderation for standards as listed on their moderation plan from NZQA.

Assessment materials sent for moderation should include:

- assessment activities/tasks and instructions to learners and/or candidate evidence guides
- assessment schedules including evidence and judgement statements (qualitative and quantitative) and, if applicable, model answers. This is to enable the moderator to determine how assessment decisions have been made
- **three** assessed learner samples for each standard with only an achieved grade available – i.e. one complete set of assessed work for each of three learners
- **eight** assessed learner samples for each standard with merit and/or excellence grades from across a range of achievement: N (Not achieved), A (Achieved), M (Merit), E (Excellence), and including borderline samples
- a hardcopy of the standard if you have assessed against an earlier version than is currently on the NZQA website.

The materials can be in the form of:

- assessment materials developed by or under the jurisdiction of the TEO, including evidence guides and workplace assessment briefs
- commercially produced assessment materials
- assessment materials published by the Ministry of Education (MoE) or NZQA (modified or unmodified)
- teaching materials or workbooks, if they contain actual summative assessment activities
- learner assessment evidence including attestations, witness testimonies, verified checklists
- audio and visual digital evidence if appropriate (please use CDs and DVDs only). For more information on submitting audio and visual digital evidence, refer to end of this section.

Assessment materials sent to the moderator should:

- for standards with only the achieved grade available, have learner samples verified as being assessed either at N (Not achieved) or A (Achieved)
- for standards with merit and/or excellence grades, have learner samples verified as being assessed with N (Not achieved), A (Achieved), M (Merit), E (Excellence)
- have the learner samples identified as A, B, C or 1, 2, 3 (or first names only)
- be legible, although the originals do not need to be submitted
- include a *Moderation visual/digital evidence cover sheet*, if audio and/or visual digital evidence is involved. This can be downloaded from: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/mod-visual-digital-evidence-cvrsheet.doc>
- be sent to arrive by the submission date on the moderation plan.

One complete set of assessed work for each learner must be supplied to the moderator. “Composite” samples (i.e. samples made up of work from several learners) should not be submitted.

Information about available assessment resources can be found in Section Nine of this manual.

Late submission of assessment materials

TEOs are expected to submit assessment materials so that the moderator receives it by the submission date as stated on their moderation plan. If a TEO is unable to meet this date, their moderation liaison should email tam@nzqa.govt.nz. Assessment materials not submitted on time will be recorded as late on the *National External Moderation Results* report (refer to Section Five). The TEO may also receive an AMNR if the moderator does not receive assessment materials within three weeks of the submission date.

Early submission of assessment materials

If a TEO has assessment materials and learner samples ready for submission much earlier than the submission date, they can submit them to the moderator earlier. However, the moderator will only moderate these assessment materials before the submission date if his or her workflow allows it. Therefore, the TEO should not expect to receive the moderation report until after their submission date.

Incomplete assessment materials

Moderators cannot verify assessor judgements if these are not identified on either the learner samples or on the tertiary moderation cover sheet. In such cases, the moderator will notify TAM. TAM will contact the TEO for further clarification.

If assessment materials are sent without assessed learner samples, the moderator will contact TAM. TAM will contact the TEO for an explanation. This may result in TAM asking the moderator to return the assessment materials without moderation. The TEO may be requested by TAM to submit assessment materials for an alternative standard for which they have assessed learner work.

NZQA does not normally undertake pre-assessment moderation of assessment materials. This is an expected part of the internal moderation process of the TEO.

Learner samples unavailable

If learner samples are unavailable for any of the standards on a TEO’s moderation plan, the moderation liaison should email TAM at tam@nzqa.govt.nz in as much time as possible before the organisation’s submission date. TAM will work with the TEO to either change the organisation’s submission date to when three assessed learner samples will be ready for national external moderation, or select an alternative standard. If fewer than three learner samples are available when the TEO submits them for moderation, the moderation liaison should contact TAM.

Non-submission of assessment materials

If an organisation does not submit assessment materials for national external moderation for a standard which is on their moderation plan within three weeks of their submission date, the organisation will receive an AMNR report. This will be considered as non-compliance with national external moderation requirements. A copy of the AMNR report is also sent to TAM.

If you receive an AMNR do not send materials for moderation. Wait until you receive your organisation's *National External Moderation Results report*. The accompanying letter will advise the next steps to be taken.

Assessment materials from commercial suppliers and other sources

The TEO is responsible for the validity of any assessment materials for standards it reports credit for, whether these materials are self-designed or not. This includes materials that are commercially produced, ITO-provided, or gained from other sources. All assessment material, irrespective of its source, should go through an internal moderation process to determine whether it is fit for purpose and allows learners the opportunity to meet the national standard.

Commercial materials, ITO-provided materials, or materials gained from other sources may include a moderation report and/or a certificate verifying that the materials have been internally moderated by the vendor or supplier. This does not mean that the materials have met the national standard or that NZQA has verified the materials. No materials used, leading to the reporting of credits, are exempt from national external moderation, apart from those which have been awarded QAAM (Quality Assured Assessment Material) status by NZQA. Further information regarding QAAM can be found at: <http://www.nzqa.govt.nz/providers-partners/assessment-and-moderation/assessment-of-standards/quality-assured-assessment-materials-qaam-trademark/>

Integrated assessment materials

Best practice assessment principles for the assessment of unit standards states that "Assessment of related or similar learning outcomes should be integrated, where possible". Chapter 4 of the publication *Learning and Assessment: A Guide to Assessment for the National Qualifications Framework*, available on the NZQA website at: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Assessment-of-standards/learningassessment.pdf>, includes an explanation of this type of assessment.

Submitting integrated assessment materials for moderation

TEO moderation plans may include standards where assessment has been integrated with other standards not selected for national external moderation. TEOs may submit the whole integrated assessment package to the moderator, but assessment material and learner samples must clearly indicate which parts of the material apply to the standard selected for moderation. For example:

- assessment materials and learner work could be marked with Post-it notes or be printed on different coloured paper
- an assessment grid or "map" that indicates which elements/outcomes have been assessed in which assessment activities could be included with materials
- written information could be included that clearly explains to the moderator how (and in which part of the materials) the standard selected for moderation has been assessed.

Email TAM at tam@nzqa.govt.nz if you would like further advice on this matter.

Online assessment materials

Where standards selected for national external moderation have been partially or wholly assessed online, TEOs should contact TAM at tam@nzqa.govt.nz for advice regarding submission of materials for moderation. It may be necessary for the moderator to have access to the online assessment(s) and model answers, and system information and relevant data, in order to complete this moderation.

Assessment by conversation

There are occasions where assessment takes place during conversations held by the assessor with others - such as the learner themselves, verifiers, attesters, supervisors, employers and colleagues. These conversations need to be formal assessment occasions where both the assessor and the other party have been fully briefed on the requirements of the standard and the assessment requirements and conditions.

Assessors, internal moderators and moderation liaisons are asked to take into account the following when preparing such evidence for submission for national external moderation:

- Either a CD of the recorded conversations or a transcript of the conversation should be included. The parts of discussion that have contributed to the assessor decision for the standard being moderated must be clearly identified for the moderator and reference made to the specific unit standard outcome/element. The relevant parts of the transcript could be highlighted or marked with Post-it notes. Relevant parts of the recording should be indicated by listing the time stamps of the sections (for example, 20:10-35:40).
- Hard copies of any materials discussed or other supporting evidence relevant to the standards being moderated and taken into account by the assessor should be included (for example, instructions/guidelines given to the learner, organisational policy and procedures, samples of learner work, or signed attestations).
- Any written notes or comments made by the assessor that will assist the moderator to verify the assessor decision, and the assessor guide that has been used by the assessor should also be submitted.

Assessment of Prior Learning (APL) and Recognition of Current Competence (RCC)

Where an APL and/or RCC process is used to assess a learner's knowledge and/or skills, documentation submitted for national external moderation must show:

- direct links to the standard at outcome/element level. This may be done via an evidence grid or map
- that the candidate's current level of competency against the outcomes/elements of the standard has been ascertained, in particular the practical skills.

Preparing audio and visual submissions for moderation

Assessors of learner performance in areas such as Māori Performing Arts, Operational Languages (ESOL), Business and Management, Drama and Physical Education may need to submit audio-visual copies of assessed work of selected learners for moderation.

Assessors and moderation liaisons are asked to bear the following considerations in mind when preparing audio and visual submissions for moderation.

Format

CD-R or DVD-R format should be used. The following file format types are acceptable:

- Portable Document Format (.pdf)
- JPEG Image Format (.jpg, .jpeg, .jpe ...)
- Graphics Interchange Format (.gif)
- Standard formats as used in Windows Media Player
- PowerPoint
- QuickTime

Other graphics formats may not be able to be read.

Do not send VHS video tapes, Blu-ray discs, Hi8, DV or MiniDV tapes, or HD files. Other technology, such as USB flash drives or YouTube are not suitable due to high security and virus transmission risks.

Apple Macintosh users must ensure submitted files can be read easily on a PC, except in the case of Media Studies. For Media Studies, PC users must ensure submitted files can also be read easily on an Apple Macintosh.

Quality of CDs and DVDs

Use new, previously unrecorded CDs or DVDs. To ensure the material is readable, it should be tested on a machine other than the one used for recording before being sent for moderation.

Damage

To avoid damage to CDs or DVDs, TEOs are asked to package materials carefully in bubble-wrap or similar packaging for transport to the moderator.

Learner identification

Present audio and/or visual copies of only the performances to be moderated. Please ensure the *Moderation visual/digital evidence cover sheet* is used to identify the learner whose work is to be moderated. A copy of this form can be downloaded from the NZQA website at:
<http://www.nzqa.govt.nz/assets/Qualifications-and-standards/Qualifications/NCEA/NCEA-subject-resources/mod-visevidence-cvr.doc>

Please ensure the sections of the recording relevant to the standard being moderated are clearly identified. Also ensure that the learner identification used for the recording is consistent with that in any submitted documentation (for example, “Learner 1” in the recording is “Learner 1” in the documentation).

Strategies for successful identification of the learner on the CD or DVD itself include:

- a personal introduction, or a voice-over introduction of the learner
- the learner’s name written on the board behind the performer
- placing all of each learner’s work in a folder named after the learner, for example “Sarah”. Each file within the folder can then be named and numbered to indicate the sequencing of the work, for example “Sarah1.jpg”, “Sarah2.jpg” etc
- submitting a learner’s work in the form of a PowerPoint presentation which clearly sequences images as separate slides in the form of a slideshow. Written learner evidence may be added as notes if PowerPoint is used
- a written guide indicating the sections of the recording which are relevant to the standard being moderated, for example through the time stamps.

Quality of recording

Please ensure that recording of the learner performance being moderated is of sufficient quality to enable the moderator to ascertain the basis of the assessor's judgements. This includes the visual and/or audio quality of the recording.

Section Four: Moderation report

The moderation report describes the outcomes of the moderation. The moderator completes the moderation report and sends a copy to the TEO and TAM. The expected turnaround time is three weeks from the moderation submission date, except for November and December submission dates when the turnaround time may be longer. If you have not received a moderation report within six weeks of your submission date, please contact TAM at tam@nzqa.govt.nz.

The turnaround time for materials submitted to kāhui may be eight – ten weeks, depending on the submission date. If you have not received a moderation report within twelve weeks of your submission date to a kāhui, please contact TAM. Moderation systems that involve kāhui are Māori Performing Arts, Te Reo Māori, Te Reo Rangatira, Tikanga, Tikanga-a-iwi, and Whakairo.

The front cover of the moderation report provides an overall summary of findings. It contains the following sections:

1. **Overview:** This gives a clear summary of moderation findings in relation to the standard including where there are issues of concern. It will refer to the assessment materials and assessor judgements.
2. **Commentary (optional):** This section is completed when the moderator can give some specific feedback to assist the assessor that is not directly related to the moderation result.
3. **Next Steps:** This section is included in all reports for schools and TEOs. There is a different statement for schools and TEOs.

Explanation of results

The *Moderation Results* section of the moderation report focuses on the overall moderation results and records if the assessment materials are at the national standard and how many assessor decisions about learner samples have been verified.

Overall decision about assessor judgements

The number in the first box indicates the number of assessor judgements about learner samples with which the moderator has agreed.

The number in the second box indicates the number of learner samples submitted for national external moderation.

Moderation Results	
The assessor judgements about learner performance are at the national standard for <input type="text" value="1"/> out of <input type="text" value="3"/> samples	
<i>Tick one box</i>	
The assessment materials meet the national standard.	<input checked="" type="checkbox"/>
The assessment materials require modification.	<input type="checkbox"/>
The assessment materials do not meet the national standard.	<input type="checkbox"/>

Note: NZQA will send a summary of moderation results advising of any further moderation requirements.

Figure 1: Moderation Results section

A **0/0** moderation result for assessor judgements may be given when:

- no learner work was submitted
- no assessor judgements/results are evident on the moderation coversheet, and the TEO has been unable to provide further clarification to TAM
- the assessor decisions could not be verified (for example, because the learner evidence is illegible or unviewable, or because insufficient evidence of learner performance has been submitted to enable the moderator to ascertain the basis of the assessor's judgement).

Overall decisions about assessment materials

Assessment materials meet the national standard when:

- the assessment materials provide the learner an opportunity to meet the requirements of the standard
- the assessment schedule allows the assessor to make fair, valid and consistent decisions about the learner performance
- special notes/explanatory notes have been considered and all elements/outcomes have been assessed
- range statements have been appropriately covered and the performance criteria/evidence requirements have been fully considered
- there are sufficient "Yes" decisions in the assessment materials and schedule sections of the moderation report to validate the assessment materials.

Common reasons for assessment materials **requiring modification** include:

- Omissions in the assessment materials are not major.
- Omissions in the assessment schedules are not major. For example, evidence statements need more specific information to ensure consistency of assessor judgements.
- Learner responses/evidence statements/model answers are referred to in the assessment schedule but are not provided for moderation.
- Required changes to the assessment materials and/or assessment schedule are not major.

Common reasons for assessment materials **not meeting the national standard** include:

- Special notes/explanatory notes and/or all elements/outcomes of the standard are not covered.
- Several range statements and/or performance criteria/evidence requirements are not fully considered.
- Assessment schedule is not submitted.
- Evidence and/or judgement statements are not sufficiently detailed to ensure consistent assessor decisions will be made.
- Practical/performance work is not verified (for example, by supervisor/manager signed and dated checklists).

Follow-up on results

If the moderator has ticked "The assessment materials meet the national standard":

- the assessment materials have met the national standard
- the TEO could consider areas for improvement that the moderator may have provided comments on.

If the moderator has ticked "The assessment materials require modification":

- the assessment materials must be modified before they are used again
- the moderation report will indicate changes required for the assessment materials to meet the national standard, or specify where the materials do not meet the standard

- the standard may be chosen again for moderation as a resubmission in the same year, or in the following year
- please do not resubmit the materials once you have modified them **unless** you are asked to by TAM (you will be informed of this in the letter accompanying your *National External Moderation Results* report – refer to Section Five of this manual).

If the moderator has ticked “The assessment materials do not meet the national standard”:

- the assessment materials must be significantly altered before they can be used again
- the moderation report will indicate changes required for the assessment material to meet the national standard
- NZQA will notify the TEO of what further action will be required for this assessment in a letter that will be sent with the *National External Moderation Results* report (see Section Five).

Assessment Materials

This section of the moderation report provides details of moderation of assessment activities and the assessment schedule.

Assessment Materials			
Assessment materials (tick relevant boxes below):			
<input type="checkbox"/>	own materials	<input type="checkbox"/>	commercial materials
<input type="checkbox"/>		<input type="checkbox"/>	modified MOE/NZQA materials
<input type="checkbox"/>			Other eg unmodified MOE/NZQA materials
1	Is the standard to be assessed correctly identified (number, version, elements)?		
	Comments <i>If the moderator’s response to this section is “Yes”, there may not be a comment. If the response is “No”, a reason will be given.</i>		
2	Does the learner have the opportunity to meet the requirements of the standard (brief, event, activity, task etc)?		
	Specify Element No. or A, M, E Criteria	Y/N	Comments
	<i>Outcome/element number listed</i>	<i>Y</i> <i>N</i>	<i>The moderator may not comment.</i> <i>The moderator will provide the reason(s) for a “No” decision.</i>
3	Are the assessment conditions clear and appropriate?		
	Comments		
Assessment Schedule			
4	Are there statements provided that give examples of learner responses which meet the requirements of the standard (evidence statements)?		
	Specify Element No. or A, M, E Criteria	Y/N	Comments
	<i>Outcome/element number listed</i>	<i>Y</i> <i>N</i>	<i>The moderator may not comment.</i> <i>The moderator will provide the reason(s) for a “No” decision.</i>
5	Are there statements provided that clearly describe performance levels (quality and quantity) which meet the requirements of the standard (judgement statements)?		
	Specify Element No. or A, M, E Criteria	Y/N	Comments
	<i>Outcome/element number listed</i>	<i>Y</i> <i>N</i>	<i>The moderator may not comment.</i> <i>The moderator will provide the reason(s) for a “No” decision.</i>

Figure 2: Assessment materials section

Assessed Work

This section of the moderation report provides details of moderation of assessed learner work.

Both the assessor judgements of the learner evidence (as noted on the *Tertiary moderation cover sheet*) and the moderator decisions about the assessor judgements are recorded in the table.

In the example below, the moderator agreed with the assessor decisions for one out of three samples and has disagreed with the decision for learner 1 and learner 3. This information is transferred to the Moderation Results section of the moderation report.

Assessed Work			
Are assessor judgements at the national standard?			
Learner	Assessor Judgement NC, C or N, A, M, E	Moderator Judgement NC, C or N, A, M, E	Comment
1	N	A	<i>Learner 1 has presented sufficient evidence to meet the requirements of elements 1 and 2.</i>
2	A	A	
3	A	N	<i>Inadequate evidence has been presented for element 2. Specific examples of learner contributions and behaviour need to be recorded, to support the assessor/ observer ticks on the checklist.</i>

The moderator agrees with 1 out of 3 assessor judgements.

The moderator indicates the reason for not agreeing with the assessor's judgements.

Figure 3: Assessed work section of the moderation report

What to do when you receive the moderation report

Ensure all relevant people in your organisation get a copy of the moderation report. If the moderation report indicates that the assessment materials require modification or do not meet the national standard, modify the assessment material as indicated in the moderation report, before the assessment materials are used again.

It is also recommended that the feedback in all NZQA moderation reports is used to inform assessment practice within your organisation as well as your organisation's assessment design and internal pre- and post-assessment moderation processes.

The *National External Moderation Results* report and accompanying letter from TAM will indicate any further action required for national external moderation (for example, a resubmission and/or an action plan).

For questions or concerns about the results or comments contained in a moderation report, please have your organisation's moderation liaison contact TAM at tam@nzqa.govt.nz. Do not contact the moderator directly. Refer also to Section Six.

Assessment Materials Not Received (AMNR) report

TEOs are expected to submit assessment material, including assessed learner samples, by the submission date stated on the moderation plan.

Not sending these materials will result in an AMNR report being issued. This result is considered a non-compliance with national external moderation requirements. The AMNR is not a reminder to send materials for moderation.

If your organisation is unable to submit assessment materials or learner samples, contact TAM before your organisation's submission date to discuss revising your organisation's moderation plan.

If your organisation receives an AMNR report, **do not** then send assessment materials to the moderator. The letter accompanying the *National External Moderation Results* report (refer to Section Five) will advise you what further actions are required.

If your organisation did send the assessment materials to the moderator and still received an AMNR report, please contact TAM at tam@nzqa.govt.nz.

Section Five: National external moderation results

The *National External Moderation Results* report (NEMR) summarises the national external moderation results for that particular submission date across all systems that were moderated for the TEO.

The NEMR report is sent to the TEO after the last moderation report for that moderation round has been received by NZQA. This is usually within two months of the submission date.

A letter accompanying the NEMR report summarises the moderation results. Where some or all moderation results do not meet the national standard the letter will also detail any actions required to address issues identified by moderation. Actions taken by TAM following non-compliance by a TEO might include:

- request for revised assessment materials and learner samples to be submitted for moderation
- request for an action plan (or revised action plan) to address issues identified
- referral to the relevant Quality Assurance Body to take action under legislation.

Collated national external moderation results for the TEO for the last three years are enclosed with the letter and NEMR report.

When a TEO is asked for an action plan to address issues identified through national external moderation, guidance for what to include in the organisation's action plan will accompany the NEMR report and letter.

Normally, an organisation will receive only one NEMR a year. However, another NEMR is sent following a resubmission round, and a revised NEMR is sent following a successful appeal.

For more information about resubmissions, refer to Section Seven of this manual.

For more information about non-compliance with national external moderation requirements, refer to Section Eight.

TEOs are encouraged to contact TAM and seek clarification on the NEMR report and/or the contents of the accompanying letter if required.

For help with your organisation's action plan, your organisation's moderation liaison can contact the TAM Assessment and moderation facilitator named in the letter accompanying the NEMR report.

Section Six: Moderation clarifications and appeals

Clarifying moderation reports

Where a TEO is unclear about the meaning of comments in a moderation report or the basis on which the overall moderation decision has been made, TEOs are encouraged to contact TAM to seek clarification. Depending on the type of query, TEOs may be asked to detail their specific questions and submit these to TAM along with a completed *Tertiary moderation clarification or appeal cover sheet* (found at: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Tertiary-Moderation/Tertiary-moderation-clarification-appeal-form.doc>), plus the original assessment materials, assessed learner work and a copy of the moderation report. Please do not contact the moderator directly.

Appeals

Where a TEO has serious concerns about moderation decisions there is an appeal process available. However, it is recommended that TEOs contact TAM to seek clarification about moderator comments or moderator decisions before formally appealing. Please do not contact the moderator directly.

TEOs appealing moderation decisions must detail their specific concerns in a letter and send this to TAM, together with:

- a completed *Tertiary moderation clarification or appeal cover sheet* (found at: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Tertiary-Moderation/Tertiary-moderation-clarification-appeal-form.doc>)
- the original assessment materials sent to moderation (including the assessment schedule)
- assessed learner work originally sent to moderation
- a copy of the moderation report.

TEOs may appeal moderation decisions any time after the moderation report has been received and up to three weeks after the date of the *National External Moderation Results* report letter (refer to Section Five of this manual).

TAM will acknowledge receipt of each appeal and request additional information if required.

NZQA will process the appeal, which will take up to six weeks. NZQA will return the materials along with a moderation appeal results letter to the TEO. A revised moderation report will be included if the appeal is successful or the original moderator's comments have been clarified. Otherwise, the original report stands. The outcome of this appeal is final.

Section Seven: Resubmissions

If materials need to be resubmitted for national external moderation, this will be indicated in a letter accompanying the *National External Moderation Results* report (refer to Section Five of this manual). The letter will also include a *Resubmission of assessments for moderation form* for the TEO to complete and return to TAM.

TAM will negotiate a resubmission date with the TEO and then send a resubmission plan. The TEO should only resubmit assessment materials once the organisation receives a resubmission plan from TAM.

When resubmitting, TEOs must send the following to the moderator:

- *Tertiary moderation cover sheet* (found at: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Tertiary-Moderation/Tertiary-moderation-cover-sheet.doc>)
- modified assessment materials
- assessment schedules including evidence and judgement statements
- assessed learner work
- version of the standard assessed.

If the assessment materials do not meet the national standard, or require further modification after resubmission, TAM may recommend to the appropriate QAB that further action is appropriate. TAM will notify the TEO of this decision by letter.

An organisation should not ask for materials to be moderated by NZQA before they are used again. NZQA does not conduct pre-assessment moderation of assessment materials as a matter of course.

Section Eight: National external moderation requirements

To maintain consent to assess against standards on the Directory of Assessment Standards, TEOs are required to meet the national external moderation requirements as set out in the *Consent and Moderation Requirements* (CMR, previously called Accreditation and Moderation Action Plan or AMAP) for a unit standard for which consent to assess has been granted.

To meet NZQA national external moderation requirements, TEOs are required to:

- provide an assessment plan for the year
- meet moderation deadlines
- provide assessment materials and make assessor judgements that are fair, valid and consistent.

TAM will report ongoing non-compliance to the appropriate QAB and the CEO or equivalent authority of the TEO. NZQA is the QAB for institutes of technology and polytechnics, private training establishments, wānanga and government training establishments. The Committee for University Approvals and Programmes (CUAP) is the QAB for universities.

Non-compliance

Non-compliance in this context means not meeting national external moderation requirements. TAM will contact non-compliant TEOs by letter, outlining concerns relating to the results of moderation. TEOs are expected to respond to these concerns with a written action plan within the time specified.

Ongoing unresolved non-compliance is referred to the relevant QAB and may ultimately result in the withdrawal of consent to assess standards. Other restrictions may also be imposed on the TEO.

Within a TEO, the CEO (or an equivalent authority within the TEO) should liaise with TAM over non-compliance regarding moderation. The moderation liaison person should also be involved.

Section Nine: Assessment resources

This section provides examples of resources available online relating to assessment and moderation of unit standards.

A variety of Field Māori, school curriculum (“NCEA subjects”) and generic assessment resources and guidelines are available for those involved in assessment against standards. These can all be accessed from: <http://www.nzqa.govt.nz/providers-partners/assessment-and-moderation/assessment-of-standards/>

These include:

- *Best practice principles for the assessment of unit standards*
- *Learning and Assessment: A Guide to Assessment for the National Qualifications Framework*
- Subject specific resources such as: First Aid, Computing, Early Childhood Education, Māori Performing Arts and Māori Business and Management
- Assessment resources, clarifications of standards, national moderator reports and annotated exemplars for a number of New Zealand Curriculum (“NCEA”) subjects such as English, Mathematics, Science and Graphics. These should be used to inform assessment design, practice and assessor judgements
- Assessment resources, clarifications of standards and annotated exemplars for level 1 Literacy and Numeracy unit standards. These should be used to inform assessment design, practice and assessor judgements.

Section Ten: Overview of reports and forms

Assessment plan 2011

The TEO submits their completed Assessment Plan when requested by TAM. This can be accessed through the TEO's assessment plan log-in at: <https://secure.nzqa.govt.nz/for-partners/sia-login.do>

Tertiary moderation cover sheet

The TEO completes the *Tertiary moderation cover sheet* and submits it with the assessment materials for each standard selected for moderation.

This can be accessed from: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Tertiary-Moderation/Tertiary-moderation-cover-sheet.doc>

Moderation visual/digital evidence cover sheet

The TEO completes a *Moderation visual/digital evidence cover sheet* and submits it with audio and/or visual digital evidence to identify learners whose work is to be moderated.

This can be accessed from: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/mod-visual-digital-evidence-cvrsheet.doc>

Moderation report

The TEO is sent a completed moderation report by the moderator.

This can be accessed from: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Tertiary-Moderation/Moderation-report.doc>

Tertiary moderation clarification or appeal cover sheet

The TEO completes the *Tertiary moderation clarification or appeal cover sheet* when they seek further clarification or appeal moderation decisions, and submits it to TAM along with the relevant material.

This can be accessed from: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Tertiary-Moderation/Tertiary-moderation-clarification-appeal-form.doc>

Achievement/Unit standard review report

The TEO completes the *Achievement/Unit standard review report* to record issues with unit and achievement standards and submits it to TAM.

This can be accessed from: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Tertiary-Moderation/Achievement-Unit-standard-review-report.doc>

TEO moderation liaison details form

TEOs use this to inform TAM if the moderation liaison for the organisation changes or his/her contact details change.

This can be accessed from: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Tertiary-Moderation/TEO-moderation-liaison-details.doc>

TEO manual feedback form

TEOs are invited to use the *TEO manual feedback form* to suggest improvements or report any issues with the *National external moderation manual for Tertiary Education Organisations – 2011 TEO Manual*

This can be accessed from: <http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Tertiary-Moderation/TEO-manual-feedback-form.doc>

Glossary

AMNR	<i>Assessment Materials Not Received</i> report
CMR	<i>Consent and Moderation Requirements</i> (previously called Accreditation and Moderation Action Plan or AMAP)
ITO	Industry training organisation
MQS	Māori Qualifications Services – NZQA team responsible for unit standards and national qualifications registered in Field Māori.
NEMR	<i>National External Moderation Results</i> report
NQS	National Qualification Services – NZQA team responsible for developing unit standards and national qualifications that are not the responsibility of an ITO or MQS. The responsibilities of NQS include generic unit standards and qualifications.
PTE	Private training establishment
QAB	Quality Assurance Body
SSB	Standard-Setting Body
TAM	Tertiary Assessment and Moderation - NZQA team responsible for national external moderation of accredited TEOs assessing NZQA-managed standards.
TEO	Tertiary Education Organisation - includes universities, institutes of technology and polytechnics, private tertiary education providers, industry training organisations and government training organisations.

Links

Best practice assessment principles for the assessment of unit standards

<http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Assessment-of-standards/bestpract-us.pdf>

Framework Review Summaries

<http://www.nzqa.govt.nz/framework/updates/summaries.do>

Industry Training Federation

<http://www.itf.org.nz>

List of ITOs

<http://www.itf.org.nz/list-of-itos.html>

National external moderation manual for Tertiary Education Organisations – 2011 TEO Manual

<http://www.nzqa.govt.nz/providers-partners/assessment-and-moderation/tertiary-moderation/>

New Zealand Qualifications Framework Moderation Policy

<http://www.nzqa.govt.nz/assets/Providers-and-partners/Assessment-and-moderation/Assessment-of-standards/bp-principlesofmoderation.pdf>

NCEA

<http://www.nzqa.govt.nz/qualifications-standards/qualifications/ncea/>

NZQA

<http://www.nzqa.govt.nz>

Information about registration and accreditation

<http://www.nzqa.govt.nz/providers-partners/registration-and-accreditation/>

To obtain a TEO login

<http://cms.steo.govt.nz/News+and+Info/ESAA.htm>

To complete a TEO assessment plan login

<https://secure.nzqa.govt.nz/for-partners/sia-login.do>

Unit standard definitions and explanations

<http://www.nzqa.govt.nz/providers-partners/assessment-and-moderation/assessment-of-standards/generic-resources/unit-standard-definitions-and-explanations/>