

**Summary Report**  
**on National Qualifications Framework**  
**National External Moderation Systems**  
**Managed by Industry Training Organisations**  
**1 January – 31 December 2008**

# Summary Report on National Qualification Framework National External Moderation Systems Managed by Industry Training Organisations

1 January 2008 - 31 December 2008

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## Executive summary

The New Zealand Qualifications Authority (NZQA) requires Industry Training Organisations (ITOs) to report annually on the management of their national external moderation systems. This is to meet our statutory obligation to monitor moderation of unit standards on the National Qualifications Framework (NQF).

ITOs were asked by NZQA's Tertiary Assessment and Moderation (TAM) team to report in three areas:

- 1 administration of their national external moderation systems and aspects relating to this
- 2 review of their national external moderation systems
- 3 expenditure and charges relating to the management of national external moderation systems.

This summary report includes information and data from all 39 registered ITOs. The primary intention of the report is to ensure ITOs self-report as detailed in 1.2.6 (iv)<sup>1</sup> of the Quality Assurance Standard for Industry Training Organisations (QA Standard for ITOs).

The report also provides information to assist ITOs with the development of their moderation systems.

In 2008, NZQA rebated ITOs 30 cents to the dollar per credit reported, as a contribution to the management of their individual national external moderation systems. The annual summary report details how the rebate is used.

Quality Assurance audits of ITOs, conducted by NZQA's Provider Registration and Accreditation (PRA) team and focusing on sections 1.2.5 and 1.2.6 of the QA Standard for ITOs, began in October 2005. Some general findings in this summary report are compared with findings from relevant 2008 PRA audits.

A reporting template has been used since 2003 for self-reporting by ITOs. The reporting template was modified in 2006 and a minor change made in 2008 to more directly align with the QA Standard for ITOs.

## Key findings

Below is a summary of the key findings. These are expanded on in the *Summary of Findings* section, found on pages 9–16 of this report.

### 1 Administering national external moderation systems

In terms of administering their national external moderation systems:

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<sup>1</sup> The ITO has means to maintain and support the national external moderation system for the unit standards developed by the ITO. The ITO demonstrates this by (iv) meeting annual NZQA national external moderation reporting requirements.

- the majority of ITOs reported that they used a combination of pre- and post-assessment moderation
- a third of ITOs reported that they used all types of moderation in 2008
- ITOs that reported using a combination of pre- and post- assessment moderation were more likely to use moderation visits and postal moderation, whereas those that reported conducting all types of moderation used moderation visits, panel and cluster meetings and postal moderation
- most ITOs reported that over 50% of providers accredited to assess an ITO's unit standards were engaged in national external moderation. Other providers either postponed or did not engage in moderation due to shortage of resources, new curriculum or exemption from moderation. Three ITOs were not sure of the number of accredited organisations assessing against their standards
- more Government Training Establishments (GTEs) assessed ITO standards in 2008 than in 2007
- one ITO recommended that wānanga should be included as a separate category in the future, for Question Two
- ITOs reported a variety of reasons for selecting standards for national external moderation, with the most common reasons being: high use, annual plan, not previously moderated and high risk.

Most ITOs used a combination of methods to monitor that moderation decisions were at the national standard. Compared to the 2007 reporting cycle, more ITOs used formal check moderation processes, informal peer review, and internal evaluation of moderation reports.

All ITOs (compared with 90% in 2007) confirmed that they had processes in place to ensure feedback from the national external moderation was used in the review of unit standards.

Twenty-eight ITOs reported issues of non-compliance. Eleven ITOs reported they had no issues of non-compliance (compared with four ITOs in 2007).

92% of ITOs stated that they have formal documented policies and processes for following up an accredited organisation's non-compliance with their national external moderation process.

In 2008, a slight increase of ITOs (36 compared to 32 in 2007) reported some form of follow-up action as a result of non-compliance with moderation requirements.

Very few (two ITOs) reported the need to refer the organisation to the relevant quality assurance body. Most ITOs resolved identified non-compliance issues with the accredited organisation concerned.

## **2 Review of national external moderation systems**

In response to the questions regarding reviewing their national external moderation systems:

- all ITOs confirmed that they monitored their national external moderation to determine whether it was operating as planned
- 85% of all ITOs conducted a review of their national external moderation systems, compared to 66% in 2007
- 51% of all ITOs confirmed that they had reviewed the Moderation Information (MI) section of their AMAP(s), compared to 54% in 2007

- most ITOs used a range of processes to review the MI
- ITOs that had not reviewed their national external moderation or MI section indicated a timeframe for doing so.

ITOs reported a range of successful and unsuccessful features of their moderation systems. Successful features included: review processes, peer moderation which increased the learning and understanding of participants, introduction of Best Practice Quality Mark documentation, enhancing relationships with accredited organisations.

Least successful features of the ITO's national external moderation systems included moderation inconsistency, lack of formal moderator training and lack of rigorous feedback systems from assessors.

Reported changes already made or to be implemented included increased database capability, updated AMAPs, reviewed assessment documentation systems, and implementation of workplace visits for providers who have been identified as providing a risk.

### **3 Expenditure and charges**

ITOs are asked to declare the expenditure committed to the operation of their national external moderation system. As in previous years, the report does not require any information related to internal moderation. It is not always clear whether costs reported relate solely to external moderation.

The reported expenditure per credit varied between \$9.39 and \$0.27, with a mean value of \$0.97 and median value of \$0.51. This compares with expenditure between \$2.83 and \$0.31, and mean value of \$0.75 and median value of \$0.52 in 2007.

For most ITOs, salaries/fees was the largest expenditure item and overheads the second largest expenditure item. Nearly half the ITOs reported that they did not pass on any additional charges for the provision of national external moderation services.

Five of the ITOs charged TEOs for moderation services with different charges from those identified in their AMAPs.

### **Main report conclusion**

Whilst there have been some changes to the reporting template over the last few years, the template has remained sufficiently similar, for the inter-year comparisons of summary data to be reasonably reliable. There appears to be no significant difference between how ITOs have managed their national external moderation systems between 2004 and 2008.

Since 2005, the reporting format was more closely aligned with the requirements of the QA Standard for ITOs and so general comparisons between the findings of the annual moderation report and NZQA audit findings can be made. Some comparisons are included in these conclusions.

1 All ITOs confirmed that they monitored their national external moderation system and these were operating as planned (compared to 92% in 2007 and 90% in 2006).

According to the 2008 audit reports, those ITOs audited evaluate and review their national external moderation regularly (1.2.6(v)). However, three audited ITOs were not carrying out their national external moderation in accordance with their AMAPs and were also unable to demonstrate that they met the national external moderation requirement of other relevant standard-setting bodies.

The review of the 2008 audit reports also identified that a few ITOs did not follow the criteria in their AMAPs for selection of unit standards for moderation.

- 2 All ITOs reported that they have processes to ensure feedback from national external moderation activities is used in the ITO's review of its unit standards, compared to 90% of ITOs in 2007 and 82% in 2006.
- 3 More ITOs than in 2007 have documented policies for following up non-compliance with national external moderation. Twenty-seven ITOs reported they carried out follow up actions with accredited organisations that were non-compliant with national external moderation requirements. Twelve ITOs reported no identified non-compliance, even though they had a follow-up process for non-compliance.

A review of the 2008 audit reports indicates that not all ITOs documented internal moderation and national moderation procedures (1.2.6), which could possibly create difficulties in achieving national consistency and adequate review of results.

- 4 51% (compared to 54% in 2007) of ITOs reported that they had reviewed the Moderation Information section of their AMAP(s).

Evidence from the review of audit reports shows that all ITOs audited in 2008 met the requirement to "periodically evaluate and review the Moderation Information to ensure that it meets NZQA registration requirements" (1.2.6 (vi)).

The NZQA Framework Registration business unit commented that 46% of the AMAPs submitted by ITOs to them in 2008, met quality assurance requirements in one cycle.

- 5 The main issues identified through national external moderation relate to competency and training in assessment and systems, such as lack of knowledge of moderation requirements, lack of quality assessment resources and assessment decisions which did not meet the national standard. These issues were also reported in previous years.

The review of the 2008 audit reports identified that a few ITOs did not follow the criteria in their AMAPs for selection of unit standards for moderation,

- 6 All ITOs reported a number of successful and unsuccessful features of their moderation systems. A new successful feature was the introduction of a Best Practice Quality Mark which gives positive feedback to organisations. ITOs reported that the least successful feature was assessors not following the basic principles of assessment, and cluster group management not providing enough opportunities for assessors to receive immediate feedback on moderation.
- 7 Most ITOs reported that a variety of changes would be implemented before the next moderation year. The creation of internal budget line items to assist in tracking moderation expenditure is the one of those changes.

## **Report recommendations**

It is recommended that:

- (i) NZQA reviews the structure and nature of the annual report requirement in light of the self-assessment and evaluative review process being introduced
- (ii) wānanga are added to Question Two, Table 6, as a separate category, as wānanga are currently included within PTE figures
- (iii) a question be added to the report that gives ITOs an opportunity to express how they use this report within their organisation
- (iv) a question be added to the report that gives the ITOs an opportunity to identify to NZQA their requirements (issues) to be discussed at the annual ITO Summary Report report-back day facilitated by NZQA.

## **Introduction**

The New Zealand Qualifications Authority has a statutory requirement to monitor moderation of unit standards on the NQF. The reporting template assists ITOs to meet this requirement.

This summary report has been prepared following statistical analysis and collation of the information from individual ITO reports. In addition, the summary report also provides a means of distributing to ITOs moderation-related information collected from the reporting process. The purpose of distributing the summary report is to provide information to assist ITOs with the development of their moderation systems and practices.

## **Background**

ITOs have been required to report annually to NZQA on the management of their national moderation systems for the past ten years. Some minor changes were made to the template for the 2004 year, but the objective has been to maintain as much consistency in reporting requirements as possible.

Whilst the 2005 reporting template was not significantly changed from that used for the 2004 reporting cycle, more substantial changes were made to the 2006 template to take account of feedback from ITOs during the previous reporting cycle. For 2008, the ITO reporting template is the same as 2007's template, except for a minor change in Question 11, which combined travel and accommodation as one item.

The 2008 reporting template is attached as Appendix 1.

## **Methodology**

The reporting template was sent in electronic format to all registered ITOs with a covering letter in December 2008. ITOs were asked to respond to each question using the reporting template, by 31 March 2009.

The ITO reports collected information about ITO national external moderation systems in the following areas:

- administration of national external moderation systems and related aspects
- review of national external moderation systems
- expenditure and charges relating to the management of national external moderation systems.

Under *Expenditure and Charges*, ITOs were requested to report expenditure for each item listed in the template table.

54% of all ITOs reported to NZQA by the due date of 31 March 2009. After follow-up, the remainder of the ITO reports were received.

## Reporting timelines

A proposed timeline was included with the letter sent to ITOs in December 2008, as shown below:

**Table 1:** Reporting timeline

January, February, March	Moderation reports prepared by ITOs. Deadline for receipt of reports by NZQA: 31 March 2009.
April to July	Report data collated and summary report prepared by NZQA.
August	Summary report distributed to ITOs.
	National external moderation forum convened by NZQA and Industry Training Federation.
October	Review of reporting template for 2009; only if feedback from 2008 reports indicates this is necessary.
November	Notification of reporting requirements for 2009.

## Summary of findings

The following sections summarise observations, with minimal interpretation, from analysis of the reported information.

**Please note: where a detailed collation of data and comments has not been completely incorporated into the main text, the full data has been included in the appendices.**

### Section 1- Administering national external moderation system(s)

#### ***Question 1: What types of moderation were used to moderate the unit standards chosen for national external moderation in this reporting period? (QAS ITOs 1.2.6(i))***

The majority of ITOs reported that they used post-assessment moderation or a combination of pre- and post- assessment moderation in 2008. This finding is the same as in the previous five reporting cycles.

Compared with 2007, more TEOs used both pre- and post- assessment moderation rather than using just post-assessment moderation. ITOs that reported using a combination of pre- and post- assessment moderation were more likely to use moderation visits and postal moderation. ITOs that reported using post-assessment moderation mainly used panel or cluster moderation and postal moderation.

Ten ITOs reported they used all types of moderation, i.e. pre-assessment, post-assessment, pre- and post moderation. No ITO reported that they used pre-assessment moderation only, while seven ITOs used only post-assessment moderation which is less than in 2007. Note: the question does not ask the ITOs to explain why they choose which type of moderation or which combination of moderation methods.

Most ITOs used the same types of moderation for TEOs and schools, with only a few ITOs differing from this. Variation of moderation centred on the use of visits and postal moderation, rather than panel or cluster meetings.

Tables detailing when moderation was conducted, how post-assessment moderation was conducted, how both pre- and post- assessment moderation was conducted and how moderation was conducted for all types can be found in Appendix 2, along with collated responses to this question.

#### ***Question 2: How many accredited organisations that actively assessed against the ITO's unit standards engaged in national external moderation in this reporting period? (QAS ITOs 1.2.6(i))***

For the past four years, the majority of ITOs indicated that over 50% of the providers actively assessing against their unit standards engaged in moderation. This applied across all provider types except GTEs.

Of these ITOs that responded for each provider type (2007 figures are provided in parentheses):

- 89 % (91%) of ITOs reported that more than 50% of PTEs engaged in moderation in 2008
- 40 % (62%) of ITOs reported that 50% of GTEs engaged in moderation in 2008.

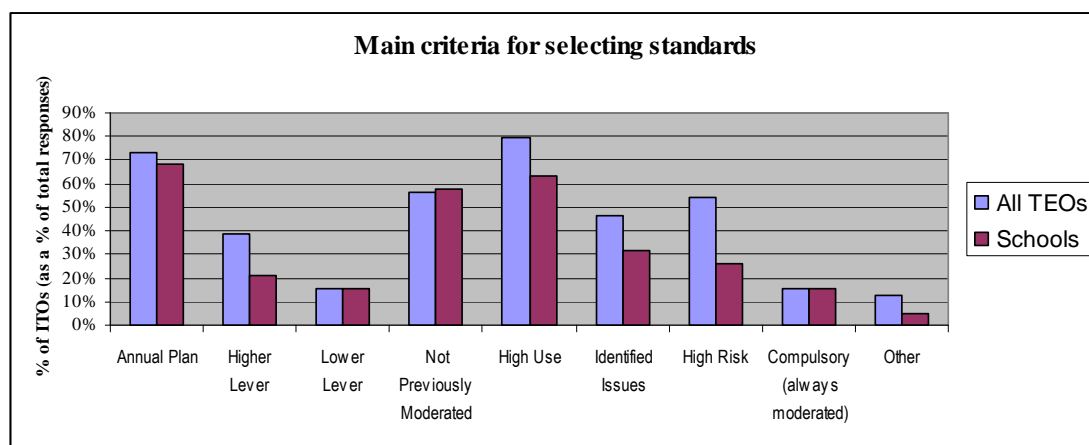
All ITOs reported that over 50% of Institute of Technology and Polytechnics (ITPs) engaged in moderation in 2008 compared to 94% in 2007 and 82% of ITOs reported that every active accredited ITP was moderated during this reporting period.

While the number of GTEs accredited appears to have decreased by almost a third (from 13 in 2007 to 10 in 2008), the numbers of GTEs assessing ITO standards increased in 2008.

Current data included in “the number of engaged organisations” appears to exclude those with exemptions allowed by ITOs.

Data detailing the percentage of active accredited organisations, by provider type, that engaged in national external moderation, along with collected comments, can be found in Appendix 3.

**Question 3: What were the criteria for selecting unit standards for national external moderation in this reporting period? (QAS ITOs 1.2.6(i))**



The majority of ITOs used a combination of criteria for selecting standards for national external moderation. The most common criteria used for both TEOs and schools were ‘High use’, ‘annual plan’ and ‘not previously moderated’. ‘High risk’ is another criterion that has been used frequently by TEOs.

A collation of ITO comments can be found in Appendix 4.

**Question 4(a): During the reporting period, how did the ITO monitor national external moderation to ensure that the moderation decisions were at the national standard? (QAS ITOs 1.2.6(ii), (v))**

2007 figures are provided in parentheses.

- 56% (54%) of ITOs used a formal check moderation process
- 59% (44%) of ITOs used informal peer review
- 82% (79%) of ITOs used internal evaluation of moderation reports as a way of ensuring that moderation decisions were at the national standard

- 28% (28%) of ITOs used independent evaluation of moderation reports
- 10% (20%) of ITOs used other methods to monitor national external moderation.

Most ITOs used more than one method to ensure that the moderation decisions were at the national standard.

Other methods used to monitor national external moderation included: moderation support visits, a specialist moderation system for a qualification, formal peer review at cluster group meetings and technical experts involved in pre- and post-assessment moderation.

A collation of ITO comments can be found in Appendix 5.

***Question 4(b): Does the ITO have processes to ensure feedback from the national external moderation activities is used in the ITO's review of its unit standards? (QAS ITOs 1.2.6(iii))***

All ITOs reported they have processes to ensure that feedback from national external moderation is used in the ITO's review of its unit standards. In 2008, 100% of the ITOs compared to 90% for 2007, used feedback from national external moderation activities.

Processes that ITOs report using to collect feedback includes:

- on-going collection of feedback (e.g. moderation feedback form, review form, informal review, moderation visits, comments from all assessors)
- special events to provide feedback (e.g. workshop, unit standards review meetings, QA meetings, moderation meetings, quarterly advisory group meetings, trainee evaluations, national certificate completion surveys)
- reports from moderators and national moderators.

Three ITOs have developed new software to track feedback on unit standards for reviewing of standards.

A collation of ITO comments can be found in Appendix 6.

***Question 5(a): what types of non-compliance with national moderation were identified by the ITO? (QAS ITOs 1.2.6(ii))***

The main types of non-compliance centred on:

- assessment design, i.e. failure to develop marking guides or address the requirements of the unit standard elements and special notes
- failure to supply material for pre-assessment moderation
- assessment decisions not at the national standard, including insufficient evidence
- providers failing to engage with the pre-assessment moderation system prior to undertaking assessment
- poor documentation and recording of assessment results
- non-compliance with Moderation Information requirements.

The types of non-compliance listed were the same or similar for 2007. Eleven ITOs reported that they have no issues of non-compliance (compared with four ITOs in 2007).

A collation of ITO comments can be found in Appendix 7.

***Question 5(b): Does the ITO have formal documented policies and processes for following up an accredited organisation's non-compliance with national external moderation? (QAS ITOs 1.2.6(ii))***

36 ITOs (92%) reported they have formal documented policies and processes for following up an accredited organisation's non-compliance with national external moderation. This is an increase of 5% compared with 2007. The ITOs who did not have formal documented policies and processes have their AMAP under review or have a new version of the AMAP being registered in 2009.

A collation of ITO comments can be found in Appendix 8.

***Question 5(c): What follow up was carried out on accredited organisations that were non-compliant with national external moderation requirements? (QAS ITOs 1.2.6(i), (ii))***

36 ITOs (92%) responded to this question (2007 figures in parentheses):

- twelve (five) ITOs did not identify any non-compliance with national external moderation
- 20 (20) ITOs reported that they undertook moderation in addition to that on the organisation's moderation plan
- 29 (29) ITOs reported that they notified organisations of the identified non-compliance, including consequences of ongoing non-compliance
- 23 (27) ITOs reported that they established and notified actions and timeframes necessary to achieve compliance
- two (eight) ITOs reported that they referred issues to the NZQA Provider Registration and Accreditation business unit compared with eight in 2007 and three in 2006. No feedback was provided by the ITOs regarding the outcome of this action
- three (four) ITOs reported issues to ITP Quality for further action compared with four in 2007. No feedback was provided by the ITOs regarding the outcome of this action
- most ITOs reported that they use a combination of methods to follow up accredited organisations' non-compliance with national external moderation.

A collation of ITO comments can be found in Appendix 9.

## **Section 2 - Review of national external moderation system(s)**

***Question 6: Did the ITO monitor that the national external moderation system was operating as planned during the reporting period? (QAS ITOs 1.2.6(ii), (v))***

All ITOs stated that they monitored their national external moderation system to determine whether it was operating as planned. This compares with 92% in 2007 and 95% in 2006.

A collation of ITO comments can be found in Appendix 10.

***Question 7(a) (i-iii): Has the ITO reviewed its national external moderation system(s) this reporting period? If no, when will be the ITO review its system(s)? If yes, what review methods were used to determine the effectiveness of the national external moderation? (QAS ITOs 1.2.6 (v))***

85% of ITOs reported that they had reviewed their national external moderation system(s) in 2008 (compared to 66% in 2007 and 79% in 2006).

Most ITOs used a combination of methods to determine effectiveness of moderation. Stakeholder consultation and informal review meetings are the most frequently used methods. Most ITOs used the same methods for different types of providers.

Where the national external moderation system had not been reviewed during 2008, the ITOs concerned indicated a timeframe and/or process for doing so.

Collated responses to question 7(a) (i-iii) can be found in Appendix 11-13.

***Question 7(b): Has the ITO reviewed the moderation information (MI) section of its AMAP(s) this reporting period? If no, when will the ITO review its AMAP(s)? If yes, what review methods were used to review the MI section against the NZQA Criteria for Approval and Registration National Qualification Framework Accreditation and Moderation Action Plans?(QAS ITOs 1.2.6(i),(v),(vi),(vii))***

51% of ITOs (20) reported that they had reviewed the Moderation Information section of their AMAP(s) in 2008 (54% in 2007). The other ITOs reported that they had scheduled to review their AMAP(s) in the future or the review was ongoing.

Most of the ITOs who reviewed the Moderation Information section of their AMAP(s) used a variety of review methods. Informal review meeting was the main method for seventeen ITOs and is the only method of review for three ITOs, which is similar to 2007. Thirteen ITOs used stakeholder consultation as another main method of review. In some cases, consultation was combined with other methods.

Four of the ITOs reported they used a combination of methods including:

- internal meetings
- employing a consultant
- questionnaire feedback form
- discussions with NZQA.

Collated responses to question 7(b) (i-iii) can be found in Appendix 14-16.

***Question 8: What were the three most successful features of the ITO's national external moderation system within this reporting period? (QAS ITOs 1.2.6(ii),(v))***

97% of ITOs (38) responded to this question. Most of them nominated three successful features of their national external moderation system; few of them indicated one or two features.

Successful features reported by ITOs included the introduction of a Best Practice Quality Mark and to motivate providers to excel in pre-assessment moderation practices as part of internal moderation. Other successful features identified by ITOs were an increase in the number of assessment samples for moderation and development of more efficient and effective moderation administration by developing improved database systems.

As in 2007, ITOs indicated that meetings and visits provided an opportunity for feedback about moderation, enabling an exchange of assessment and moderation best practice and provision of networking support to the organisations involved.

Other successful features cited by several ITOs were a review of their external moderation processes to improve the effectiveness of moderation reports and to use peer moderation to get better participation.

Collated responses to this question can be found in Appendix 17.

***Question 9: What were the three least successful features of the ITO's national external moderation system within this reporting period? (QAS ITOs 1.2.6(ii), (v))***

Six ITOs did not mention any least successful features of their national external moderation systems in their reports.

The least successful features for other ITOs were:

- lack of pre- and post- assessment moderation
- requesting providers to identify unit standards they were delivering during the year
- assessment guides with insufficient details for quality assurance purpose
- assessors not following the basic principles of assessment
- current cluster group management not providing enough opportunities for assessors to receive immediate feedback on moderation of the samples provided
- inconsistency of moderation between moderators
- lack of a rigorous feedback system from industry assessors.

Collated responses to this question can be found in Appendix 18.

***Question 10: Summarise any changes that will be implemented in regard to national external moderation for the next reporting period. (QAS ITOs 1.2.6(ii), (v))***

Reported changes to be implemented included:

- moderation planning to begin at the earlier stage of the year and to include roles and responsibilities of ITOs and assessors
- increased database capability to manage moderation requirements outcomes, non-compliance and performance of TEOs
- updating of AMAPs to remove unnecessary unit standard differentiation to ensure a simple and clear operating process
- contracting an external consultant to review all assessment documentation systems, appointment of industry moderators, recruitment of a national moderator, professional development for assessors and moderators and assessment writing workshops
- visiting workplace assessors and providers who have been identified as providing a risk in the workplace, implementation of peer review forums and regional cluster workshops to improve networking
- creation of internal budget line items to assist in tracking moderation expenditure.

Collated responses to this question can be found in Appendix 19.

### **Section 3 - Expenditure and charges**

***Question 11: What was the total expenditure for the reporting period spent on the national moderation of the ITO's standards? (QAS ITOs 1.2.6(i), (ii), (iv), (v))***

The average total reported expenditure for national external moderation for the 2008 reporting period was \$97,533.61, compared to \$87,804.26 average expenditure in 2007.

The reported expenditure per credit varied between \$9.39 and \$0.27, with a mean value of \$0.97 and median value of \$0.51. This compares with expenditure between \$2.83 and \$0.31, a mean value of \$0.75 and median value of \$0.52 in 2007.

Over 60% (25) of ITOs reported that the percentage of salaries is the largest expenditure item, while 23% (9) of ITOs indicated that moderator or contractor consultant fees was the largest expenditure item for them. These features are similar to 2007.

Travel and accommodation have been combined as one item this year which differs from last year and four ITOs reported that this is the largest expenditure for them. One ITO stated that a review of the moderation system was the highest cost to their organisation.

Over 30% (13) of ITOs listed overheads as the second largest expenditure item in their organisations, while ten ITOs identified travel and accommodation as the second highest expenditure item. Moderator fees and overhead costs were the third largest expenditure items for eleven ITOs.

Collated responses to this question can be found in Appendix 20.

***Question 12 - Other expenditure items (QAS ITOs 1.2.6(i), (ii), (iv), (v))***

Sixteen ITOs specified other expenditure items for national external moderation than those listed in Question 11. The main item of other expenditure refers to database maintenance and/or update. Other items included:

- development of a moderation handbook
- development of moderation assessment material and resource
- development and distribution of assessments and assessment guides, for free use by all providers
- a specific cluster group meeting.

Collated responses to this question can be found in Appendix 21.

***Question 13 - What charges, if any, did the ITO pass on to the TEO or school for provision of national external moderation services? (QAS ITOs 1.2.6(i), (ii), (iv), (v))***

Seventeen ITOs indicated that they did not charge for any of the moderation services listed compared to 29 ITOs in 2007. A few ITOs specified that they may charge for some services in the future.

Two ITOs stated all of the charges listed under the question were not applicable for their ITOs. Nine ITOs reported that one or more of the charges were not applicable compared to eleven ITOs in 2007. Eleven ITOs reported that they passed on charges for some moderation services but not for each service.

Collated responses to this question can be found in Appendix 22.

# *Appendices*

ITO name:

Contact person:

Telephone:

## **Industry Training Organisations (ITOs) Report on National External Moderation from 1 January 2008 to 31 December 2008**

### **Purpose**

For:

ITOs to report to NZQA on the:

- management and outcomes of their national external moderation systems
- expenditure of their 30 cent per credit rebate from NZQA.

ITOs to report information which may later be used as supporting evidence during an audit against QA Standard for ITOs (QAS ITOs).

NZQA to collate information on how ITOs manage their national external moderation systems and disseminate this information in a format useful to ITOs for refining their national external moderation systems.

Please send to: [tam@nzqa.govt.nz](mailto:tam@nzqa.govt.nz) by Tuesday, 31 March 2009

## Section 1: Administering national external moderation system(s)

- 1 What types of moderation were used to moderate the unit standards chosen for national external moderation in this reporting period?  
(QAS ITOs 1.2.6 (i)) (Please leave blank if not applicable.)

(Tick as appropriate)

Accredited organisation/ type	When			How			
	Pre-assessment	During assessment	Post-assessment	Moderation visits	Panel / cluster moderation meetings	Postal Moderation	Other (please specify)
All TEOs including other ITOs							
Schools							

2 How many accredited organisations that actively assessed against the ITO's unit standards engaged in national external moderation in this reporting period? (QAS ITOs 1.2.6 (i))

<b>Accredited organisation/type</b>	<b>Number of accredited organisations</b>	<b>Number of accredited organisations actively assessing</b>	<b>Number of accredited organisations engaged in national external moderation</b>
PTEs			
GTEs			
Polytechnic/Institutes of Technology			
Other ITOs			
Schools			

Comments:

**3** What were the criteria for selecting unit standards for national external moderation in this reporting period? (QAS ITOs 1.2.6 (i))

(Tick as appropriate)

<b>Accredited organisation/ type</b>	<b>Annual plan (cyclic)</b>	<b>Higher level</b>	<b>Lower level</b>	<b>Not previously moderated</b>	<b>High use</b>	<b>Identified issues</b>	<b>High risk</b>	<b>Compulsory (always moderated)</b>	<b>Other (please specify)</b>
All TEOs including other ITOs									
Schools									

Other reasons/comments:

**4(a)** During the reporting period, how did the ITO monitor national external moderation to ensure that the moderation decisions were at the national standard? (QAS ITOs 1.2.6 (ii), (v))

(Tick as appropriate)

<b>Formal check moderation process</b>	<b>Informal peer review</b>	<b>Internal evaluation / review of moderation reports</b>	<b>Independent evaluation /review of moderation reports</b>	<b>Other (please specify)</b>

Comment(s) and/or state other quality checks made:

**4(b)** Does the ITO have processes to ensure feedback from the national external moderation activities is used in the ITO’s review of its unit standards? (QAS ITOs 1.2.6 (iii))

Yes  No

If yes, please describe.

5a) What types of non-compliance with national external moderation were identified by the ITO? (QAS ITOs 1.2.6 (ii))

**Please specify:**

5b) Does the ITO have formal documented policies and processes for following up an accredited organisation's non-compliance with national external moderation (e.g. participation in national external moderation, assessment decisions not at the national standard)? (QAS ITOs 1.2.6 (ii))

Yes  No

5c) What follow up was carried out on accredited organisations that were non-compliant with national external moderation requirements (e.g. participation, assessment decisions not at the national standard)? (QAS ITOs 1.2.6 (i) (ii))

(Tick as appropriate)

Moderation additional to the ITO's moderation plan <sup>2</sup>	
Notification to the organisation of their identified non-compliance, including consequences of ongoing non-compliance	
Establishment and notification of actions and timeframes necessary to achieve compliance	
Issue referred to NZQA (Provider Registration and Accreditation (PRA) for further action.	
Issue referred to Institutes of Technology and Polytechnics Quality (ITP Quality) for further action.	

Other follow up actions/comments:

<sup>2</sup> Examples include re-moderation, further standards selected for moderation.  
ITO National External Moderation Report 2008

## Section 2: Review of national external moderation system(s)

6 Did the ITO monitor that the national external moderation system was operating as planned during the reporting period?  
(QAS ITOs 1.2.6 (ii), (v))

Yes  No

If yes, please describe:

7(a) (i) Has the ITO reviewed its national external moderation system(s) this reporting period? (QAS ITOs 1.2.6 (v))

Yes  No

(ii) If no, when will the ITO review its system(s)?

(iii) If yes, what review methods were used to determine the effectiveness of the national external moderation system(s)?

(Tick as appropriate)

Accredited organisation/type	Stakeholder consultation (Client input to review meetings, surveys, advisory group, etc)	Formal review meeting (held for specific purpose/ documented agenda item)	Informal review meetings (general discussions on an ongoing basis)	External evaluation	Other (please specify) New Qualifications and assessment techniques requires new moderation skills
All TEOs including other ITOs					
Schools					
Industry					
Other (please specify)					

**7(b) (i)** Has the ITO reviewed the Moderation Information (MI) section of its AMAP(s) this reporting period?  
(QAS ITOs 1.2.6 (i), (v), (vi), (vii))

Yes  No

**(ii)** If no, when will the ITO review its AMAP(s)?

**(iii)** If yes, what review methods were used to review the MI section against the NZQA Criteria for Approval and Registration of National Qualifications Framework (NQF) Accreditation and Moderation Action Plans (AMAPs)?

<http://www.nzqa.govt.nz/framework/amaps/index.html>

<b>Accredited organisation/type</b>	<b>Stakeholder consultation (client input to review meetings, surveys, advisory group etc)</b>	<b>Formal review meetings (held for specific purpose/documented agenda item)</b>	<b>Informal review meetings (general discussion on an ongoing basis)</b>	<b>External evaluation</b>	<b>Other (please specify)</b>
All TEOs including other ITOs					
Schools					
Industry					

Comment/s:

**8** What were the 3 most successful features of the ITO's national external moderation system within this reporting period? (QAS ITOs 1.2.6 (ii), (v))

Feature 1:

Feature 2:

Feature 3:

Why?

**9** What were the 3 least successful features of the ITO's national external moderation system within this reporting period? (QAS ITOs 1.2.6 (ii) (v))

Feature 1:

Why?

Feature 2:

Why?

Feature 3:

Why?

**10** Summarise any changes that will be implemented in regard to national external moderation for the next reporting period? (QAS ITOs 1.2.6 (i), (v)).

### Section 3: Expenditure and charges

- 11 What was the total expenditure for the reporting period spent on the national external moderation of the ITO's standards? (Only include costs that relate to national external moderation in the total expenditure figure as itemised below.) (QAS ITOs 1.2.6 (i), (ii), (iv), (v))

**Total expenditure:**

Specific expenditure breakdown

Item	\$
Travel and accommodation (we capture these areas under 1 code)	
Catering	
Venue hire	
Moderator/contractor/consultant fees	
Percentage of overheads	
Percentage of salaries – staff associated with national external moderation	
Administration – postal, stationery, printing.	
Training moderators/skill development	
Review of system	

Comment/s

- 12** Specify any other expenditure items you would like to include and the total amount of these items in the table below, eg development and maintenance of database to manage moderation system. (Note: do not include these items and costs in the total expenditure amount given for question 14.)  
(QAS ITOs 1.2.6 (i), (ii), (iv), (v))

<b>Item</b>	<b>Total \$ amount</b>

**13** What charges, if any, did the ITO pass on to the TEO or school for provision of national external moderation services?  
(QAS ITOs 1.2.6 (i), (ii), (v))

Tick as appropriate

<b>Service</b>	<b>Not applicable</b>	<b>Not charged</b>	<b>Charged</b>	<b>Charging rate</b>	<b>Comment</b>
Moderation visits requested by TEO or school additional to routine activity (eg staff time, moderator fees, travel and accommodation costs)					
Moderation visits completed by ITO as a result of identified issues / non compliance following previous moderation activity (eg administration costs, moderator fees, travel and accommodation costs)					
Pre-assessment moderation of assessment materials requested by the TEO or school (eg administration costs, moderator fees)					
Post-assessment moderation requested by the TEO or school (eg administration costs, moderator fees)					
Resubmission of assessment materials as a result of non-compliance (eg administration costs, moderator fees)					
Consultation/advice sought by TEO or school (eg administration costs, travel and accommodation costs)					

<b>Service</b>	<b>Not applicable</b>	<b>Not charged</b>	<b>Charged</b>	<b>Charging rate</b>	<b>Comment</b>
Other/s (please specify)					

**Appendix 2: Responses to Question 1: What types of moderation were used to moderate the unit standards chosen for national external moderation in this reporting period? (QAS ITOs 1.2.6 (i))**

**Table 1:** When moderation was conducted?

Accredited Organisation/type	Total number of responses	Pre-assessment	Post-assessment	Pre- and Post assessment	All
All TEOs including other ITOs	39	0	7	20	10
Schools	19	1	7	10	1

**Table 2:** How post-assessment moderation was conducted?

Accredited Organisation/type	visits	Panel/Cluster meetings	Postal	Other
All TEOs including other ITOs	1	6	3	0
Schools	1	3	5	0

**Table 3:** How both pre- and post-assessment moderation was conducted?

Accredited Organisation/type	visits	Panel/Cluster meetings	Postal	Other
All TEOs including other ITOs	14	8	18	*Observed PTE involvement in qualification/standards review. *Phone meetings off site office meetings between moderation & TEOs
Schools	6	4	9	0

**Table 4:** How moderation was conducted---all types

Accredited Organisation/type	visits	Panel/Cluster meetings	Postal	Other
All TEOs including other ITOs	10	5	10	Spot moderation
Schools	1	1	1	0

**Table 5:** How moderation was conducted---all other combinations

Type	All	visits	Panel/Cluster Meetings	Postal	Other
All TEOs	2	2	1	2	0
Schools	1	1	1	1	0

***Appendix 3: Responses to Question 2: How many accredited organisations that actively assessed against the ITO's unit standards engaged in national external moderation in this reporting period?  
(QAS ITOs 1.2.6 (i))***

**Table 6 :** Percentage of active accredited organisations moderated during this reporting period

Accredited organisation/type	Total number of responses	0-9%	10-19%	20-29%	30-39%	40-49%	Over 50%
PTEs	37			1	1	2	33
GTEs	10	6					4
Polytechnic/Institutes of Technology	39	3			3	1	32
Other ITOs	25	6		1	4		14
Schools	23	5	1	1	3		13
Wanauga	1	1					

- [ ITO name] don't have up to date data from NZQA on the number of accredited providers
- polytechnics
  - [ITO name]
  - [ITO name] assesses under the [ITO name] Internal Moderation system
- other ITOs
  - [ITO name]
- schools
  - [ITO name]
- the number of schools accredited has increased from 134 in 2007 as the [Named] Domain has been included in their base scope
- in order to provide enough time to get the [Named] programme established in the curriculum, the [ITO name] issued a waiver for 2008 external moderation for all

providers who were delivering [Named] unit standards within the [Named] programme

- it was planned to complete moderations on 50% of ITOs in 2008. However due to a shortage of resources this target was not met. This target has been transferred to the 2009 moderation targets and has been given a higher priority
- providers who were assessing against unit standards [number] and [number] were granted a waiver as the responsibility for these unit standards was transferred to the [ITO name] during 2008
- unsure of number of ITPs accredited for our u/s
- there are many inactive providers accredited to assess against [ITO name]'s unit standards. The numbers represented in the above table are of providers that are actively registering results. There is some ambiguity, notwithstanding, about the exact number of secondary and tertiary education providers that are accredited under our gazetted coverage. As an example, [ITO name] checked one of the unit standards on our AMAP [number] (u/s [number]). Although there are 1223 accredited secondary and tertiary education providers, only 14 of these providers assess against this unit standard. [ITO name] believes that the reason why there are so many accreditations is that this particular unit standard is part of the [Named] field at Level [number]; consequently many secondary and tertiary providers have accreditation for the field, sub-field or domain, but may never have intended to assess against this specific unit standard

in addition, each provider may have multiple sites, and the NZQA websites will list each of these sites as an accredited provider. For the same example above (Unit Standard [number]), [ITO name] is listed 14 times as an accredited provider of this unit standard at each of [Named Cities]

- there are four accredited organisations actively assessing against the ITO's unit standards. These are three PTEs and the ITO itself
- although one of the PTEs has several hundred students over several sites this has been recorded as one provider. The other two have less than 20 students each
- [ITO name] is accredited but not actively assessing. They have indicated that it is not their intention to use unit standards in the foreseeable future
- we have a good rapport with all TEOs actively assessing our units. We do not moderate all TEOs every year. When a TEO is identified as having a good moderation result history, we have given them a year off
- the ITO only engaged with organisations actively assessing in 2007-2008
- in 2008 [ITO name] conducted 7 visits to selected providers. There were no non compliance issues for these providers
- there are a number of ITO's who report credits on behalf of accredited PTEs so as a result they are not subject to moderation if that particular provider has already been moderated
- in addition to the above we held a 2-day National [named] Tutors external moderation meeting which involved 23 tutors from throughout NZ
- one PTE is involved in training at present
- moderation selection is retrospective and was based on a NZQA credit report. For the last two years [Organisation's name] has queried the accuracy of this report, particularly in terms of the low number of schools assessing. It was recently confirmed by NZQA that the quarterly reports do not include details of unpaid credits reported and that the ITO needs to request a 'Traffic Light Report' to obtain this information
- consequently the figures stated above do not include the additional 160 odd schools recently identified as assessing [Organisation's name] unit standards in 2008. Now

that [Organisation's name] is aware of this situation, these organisations will be included in this year's moderation cycle

- as noted in all previous reports, there are many inactive providers accredited to assess in this ITOs units (approximately twice as many as are active). Some GTEs may be classified as PTEs in this data (will be few if any)
- there continues to be an issue identifying new accredited bodies until the activity reports are seen as there remains accreditation and course approvals where the ITO is not involved
- a number of polytechnic [Named] programmes folded during 2007/8. Those providers not engaged in moderation during 2008 will be involved in 2009 workshops; many of these teach and assess one [ITO name] unit standard
- it will be noted that at times the number of organisations engaged in national external moderation increases from the number actively assessing. The reason for this is that the number of organisations engaged is determined by the number that returns the Assessment Intention Plan (AIP). A number of these organisations indicated on the AIP that they are not actively assessing against their scope of accreditation in [Named]. Therefore, they are deemed to be engaged in national external moderation and not actively assessing
- five of the ITPs, 1 of the PTEs and all the ITOs had a very low number of assessments – between 2 and 6 – so no moderation activities were carried out with these accredited providers in 2008. One of the PTEs was not moderated as they had excellent results from 2007
- these are the organisations that have reported credits for the unit standards that are listed in Level [number] and [number] of the [Named] domain
- organisations have participated in moderation by submitting an Annual Report as requested by AMAP [number] for the level [number] and [number] [Named] units
- pre-assessment moderation was conducted as part of the accreditation process for one PTE. Now accredited and a second whose application is still in process. The other accredited PTE has very low volume reporting in a specialist area
- the accredited ITO reports through an ITP and in 2008 registered outside the boundary equivalent unit standards so will discontinue use of this standard once transitioning to the ITO's reviewed qualification is completed
- [ITO name] was accredited in March 2008 and was also actively assessing the [Named] unit standards
- Wānanga [Named] are included in PTE figures. Suggest you include a category for Wananga in the future
- as at 31 May 2008.

***Appendix 4: Responses to Question 3: What were the criteria for selecting unit standards for national external moderation in this reporting period? (QAS ITOs 1.2.6 (i))***

**Table 7:** Main reason for selecting unit standards  
(see next page)

Type	Total Number of responses	Annual plan (cyclic)	Higher level	Lower level	Not previously moderated	High use	Identified issues	High risk	Compulsory (always moderated)	Other (please specify)
All TEOs including other ITOs	39	28	15	6	22	31	18	21	6	5
Schools	19	13	4	3	11	12	6	5	3	1

The following is a collation of comments on the reasons for selecting unit standards for national moderation in this reporting period, grouped by type.

#### Annual Plan

- an annual moderation plan is published every year and distributed in January to all TEO's and assessors actively assessing
- moderation is based on an Annual Plan with cycles every 3 years.

#### Higher Risk

- all four unit standards used by the larger PTE have been selected for moderation as they are of high credit value, are of greater risk, and highest number of assessments
- the [Named] unit standards are post moderated every year as this is seen as a high risk to industry.

#### Specifically Selected

- units were selected for each programme which resulted in different units at each provider due to difference in programmes offered
- practical related unit standards were chosen in each PTE moderation exercise
- also some selected so as to provide the opportunity to moderate an accredited provider that might have otherwise missed the moderation process
- all accredited organisations entered into a moderation agreement based on expected activity for the year, and consideration of previous activity
- in specialised areas where there may be safety issues (e.g. named), or where the standards are in a sector distinctly different from general named (e.g. named) we hold a moderation meeting for providers assessing against these standards
- units selected on the basis of use and industry risk.

#### High Use

- pre and post assessment are selected on high use, we also select a sample of any new unit standards.

#### Identified Issues

- unit Standards selected from identified Subfields.

#### Other (including combinations)

- a “Summary of [ITO name] Unit Standard Moderation Activity” is maintained in spreadsheet format to record details of all moderated unit standards. This record also helps in the selection of unit standards for future moderation rounds
- assessment for new and modified unit standards is moderated before use
- no schools were moderated as they had not reported any credits
- with the advent of these particular unit standards having been reviewed, [ITO name] have advised providers to alter their assessment material and have these pre moderated by [ITO name] prior to use
- frequently assessed unit standards at a higher level and/or of a higher ‘risk’ in terms of safety and/or quality were selected for moderation across the sectors that [Organisation’s name] manages. Where possible, the moderation sample included a mix of demonstrate knowledge and practical unit standards where more than one unit standard needed to be selected to represent the minimum 10% sample applied to all active organisations or assessors
- assessors are also selected for moderation according to the robustness and consistency of the internal moderation procedures of the TEO
- unit standards selected after consulting with accredited provider
- new Providers are moderated as they submit unit results, based on the quarterly result returns from NZQA to ensure they understand the unit requirements and are assessing to the national standard, and that the assessment materials are at the national standard
- unit standards selected for moderation via cluster group moderation meetings are selected by the accredited organisation. They are encouraged to bring those at the highest level being assessed against
- unit standards selected for moderation via other means are selected by:
  - highest level being assessed against
  - source of material used for assessment
  - high risk.
- additional moderation is done over and above this cycle if the units are deemed to be of a high level or high use and especially where organisations have shown to have serious issues in previous moderation outcomes
- all standards within previously registered versions of the three sector qualifications have been moderated over a five year period. 2008 completed the cycle. Focus for 2009 is some standards previously moderated but at those particular accredited organisations and on standards from the revised qualifications for the three sectors
- contact is made with each accredited organisation prior to the moderation cluster meeting. Moderation was based on the [ITO name] Assessment and Moderation Action Plan. This involved the providers completing post-assessment moderation and required each provider bringing to the workshop student material that had been assessed to ensure that it was to a consistent standard
- we ask TEOs to self-select unit standards for moderation that they found were difficult to assess or where the student sample was borderline, making the decision more difficult
- coverage of all active providers.

***Appendix 5: Responses to Question 4(a): During the reporting period, how did the ITO monitor national external moderation to ensure that the moderation decisions were at the national standard? (QAS ITOs 1.2.6 (ii), (v))***

**Table 8:** How ITOs managed national external moderation?

<b>Formal check moderation process</b>	<b>Informal peer review</b>	<b>Internal evaluation / review of moderation reports</b>	<b>Independent evaluation /review of moderation reports</b>	<b>Other (please specify)</b>
<b>22</b>	<b>23</b>	<b>32</b>	<b>11</b>	<b>4</b>

- monthly review of Moderation reports by Regional Moderators. Feedback from Moderation panels and Schools Moderator visits. Feedback from Regional Staff from site visits
- specialist Moderation panel in place for [ Named Qualification] Level [number]
  - regional workshops held for moderators to review current systems
  - trained moderators deployed to schools for Moderation Visits
  - central review Schools Moderation with all schools moderators involved.
- all moderators conducting site visits produced a detailed report. These reports were viewed by the National Moderator and the Industry Standards & Development Manager for appropriate action. Two moderators attend each site visit and this practice provides a peer moderation process
- [ITO name] conducted a self evaluation of the moderation system and establishes procedures as a result of this evaluation. Moderation forms were reviewed and changed where necessary. Procedures in requesting and reporting have also changed to suit providers and [ITO name] for 2009
- depending on identified need, approximately five percent of each moderator’s reports are check moderated. This work is carried out by National Moderators and in addition, an external moderator with NZQA experience is employed to check moderate a small sample of National Moderator decisions and provide them feedback. The Programme Quality Manager also reviews National Moderator decisions on an ad-hoc basis
- a National Moderation Panel (consisting of the National Moderator, [Organisation’s name] Education Trust National Training Manager, ITO Regional staff, Registered Workplace Assessors, tutors of Accredited Providers) meets annually to discuss and review moderation for the year; this includes the presentation of a report from [Name] the [Organisation’s name] Education Trust National Training Manager. In November 2008, the ITO brought the management of our accreditation/moderation system back in-house. [Name] was appointed as the new National Moderator
- all moderation carried out by peer review at cluster group moderation meetings are quality assured by the National Moderator
- pre- and post-assessment moderation is carried out by technical experts and quality assured by the National Moderator
- materials are moderated by [ITO name] moderators before they are submitted to other ITO’s and NZQA for External National Moderation. This ensures that the [ITO name] moderators are working to a national standard and is comparable to the other ITO’s. Any differences between the reports are then given back to the moderator concerned

- observations of a number of assessors doing assessments has been carried out by the National Moderator during the year and these will be continued
- we conducted regular provider support meetings with one of our providers this year. In 2009 we are undertaking similar meetings with all of our actively assessing providers
- moderation reports were completed showing whether moderation had been successfully or unsuccessfully achieved
- our process is a peer moderation process, whereby TEOs moderate each other's work. The outcome of peer moderation is then independently moderated by our National Moderator
- minutes of moderation meetings and moderation report promulgated by the National Moderator for the CEO.

***Appendix 6: Responses to Question 4(b): Does the ITO have processes to ensure feedback from the national external moderation activities is used in the ITO's review of its unit standards? (QAS ITOs 1.2.6(iii))***

**Table 9:** Whether ITOs have processes to ensure feedback used in review of unit standards

	YES	NO	NO RESPONSE
TOTAL	39	0	0

- the ITO has always had "Unit Standard Review" forms that are available to industry, trainees, assessors, moderators to comment on units. Since we have created more learner resources and assessments for our qualifications we have provided feedback forms with all of these resources  
we are also introducing "Gemini" which is a software system that will enable us to monitor and track feedback much more effectively and efficiently. This will provide full tracking capabilities and ensures those giving feedback will be notified of outcomes
- the [ITO name] has recently developed a database to record feedback collected from the moderation process against specific unit standards & domains. This feedback is then easily able to be retrieved to be considered in any review process
- information is passed to [ITO name] Qualifications Manager for incorporation into unit standard reviews  
issues are identified at monthly external Moderators meetings and forwarded by Quality Manager
- a summary record in spreadsheet format is maintained of the results of all moderated [ITO name] unit standards. This record will also indicate the unit standards that have yet to be moderated. If any feedback has been received relevant to the review of unit standards, a "yes" is recorded on the spreadsheet. The details of the feedback provided are recorded on a separate form "[ITO name] Annual Moderation Feedback Linked to the Review of Unit Standards." All feedback received directly contributes to the review of unit standards
- a questionnaire/feedback form was trialed during 2008 and will be introduced fully to all polytechnics in 2009. Relevant information is then forwarded to our Qualifications section. External moderation reports request feedback on the qualification, unit standards and resources from providers – this feedback is forwarded to our Qualifications section. Field moderators' feedback is forwarded to our Qualification section  
we have National and Regional Advisory groups established that provide feedback to our Qualification section

- the [ITO name] does supply copies of the moderation reports to our assessors
- [ITO name] seeks feedback by way of:
  - feedback forms for each assessment and assessment guide
  - feedback forms from all attendees at moderation cluster group meetings
  - forms available on the website.

feedback is also provided by workplace assessors, the National Moderator and Quality Assurance Manager

all feedback is collated for each unit standard and kept and used when the moderation system, the AMAP, unit standards and/or qualifications are reviewed. Feedback is also made available on [ITO name]'s website if it affects current unit standards or assessments

- the Moderator is part of the ITO review panel
- the National Moderation panel for the [ Named Qualification] [Named] reports back to [ITO name] and the TEOs involved
- all Moderation reports are examined for constructive feedback for unit standard review or best practice suggestions
- all moderation reports are summarized into an annual moderation report and issues regarding individual standards are identified for Industry Advisory Groups
- since the NZQA Audit in 2006 [ITO name] has adopted a formal process of ensuring that results from moderation that effect unit standards are passed to the Qualifications Development Team for consideration. These considerations are dealt with when specific unit standards are reviewed
- the [ITO name] has a standard form produced and used by all NEMs. This form is referred to as the unit standard feedback form as a result of moderation. This form allows the moderators to feedback comments to the qualification development team for unit standards in the review process
- queries concerning unit standards, clarity, level or credit value are filed and used as unit review time. If the query relates to Health and Safety or governing regulations then the unit would be reviewed forthwith
- any identified problems/concerns about a unit standard (or of the assessment material being used) is reported back and recorded in [ITO name] data base file for consideration in future review work
- each Unit Standard has a file solely for the purpose of capturing comments on the unit standard, any comments are then taken into consideration at the Unit Standard Review. Assessors are notified by email of any interim actions through practice notes which are also posted on our website
- findings from moderation are integrated into unit or qualification review as required. This process ensures the outcomes of moderation are formative and not largely summative
- moderation reports, trainee evaluations and national certificate completion surveys are reviewed and analysed to gather information to prioritise and inform reviews all contractors, external clients and [ITO name] staff are encouraged to provide feedback at any time by completing a Development and Amendment Request Form and this information is also collated to inform reviews  
assessors and providers are always represented in industry advisory panels for unit standard and/or qualification reviews
- the Nationals Quality Assurance Manager reports to the [ITO name] Qualifications Advisory Committee
- participants at the workshop are made aware of the unit review forms on our website, and at the back of each Assessment Guide and Training Guide

- feedback forms are filled in at moderation cluster group meetings. Question 5 on the feedback form specifically seeks information for the purposes of unit standard review, *Are there any [Named] unit standards that you believe need reviewing? (please provide the unit standard number & your comments)*. This information is collated and sent to [ITO name]'s Qualifications Manager for action
- relevant information is uploaded to the [ITO name] database for review. Actions may be immediate or form part of a later planned review
- moderators note any issues on the moderation form and the issues are recorded against the relevant unit standard and considered when the unit standard is reviewed
- comments and discussions on points raised; with standards amended accordingly if raised points are valid and relevant
- the National Moderator records information obtained during moderation about unit standard issues and provides this information to the [ITO name] Qualifications team to use in the unit standard review
- the [ITO name] training co-ordinators of each industry are responsible for the review of the unit standards within their sector. The moderators prepare an annual report and this information is passed onto the respective training co-ordinator and the advisory groups
- all assessors, training establishments, Polytechnics and employers are contacted on a regular basis advising of reviews and seeking their input to ensure that unit standards and qualifications are relevant and continue to meet industry needs. An integrated moderation plan has been prepared for the next 3 years and a copy is available if required
- feedback recorded and is used in the review process
- the National Moderation report submitted to the Chief Executive by the National Moderator outlines key issues arising from moderation for inclusion with any unit standards review. This input is always included in our unit standard review meetings. Our unit standard review policy confirms this process
- feedback from moderation is recorded on a spreadsheet for use in unit standard and qualification reviews  
major and/or common issues with standards are discussed at annual moderator meetings  
tutor/assessors at contracted providers are trained in the use of the report back forms available on the ITO's website
- all national external moderation reports are scanned and filed  
the content of these reports is used in the unit standards and qualification reviews
- notes are kept by the moderator documenting inconsistencies, overlaps etc for unit standards and is passed over to the Qualifications Manager
- moderators Report is the formalized feedback mechanism for the QA Manager and Qualifications group on any issues from moderation reports and any changes to the national standard, issues with assessment materials and any recommendations for unit standard review. Assessor workshop meeting feedback, QA meetings or Moderation meetings feedback
- moderation report templates include a page for identifying unit standard review items. Each sector holds quarterly advisory group meetings and can provide feedback via the relevant Sector Manager  
moderation visits, verbal feedback can be provided  
unit standard review letters and meetings that are conducted provide a forum for anyone to provide feedback  
assessors, providers, trainers and learners can provide feedback at any time as noted on the bottom of each unit standard and/or qualification

- feedback collected, reported and recorded in the [ITO name] Database. we run reports regularly and feed this into Unit reviews managed by the [Named ITO] Product Development Team
- during a recent review of unit standards in 2008, the independent national moderator contracted to moderate accredited organizations was invited to contribute feedback to the review by participating in an online survey. All three accredited organizations were a part of the industry advisory group that worked with the [ITO name] and [Named] sectors to review its units. The external moderation activities in 2008 contributed to this
- feedback from the moderation process is documented in moderation meeting minutes and taken into account when unit standards are reviewed
- feedback forms as well as informal feedback from moderators, assessors and other users of unit standards and assessment materials  
feedback is registered and tracked by the Qualifications team
- issues raised at moderation meetings and at other times are reported for action at unit standard reviews
- feedback to providers was summarised by the moderator and passed onto the technical writer responsible for the review of unit standard and qualifications. This information along with any moderation responses received from providers will be used to inform the scheduled 2009 review project.

### ***Appendix 7: Responses to Question 5(a): What types of non-compliance with national external moderation were identified by the ITO?***

#### **Competency/ Training (in assessment)**

- there was a marked improvement identified through the external moderation process for schools in 2009. Twelve schools had no non-compliance issues identified. The main areas of non-compliance identified were: no evidence of internal moderation; and inconsistent use of their assessment model  
the main non-compliance issues with PTEs were: no evidence of internal moderation; inconsistent use of their assessment model; and no clear evidence of re-assessment taking place. Of all the PTEs moderated in 2008, two had no non-compliance issues identified  
polytechnics had quite a range of non-compliance identified. The majority of these issues were: no evidence of internal moderation / peer review processes; insufficient evidence submitted to verify assessors' judgments; resources and assessment material not meeting the requirement of the unit standard; and the lack of recording of outcomes of either competent or not yet competent
- assessment tasks not fully covering the unit standards requirements
- failure to develop marking guides
- failure to address the requirements of the unit standard elements and special notes
- inadequate assessment documentation provided
- old issues of [Organisation's name] material being used for assessment
- assessor decisions not being at the national standard (ie incorrect and/or inadequate responses being accepted and the candidate still deemed to be competent)
- summary of oral responses not being recorded
- assessment decisions not at the national standard
- insufficient evidence provided to support the assessment decision

- assessments needed to be updated to meet the requirements of the latest unit standard version
- a need for a provider to address shortfalls in moderation around sufficiency and validity of evidence
- insufficient evidence
- as in previous years, there is an ongoing problem with providers failing to engage with the moderation system prior to undertaking assessment
- use of older versions of standards, assessment materials not meeting unit requirements, lack of evidence / judgment guides, lack of model / sample responses, lack of assessment tools
- non-compliance with the moderation system, e.g. non-participation in national external moderation
- non-compliance with the national standard, e.g. assessment material and / or assessment decisions not at the national standard
- the Annual Report for Level 1 and 2 units in the [Named] domain was not received by the majority of users of the applicable units. A reminder is not generally issued for this report as it is clearly stated in the AMAP of the units concerned and it is also specifically covered in detail when accreditation support for the units is provided
- some assessors have not met postal moderation for a number of minor reasons and these have been communicated to the assessors concerned
- assessment plans and materials not supplied in a timely fashion
- assessment materials and assessment decisions not at the national standard
- required changes to assessment material not effected by due date or action plan to address provided
- protocols for site visit moderation at one accredited organisation not understood so reporting lines and responsibilities not followed
- no materials received, evidence not recorded, sufficiency requirements not met
- assessment materials not received or incomplete assessment materials received. Lack of assessment schedules with evidence and judgement statements. Insufficient trainee evidence and assessor judgements that don't meet the national standard
- assessors not assessing to the standard
- assessment activities not meeting the standard
- no sample or model answers provided
- no evidence of pre-or post-assessment
- no evidence that work is authentic
- assessors/observers not completing all paperwork
- sufficiency of evidence provided (written feedback, authenticity checked and noted, inadequate assessment plan)
- lack of feedback conveyed and recorded to candidate
- levels and content of unit standard not adequately considered
- inadequate material provided for robust moderation
- poorly written resources that don't relate explicitly to the unit standard
- organisations (including sub-contractors) not attending or replying to moderation request
- there was one instance where moderator's consistently found the assessment practices of one organisation were not meeting requirements
- there were other less serious instances of assessment practices not meeting requirements
- non-submission
- late submission

- insufficient evidence collection
- materials that don't meet the national standard (due to non-compliance with AMAP requirements)
- assessment decisions did not meet the national standard
- assessment schedules unclear
- assessment below the National Standard
- lack of evidence provided

## **Systems**

- failure to send material in for moderation
- poor/lack of documentation
- poor/incomplete recording of assessments
- poor/lack of evidence relating to assessments
- failure to adhere to special notes
- failure to record evidence sufficiently
- lack of, or minimal, feedback to trainees
- minor amendments were required in pre-moderation of material before use
- there were 10 instances of non compliance identified during the year. In each case these were followed up with personal visits by a Moderator or the organization contacted direct. The main problems were failing to supply samples for moderation.
- [ITO name] now has three field moderators who visit TEOs and observe "live assessment" or sit down and discuss moderation issues. This service has improved the non compliance problem
- failure to supply material for pre-assessment moderation
- failure to record evidence sufficiently
- lack of pre moderation of assessment material by providers
- most providers produce assessment tools that are fit for purpose. However it is the individual assessors that don't comply with best practice in assessment, and as a result let the organisation down
- not submitting assessment materials for moderation as requested
- using invalid materials for assessment (ie materials were not submitted for pre-assessment moderation and approval before use as required by [Organisation's name]'s AMAPs)
- non compliance of TEO's of the AMAP, particularly regarding assessors qualifications and experience
- non return of Assessment Intention Plan (AIP) form
- non compliance with AMAP criterion 7i – provider developed material must be pre-moderated by [ITO name]

## **Meetings and Timelines**

- small number of provides slow to provide material requested within deadlines
- non-attendance at moderation workshops
- providers who did not resubmit material if they did not meet moderation requirements at the workshop
- return of AIP form and subsequent non attendance at nominated moderation cluster meeting
- notification of inability to attend moderation cluster meeting and subsequent non return of assessment material for postal moderation by date set

- significant time delays were experienced in receiving assessment samples from accredited providers
- where materials were found to not meet the national standard, sometimes the follow up resubmission of the amended materials by the organisation/provider took too long

## Other

- no non-compliance issues arose during the moderation process
- schools not allowing sufficient time for work experience
- no significant non compliances
- each unit standard submitted by providers was respond to at levels.

Level 1 had three sections

Section one categorised the documentation under the following four headings: (only one is marked)

1. meets moderation requirements
2. acceptable with recommendations
3. unacceptable with recommendations
4. requires urgent attention.

Section two noted whether the following information was clearly identified (all that apply are marked)

- unit standard No
- version number
- unit standard Title
- level of Unit Standard
- number of Credits.

Section three noted whether the following information was covered (all that apply are marked)

- special notes
- range statements
- judgment statement.

Level 2 addressed the areas of non-compliance noted in section one and offers general comments a suggestions which might assist the provider to remedy areas on non compliance noted in section one.

***Appendix 8: Responses to Question 5(b): Does the ITO have formal documented policies and processes for following up an accredited organisation's non-compliance with national external moderation (eg participation in national external moderation, assessment decisions not at the national standard)? (QAS ITOs 1.2.6 (ii))***

**Table 10:** Whether ITOs have documented policies for following up non-compliance

	With	Without
Total	36	3

- the [ITO name] Quality Systems Manual (QSM) has been fully updated and expanded following the NZQA Focussed Audit during April 2006. In the event of any non-compliance, the [ITO name] will provide the assessor with a written account of the concerns. A follow-up meeting will be arranged to discuss the issues face to face and to negotiate an Action Plan. The Action Plan will be fully documented and will be monitored to ensure compliance. In the event of lack of co-operation, the [ITO name] will de-register the assessor
- QMS Micro 10.5
- manage Non Compliance Issue Process
- set out in AMAP. Written report is provided to the accredited provider and follows up if required
- these are under review with a new version of the AMAP registered in 2009. The ITO will make early contact with the QABs
- where non-compliance is identified, the Moderator will provide details in writing to the accredited organisation. Required corrective action will be explained on an action plan form and the time frame for compliance given. During this period [ITO name's] Moderator will be available to provide guidance surrounding non-compliance. If non-compliance continues [ITO name] may request a Moderation visit
- providers are asked to resubmit documentation or offer an alternative (such as using approved material from the ITO or another provider) due to the contract nature on Moderators used by the [ITO name] this course of action may not be completed within the period contracted. Moderation reports are kept on file and if an annual process has not been completed it would be picked up in the next annual cycle.

***Appendix 9: Responses to Question 5(c): What follow up was carried out on accredited organisations that were non-compliant with national external moderation requirements (eg participation, assessment decisions not at the national standard)? (QAS ITOs 1.2.6 (i) (ii))***

**Table 11:** Follow up carried out on accredited organisation performance issues identified by national external moderation

Total Responses:	36
Moderation additional to the ITO's moderation plan <sup>3</sup>	20
Notification to the organisation of their identified non-compliance, including consequences of ongoing non-compliance	29
Establishment and notification of actions and timeframes necessary to achieve compliance	23
Issue referred to NZQA (Provider Registration and Accreditation (PRA) for further action.	2
Issue referred to Institutes of Technology and Polytechnics Quality (ITP Quality) for further action.	3

## **Additional moderation**

- panel/cluster group members identify the requirements for changes/ amendments at each meeting. The provider is advised the requirements in terms of resubmission of reassessed work, requirement for more samples or re-moderation
- moderation visits to further investigate instances of non-compliance and set up action plan to address issues
- in the instance where moderator's consistently found the assessment practices of one organisation were not meeting requirements, the ITO arranged one day visit to the provider to ascertain the reasons for the non-compliance and an action plan was put in place  
in other less serious instances of assessment tools not meeting requirements the providers were asked to revise the tools and send to the ITO for moderation
- in circumstances where an organisation was found to have serious and repeated non-conformance, face to face and phone meetings were held with the designer of the assessment materials to give assistance until all issues were resolved. These cases are specified in the moderators Annual Report.

## **Communication with providers**

- personal visits to TEOs arranged by Regional Moderation Staff
- the schools were advised through the moderation reports and agreed action plans put in place
- discussion with industry representatives regarding technical standards
- [Organisation Name] ran provider workshops in [City], [City], [City], and [City] which focused on the improvements to the system and meeting moderation requirements. More are planned for 2009 as the feedback from these workshops was excellent and providers who did not/could not attend, have requested that [Organisation Name] repeat this process. Attendance to these workshops was considered to be an action necessary to achieve compliance for some organisations
- in addition some follow-up moderation visits have occurred and these will also continue on an ongoing basis
- in all cases the provider has either acknowledged deficiencies with a view to correction, or supplied further evidence to meet moderation requirements
- CE to CE discussions to determine causes of non-compliance and remediation measures
- with previously contracted provider's adjustment to contracted provision
- planning of training conducted in 2009 on new common assessment materials including up-skilling/refresher on best practice assessment
- while some of these actions are outside the moderation focus action within the broader context is needed to ensure better compliance in the context of reviewed qualifications and a transition period where the new Common Assessment Tasks will be used as well as accredited organisations' own assessment materials sometimes by the same tutor/assessor with candidates enrolled for different versions of the same qualifications
- informal feedback given, formal letter to be written.

## **Other**

- assessment tasks to be supplied to ITO for moderation before use
- the Moderation Appeals process allows organisations to appeal the findings of moderation if they believe there are grounds to. This process is a TEO driven method

for the follow up of non-compliances. The non-compliance is further investigated through resubmission and re-moderation of documentation. A number of appeals have been upheld by the National Moderator for the period 1 January 2008 to 31 December 2008. An equal number have been declined and the organisation consulted with to improve understanding of requirements

- no serious non-compliance experienced. Follow up actions (letters and phone calls) resulted in compliance
- in the worst case that we have, we are actively working with the organisation to get their materials to the national standard, virtually walking them through each step of the development / design process
- the independent national moderator provided the ITO with a moderation report showing the units that were moderated, and moderated unit standard assessment compliance that needed to be completed before the end of the year. The providers were requested to complete their assessment changes and resubmit them to the moderator for completion before the end of the year. All three accredited organisations were compliant with national moderation requirements
- not yet but is a formal process
- as noted in the Organisations by Accreditation Item - 02/12/2008 on page 3 there were 4 active accredited providers all of whom submitted samples for moderation. Of the four providers two are closing their [named] schools and are not expected to be assessing unit standards within the [ITO Name] scope of standard setting responsibility of the two providers remaining active one was highly compliant and the quality of their documentation commended by the National Moderator the other has a significant number of issues and is likely to adopt assessment material developed and pre assessment moderated by the [ITO Name]. Given that both active providers are contracted by the [ITO Name] to deliver training and assessment services communications. Resolutions relating to any outstanding issues will be managed as part of that process.

***Appendix 10: Responses to Question 6: Did the ITO monitor that the national external moderation system was operating as planned during the reporting period? (QAS ITOs 1.2.6 (ii), (v))***

**Table 12:** ITOs who monitored their national external moderation system was operating as planned

	Monitored	Did not monitor	No response
Total	39	0	0

- we are always monitoring our actual moderation activity to our plan consultation between the National Moderator & the contractor employed to carry out the moderation throughout the moderation process. The National Moderator also reported back to the ITO Chief Executive on the moderation process at the completion of the cycle issues are raised at monthly External Moderator, and Quality Systems and Qualifications meetings and at bi-annual moderation review meeting
- meetings took place between [ITO Name] and the National Moderator, ensuring common understandings and expectations

- this ensured that the requirements of the Quality Management System and the AMAP were being adhered to
- monitoring and analysis of actual moderation events undertaken against moderation targets
- there is ongoing monitoring of moderation activity against the moderation plan, which is discussed at team meetings
- a copy of all meeting minutes and moderation decision sheets are provided to the quality [ITO Name] Quality Assurance Manager and the National Moderator. Discussions occur to ensure that there is compliance with annual plans and the five-year cycle
- monitoring what is happening against the annual moderation plan. Informal management meetings
- monthly checks made on moderation activities complete vs outstanding
- an audit was conducted by an external contractor to review the moderation system
- monitoring of the annual moderation plan was conducted in 2008
- the monitoring of the national external moderation is an ongoing process. As there was a change of staff in 2008 procedures were reviewed in consultation with the national external moderators (NEMs)
- the moderation annual visitation plan is considered and signed off by the [ITO Name] Board at the beginning of each year
- ongoing quarterly evaluation of expected assessments (identified in moderation agreement) against actual. Where significant changes in expected assessment took place, providers were asked to submit additional samples
- the ITO carried out an internal review of its moderation procedures resulting in some recommended changes for 2009
- this is reviewed at least monthly at Programme Quality team meetings, and annually at a meeting specifically designated to review the moderation system
- annual review of the National Quality Assurance Manager
- the ITO met with [Name], the [Organisation Name] [Named] National Training Manager, and ITO field staff to discuss the moderation workshops, and oversee the moderation system. Following our annual Staff Seminar in November, the ITO brought the management of our accreditation/moderation system back in-house.
- the national external moderation system was reviewed in 2008 under an arrangement called the [Named]. The [Named] alliance saw three ITOs agree to develop a new workflow system for the management of their national external moderation systems in the form of a database called ITOMIC. A number of meetings were held to analyse the mechanisms of the current national external moderation systems at [ITO Name], the [ITO Name] and [ITO Name]. There were a number of processes redesigned to accommodate the workings of the three ITOs and negotiations are ongoing to come to consensus about requirements for 2009. Until the ITOMIC system is fully operable each of the three ITOs will continue to use current systems
- monitoring tools used; provider feedback, spreadsheet, [ITO Name] database and NZQA quarterly traffic reports
- we monitor what actually occurs against our planned moderation for the year
- reviewed on a quarterly basis following each round of moderation
- monitoring was done through Quality Assurance Team meetings and at management level
- regular meetings with the moderators and other meetings with the CEO and [ITO Name] Training Co-ordinators were held to ensure that the external moderation system was fulfilling its requirements. Improvements are constantly being discussed and implemented throughout the year. Quarterly meetings are held with the Projects Co-ordinator to ensure that the selection of organization's for moderation are done

fair and accurately

- the ITO Board and Chief Executive carried out a review during the period and from this has evolved the Integrated Moderation plan for the next 3 years
  - regular liaison with National Moderator and meetings with providers
  - [ITO Name]'s Quality Systems Manager monitored the progress against the Moderation plan for 2008 throughout the year. The National Moderation report included notes on progress throughout the year
  - reports were provided for the CE and Board for the annual report
  - the moderation undertaken during the period is entered into a moderation operational grid. This grid details dates, unit standards, accredited TEOs and assessors to be moderated. The completion of this grid quickly ensures that the moderation system is operating to the plan
  - the QA team frequently monitors our systems and processes. We have also had a new moderator come on board in the last couple of months which has helped us to ensure continuous improvement occurs
- system-meetings/match up with AMAP review/ action plan follow up
- updating of AMAP to reflect current practice
  - external moderation activities were conducted by an independent national moderator with the oversight of the [ITO Name]
  - the system is centralized at the ITOs national office and all planning and monitoring is carried out by national office staff
  - ongoing tracking of moderation submissions, results, budget and other compliance requirements
  - reports promulgated by sector moderators were reviewed by the National Moderator who then reported to the CEO
  - an omission by management to appoint a National Moderator at the beginning of 2008 resulted in providers not being notified of the standards selected for moderation in 2008. With the appointment of a new Chief Executive Officer at the ITO in July 2008 and a subsequent review of policy and processes this omission came to light and a national moderator appointed in the 4<sup>th</sup> Quarter 2008
- results submitted to NZQA in the first three quarters of the year were analysed with 20 unit standards being assessed during the period, seven of these had been moderated in the past two years. Based on high use unit standard (assessed by all four active providers) a cross section of theory and practical unit standards were identified for moderation
- providers were asked to submit all assessment materials used in assessing students for the following [Named Standards]:
- it was highlighted that assessment material should include clear evidence and judgement statements
- these four unit standards equated to 25% of all assessment results lodged in 2008
- providers were also asked for a brief report outlining their internal moderation activities relating to the [ITO Name] unit standards, and specifically the unit standards as highlighted above.

**Appendix 11: Responses to Question 7(a) (i): Has the ITO reviewed its national external moderation system(s) this reporting period? (QAS ITOs 1.2.6 (v))**

**Table 13:** Date when ITO will review its system(s)

	2009	Ongoing	Other
Total	3	1	2

**Table 14:** ITOs who have or have not reviewed their national external moderation systems

	Yes	No	No response
Total	33	6	0

**Table 15:** Review methods used to determine the effectiveness of the national external moderation system

	Stakeholder consultation	Formal review meeting	Informal review meeting	External evaluation	Other
All TEOs Including other ITOs	16	8	24	5	0
Schools	4	4	5	1	0
Industry	16	9	20	4	0
Other	2	5	10	1	3

**Appendix 12: Responses to Question 7(a) (ii): If no, when will the ITO review its system(s)?**

- currently under review
- as a result of the NZQA Focused Audit during April 2006, the [ITO Name] totally reviewed the National External Moderation system. It does not require further review at this stage
- during 2009 following appointment of new National Moderator

- our external moderation is contracted out to [ITO Name]. We have meetings as required to discuss any problems that may have arisen from moderation
- it is clear that the [ITO Name] (through workplace assessors) and two Tertiary Education Organisations will be the only active entities assessing [ITO Name] unit standards in 2009 and the short/medium term future. These organisations will cooperate to review and develop a clear moderation strategy for the sector. The [ITO Name] is reviewing all sector unit standards and qualifications in 2009 and the parallel development of assessment material/guidelines is an integrated component of this process
- the processes needs to ensure regular review and consistent interpretation of all material relating to the assessment of the new and reviewed unit standards and will include a hybrid of all the methods outlined below. The small number of Tertiary Education Organisations involved will streamline the process with accredited non active Tertiary Education Organisations consulted as appropriate in the process.

***Appendix 13: Responses to Question 7(a) (iii): If yes, what review methods were used to determine the effectiveness of the national external moderation system(s)?***

**Table 16:** Review methods used to determine effectiveness of national external moderation system

type	Total responses	Stakeholder consultation only	Formal review meeting only	Informal review meeting only	External evaluation only	Other only	Other(please specify) combination
All TEOs Including other ITOs	30	3	1	8	1		*Stakeholder/Informal:7 *Stakeholder/Formal:1 *Stakeholder/Informal/Formal:3 *Stakeholder/Informal/External:1 *All except other:1 *Formal/Informal:2 *Informal/External:1 *Informal/External/Other:1
Schools	11	3	2	3	1		*Formal/Informal:1 *Stakeholder/Informal/Formal:1
Industry	27	3	2	6			*Stakeholder/Informal:7 *Stakeholder/Formal:1 *Stakeholder/Informal/Formal:2 *All except other:2 *Formal/Informal:2 *Stakeholder/External:1 *Informal/External:1
Other	13		1	4		1	*Informal/Other:2 *Stakeholder/Other:1 *Stakeholder/Formal/Informal:1 *Stakeholder/Formal:1 *Formal/Informal/External:1 *Formal/Informal:1

- review of total organisation policies and procedures undertaken during second half of the year
- a review by an external contractor was conducted
- a formal review meeting on April 9<sup>th</sup> raised discussion on how services would be organised, the currency and suitability of forms, and the value of providing feedback with a collaborative intention

- the [ITO Name's] procedures and processes were discussed at the [Named] meeting. Now that pre-moderation of scripts is undertaken the Tutors unanimously validated the [ITO Name] processes
- attendance of ITO staff at [Organisation's Name]
- sector advisory group meetings held for the amenity, viticulture, floristry & floriculture sectors
- National Moderation Panel meeting was held 01/08/08
- staff seminar was held November 2008 to discuss the ITO's moderation system
- contractor appointed in August to develop new QMS, and write policies & procedures for assessment & moderation
- as explained under point 6 above, the [named] alliance is a form of external evaluation from two other ITOs
- new qualification and assessment techniques require new moderation skills
- feedback from moderators, industry representatives and providers
- consultation with other ITOs
- [ITO Name] has undertaken an internal review of its moderation system and is in the process of implementing those changes
- review of data management systems
- review of policy & procedures
- changes to the reviewed AMAP are a consequence of review of moderation outcomes and processes. Feedback from moderators and the Registration Board combined with the ITO's own analysis of its capability for increased moderation activity with reviewed and new qualifications in the portfolio together with the complexities of dual – funding systems provisions as Gateway programme was prepared for '09 both individual schools and consortia of Gateway co-ordinators were consulted on methods of assessment most convenient and able to deliver consistent outcomes at the national standard. Moderation processes were developed to meet this
- introduction of summative assessment into distance learning materials from 09 required new moderation skills to be developed
- introduction of workplace verification to sector qualifications and transitioning candidates in specialist qualifications required new moderation skills to be developed and the ITO sees the cluster group sector-specific annual moderation meetings in the reviewed AMAP as a vehicle to upskill assessors in the more complex evidence-gathering and evaluating required
- consultation with moderators
- internal – Senior Management
- internal review between ITO staff
- experience learned from past moderation process
- review of AMAP
- polytechnic Consortiums
- programme quality annual moderation review meeting
- trade specific moderators
- input from assessors and moderators
- new AMAP submitted
- provider workshops
- active organisations.

**Appendix 14: Responses to Question 7(b) (i): Has the ITO reviewed the Moderation Information (MI) section of its AMAP(s) this reporting period? (QAS ITOs 1.2.6 (i), (v), (vi), (vii))**

**Table 17:** ITOs who have or have not reviewed the moderation section of their AMAP

	Yes	No
Total	20	19

**Appendix 15: Responses to Question 7(b) (ii): If no, when will the ITO review its AMAP(s)?**

**Table 18:** Data when ITO will review its AMAP?

	2009	2011	2012	Ongoing	Other
Total	10	1	3	3	2

- the [ITO Name] has reviewed its AMAP and NZQA have approved and registered its latest version
- full review to take place in 2009 for AMAP ref 0052
- 2009
- second quarter of 2009 as part of total Policy and procedure review
- 2012
- schools moderation will be reviewed in 2009
- very shortly, once the last of our unit standards from the review are re-registered
- the AMAP is presently undergoing a review and will be submitted for registration during 2009
- under review now(2009), [Name] and [Name] met with NZQA staff on [Date named] 2009
- version 4 of [Named] AMAP [number] was registered in September 2008. The AMAP will be reviewed again in 2012
- 2011 or sooner
- 2012
- this is considered annually but no set review pending for current year
- during 2009 following appointment of new National Moderator
- the AMAP will be reviewed when the unit standards and qualifications are reviewed in 2009
- 2009
- 2009
- during 2009.

**Appendix 16: Responses to Question 7(b) ( iii): If yes, what review methods were used to review the MI section against the NZQA Criteria for Approval and Registration of National Qualifications Framework (NQF) Accreditation and Moderation Action Plans (AMAPs)?**

**Table 19:** Review methods used to review MI section of AMAP

type	Stakeholder consultation	Formal review meeting	Informal review meeting	External evaluation	Other
All TEOs Including other ITOs	13	7	17	4	4
Schools	1	1	1	0	1
Industry	10	4	14	3	2

**Table 20:** Review methods used to review MI section of AMAP

Type	Total responses	Stakeholder consultation only	Formal review meetings only	Informal review meetings only	External evaluation only	Other only	Other (please specify) combination
All TEOs including other ITOs	18	0	0	3	0	0	*External /Other:1 *Stakeholder/Formal/Informal:2 *All except Other:2 *Formal/Informal:3 *Stakeholder/Informal:3 *Stakehodler/Formal:1 *Stakeholder/Informal/Other:2 *All except Formal:1
Schools	3	1	0	0	0	1	*Formal/Informal:1
Industry	17	2	0	4	0	1	*Stakeholder/Formal/Informal:2 *All except Other:1 *Formal/Informal:1 *Stakeholder/Informal/External:1 *Stakeholder/Informal:3 *Stakeholder/Informal/Other:1 *Informal/External:1

- we self evaluated our moderation processes in 2008 using a consultant in the “six sigma” realm. This gave us some good learning’s into streamlining some processes. We are also looking at enhancing technology better to ensure our moderation system is as efficient that it can be
- all [ITO Name] AMAPS have been reviewed and will be submitted to NZQA Framework Registration in March 2009
- a review [ITO Name] AMAP [number] was submitted to NZQA for evaluation during December 2008. The [ITO Name] has received an evaluation report, The recommendations in this report are presently being auctioned and will be re-submitted to NZQA shortly
- the reviewed AMAP 0048 version 4 was registered February 2008

- the national external moderation system was fully reviewed in 2008 due to the number of new qualifications and unit standards being registered. Ongoing review will continue in 2009 to ensure that all aspects of moderation align with the revised AMAP 0024 which was submitted to NZQA in 2008, but is pending formal confirmation of approval (interim notification of approval for registration has been received). An external contractor was appointed to assist with revision of the AMAP, in order to provide an external perspective to a document which had largely been revised “in-house”
- an external contractor brought in to review the AMAP and submit for approval to Framework Registration. The new moderation system was checked to ensure consistency with the new version of the AMAP
- there was a consultation plan set in place and conducted by the Quality Assurance Manager. Industry representatives were appointed to a consultation group for the purposes of reviewing the AMAP. The AMAP review was completed in June 08. Version 7 was submitted to NZQA for evaluation. This evaluation has been completed by NZQA, however [ITO Name] is now required to submit further clarification of its content
- the AMAP is presently undergoing a review and will be submitted for registration during 2009
- we engaged a specialist Quality Consultant to work with us and our advisory groups to review our moderation systems, QMS and AMAP
- the [ITO Name] has reviewed the AMAP 0020 and this is now re registered on the framework
- version 5 of the AMAP (including MI) was initially submitted for registration in 2006, however, was further improved during 2007  
the largely informal review took the form of stakeholder consultation. For example, [ITO Name] personnel, moderation experts, providers and other ITOs
- [ITO Name] has also carried out an internal review of its moderation processes which occurred along side the review of our AMAP, changes are currently being implemented
- [ITO Name] is formally reviewing its AMAP in 2009 and will be reported on in the 2009 External Moderation report to NZQA
- stimulus for review of the MI section of the AMAP included industry and Registration Board impatience with the corrective action from moderation reports. This influenced the increased Capability of the SSB to ensure fuller coverage and follow up from the reviewed AMAP MI section
- the ITO completed a review of its AMAP in 2008. [ITO Name] engaged in the services of a consultant to assist in writing the AMAP. Stakeholder consultation with accredited organizations and other key stakeholders was completed in 2008.

***Appendix 17: Responses to Question 8: What were the 3 most successful features of the ITO’s national external moderation system within this reporting period? (QAS ITOs 1.2.6 (ii), (v))***

**Assessment**

- Feature: Accreditation Rationalisation.
  - Why? In order to reduce the number of accredited organizations in [Field] and hence reduce some moderation activity we contacted those that had not reported any usage for over two years and asked if they wanted there accreditation removed. We had around 25 providers indicate that they wanted it removed. It was a small win but we will continue to do the exercise each year.

- Feature: Widespread use of [ITO Name] prepared & pre-moderated assessment resources.
- Feature: Trialing the benchmarking of practical assessments against unit standard [number] use standards to assess candidate performance. The results were then entered into a spreadsheet to obtain a bigger picture overview of the standard of assessments being conducted at a national level.
  - Why? Enabled the ITO to identify strengths and weakness of both the assessments being undertaken and the benchmarking process. It is planned to make some improvements on this procedure and roll out to all IPT moderations in 2009 and release a general report to all who participate including [Organisation Name].
- Feature: Observing that revised material that has been pre-moderated has significantly improved the assessment of the unit standard.
  - Why? Consistently in quality assessment practice is the intention of the moderation process.
- Feature: Observing the practical assessment of trainees.
- Feature: [ITO Name] Best Practice Quality Mark.
  - Why? Allows providers to identify good assessment and moderation practices and benchmark this with other providers. This has created a competitive environment for providers to wish to excel in internal moderation practices.
- Feature: Use of ITO Common Assessment Tasks by providers, particularly schools.
  - Why? More consistent assessment and marking, less variation between providers at moderation.
- Feature: An increase in the % of assessment samples found to contain sufficient evidence.
  - Why? As a result of increased understanding by assessors the % of samples presented at a cluster group found to contain sufficient evidence to support the assessment decision increased from 53% to 78%.
- Feature: Pre Assessment.
- Feature: Encouraging moderation results from an [Organisation Name] new to assessment of our standards.
- Feature: Good opportunity to review and clarify level descriptors.
  - Why? To ensure consistent best practice assessment.
- Feature: Review of Pre-assessment materials.
  - Why? Ensures close match between industry expectations and standards of performance.
- Feature: Using a retrospective selection process has cut down on the to-ing and fro-ing between ITO and provider. This means that we only call assessments for moderation that have actually taken place.
- Feature: Increases in the number of quality assured pre-assessment moderated assessment materials.
  - Why? Strong links between the ITO and providers, in particular polytechnics delivering and assessing [ITO Name] unit standards.
- Feature: The coverage of theory and practical unit standards in the moderation mix.
  - Why? Only six or 27 unit standards in the domain of [ITO Name] are theory based this can and has altered the balance and coverage of practical and theory unit standards in subsequent years. A pure numerical cycle ensuring coverage of all units over a specified number of years is not necessarily an ideal solution for the [ITO Name].

## Moderation Systems

- Feature: Use of on-line Assessment Intention Plan – allows providers to input information at the start of the year, and allows for better workload management for External Moderators.
- Feature: Combination model – Site visits and Assessor group meetings.
  - Why? Has helped determine future moderation rounds.
- Feature: Combination of assessors and providers being moderated at the same time using post-moderation by post.
  - Why? With both groups being moderated at the same time, the ITO is able to quickly identify any problems that may arise. It also gives the ITO a direct comparison of assessments.
- Feature: TEOs given opportunity to engage in ITO planning of moderation. Systems were compared and a better understanding of each other's needs agreed.
  - Why? [ITO Name] and their dependant TEOs were able to work together better.
- Feature: Responding quickly to issues found in moderation.
  - Why? Delays in responding to issues results in the continuation of candidates being assessed poorly.
- Feature: Pre-visit moderation of marked scripts.
- Feature: More formal moderation agreements, meaning improvement in meeting submission deadlines.
  - Why? We have been taking a more proactive approach over all, and reducing unnecessary compliance, to enable more continuous improvement
- Feature: The moderation appeals facility.
  - Why? The appeals procedure allows TEOs to initiate discussion about current practice and this has been largely a positive experience for those who have used the facility.
- Feature: Check moderation.
- Feature: Use of [ITO Name's] relational database to manage the administration of the moderation system and record keeping of moderation activities and outcomes.
  - Why? As a result of greater automation, the national moderation system allowed [ITO Name] to select sites and standards for moderation more efficiently and strategically, and provide moderation feedback to accredited sites more effectively.
- Feature: All accredited providers engaged the moderation process this year even if they weren't actively assessing.
- Feature: Moderation coverage.
  - Why?The ITO was again able to moderate assessors conducting practical assessments this year. This continued the momentum from the previous year.
- Feature: We found that using the recently implemented moderation cycle helped us focus on a smaller group of units this meant that it was easier to maintain a national standard as issues with assessment practice were often the same.
- Feature: The use of action plans for assessors/providers whose assessment decisions did not meet the national standard has helped to gain buy-in from the parties and gives us something to follow up on in the subsequent moderation period.
- Feature: Peer moderation (postal) followed up by face-to-face meetings, followed up by National Moderator quality assuring the peer moderation.
- Feature: Providers self-selecting unit standards for moderation according to difficulty and complexity.

- Why? Peer moderation increased the learning and understanding of participants. Those who had not attended meetings for some time gained a lot of knowledge from the interaction with peers.
- Feature: Ongoing communication with providers.
- Feature: The cost effective nature of the moderation process.
  - Why? The use of an experienced contract moderator and the postal submission of evidence saved Tertiary Education Organisations the expense of sending staff to meetings, especially when two providers were closing their meat schools and wouldn't see any long term benefit from interactive discussions.

### **Moderators and Assessors**

- Feature: Attendance and support at peer review forums (cluster meetings) continues to be high.
- Feature: That the forums provided a good opportunity for [ITO Name's] new National Moderator to meet with the assessment personnel from the various accredited providers / ITO's.
- Feature: Providers and assessors asking for assistance with improvement of their assessment capabilities.
- Feature: Regional Assessor meetings.
  - Why? Provided opportunity for dialogue among assessors to ensure consistency.
- Feature: [ITO name] employed additional staff and their NZQA background, along side industry expertise has assisted the ITO to review and implement improvements to the moderation system that meet AAA audit requirements.
  - Why? All of the features outlined above have contributed to providers gaining a better understanding of industry requirements in terms of assessment and moderation. In addition, [ITO name] is in a better position to meet its own audit and other SSB moderation requirements.
- Feature: Assessor training sessions for providers.
  - Why? This gives a chance to model best practice assessment and assessment writing.
- Feature: The Assessor Forums.
  - Why? The Forums are a series of regional events that allow assessors to come together to discuss the process of moderation. They are generally educative in nature. However, in 2008 the forums focussed every assessor attending on the moderation of a high use standard in the domain [Name]. The results of the moderation were disseminated nationally and as a result there was enormous discussion generated about the standard and much greater clarity achieved.
- Feature: Improved moderation consistency.
  - Why? Reduced the number of moderators to two, partly as a result of reduced assessments against [ITO Name] unit standards, which has resulted in more consistent moderation (identified from internal check moderating).
- Feature: The addition of another National Moderator and a Quality Assurance Co-ordinator to the Quality Assurance team.
  - Why? Allowed increased moderation activity and more timely reporting to take place.
- Feature: Facilitation of moderation cluster workshop by an independent contractor for the ITO.
  - Why? Ensures [ITO Name's] national external moderation system is robust, by providing an impartial and objective viewpoint during moderation activities.

- Feature: Established a contractual arrangement with moderators to each provide an agreed number of hours per year.
  - Why? This has resulted in the outcome at Feature 2, below. Additionally, [ITO Name] is better able to manage the flow of moderation.
- Feature: Bringing the management of the ITO's external moderation system back in-house, and the appointment of a new National Moderator.
  - Why? At a time when the ITO had contracts with 16 of the 19 polytechnics, we saw advantage in contracting the management of our moderation system out to an independent body [Organisation Name]. However, this situation has now changed, and we noticed that our internal moderation processes were becoming fragmented. Field staff requested that for continuity of service to their clients they wanted to be involved in the moderation of their workplace assessors.
- Feature: Being able to obtain feedback from the assessors operating in the field who were able to identify any shortcomings of the systems.
  - Why? The assessors are the people who are the first to be made aware of any problems with documentation etc.
- Feature: Creating new moderation position, enabling us to be proactive in supporting our providers and workplace assessors as they developed assessments.
- Feature: Continued constructive participation by all participants.
- Feature: Moderation participants increasing their assessment and moderation knowledge and skills.

### **Relationship with Providers**

- Feature: Building on from the 2007 external moderation model for polytechnics which were delivering managed apprenticeship programmes. During moderation visits the draft moderation report was presented verbally with a written copy supplied to all attendees of the exit meeting. This enabled a high level of transparency with frank discussions on both the report and the external moderation processes.
  - Why? Ensured that the both the ITO and the provider had the same understanding of what was required and any issues could be addressed 'face to face'. There tended to be fewer problems with providers failing to submit action plans. There was a better understanding of external moderation and polytechnics in general were more receptive to the standard setting body.
- Feature: Combination of [ITO Name], assessors and providers attend meetings/workshops.
  - Why? Opportunity for all groups to get together and learn from one another. Ask questions of those with more experience. Identify areas that need improvement and what is required to improve. Share tips and techniques of what as worked well in particular circumstance and ideas about dealing with problems that may occur during assessment.
- Feature: Positive relationship with providers.
  - Why? Providers are open about their operation and keen on developing a deeper relationship with the ITO and industry. This helps them to match the individual student needs with the requirements and expectations of industry as well as the unit standards.
- Feature: Creating a more positive and informed dialogue with accredited organisations and ensuring all data held is correct.
  - Why? It's easy to lose track (between moderations) of who the key contact is for obtaining assessment samples (especially in Polytechnics).

- Feature: All provider workshops were positively received to the extent that more have been requested to be held next year. For example, two organisations were unable to attend workshops so they requested we hold one in their area /for them. In both instances the providers organised the venue, catering, equipment, attendees etc for these workshops themselves.
- Feature: Close, on-going relationship with the single provider of the national qualification.
  - Why? [Provider Name] is required to present quarterly reports to [ITO Name] on programme provision and [Provider Name] representatives (usually the Programme Leader and Head of School) are expected to attend Trust meetings to speak to their reports and respond to any concerns the Trust may have in relation to programme provision, both on the academic and the pastoral fronts. This close co-operation means that issues can be addressed rapidly.
  - [Provider Name] has the benefit of programme delivery advice and support from experienced professionals from both industry and education and that the students and/or their employers have an independent conduit for airing their concerns.
- Feature: The Chair of [ITO Name] Moderation Panel, Professor [Name], is a former Director of the national qualification (when the programme was delivered by the [Provider Name]) and his co-moderator, [Name], is a past tutor of the course.
  - Why? This provides a significant continuity over the years to ensure that standards do not drop. Additionally, [Name] is an in full-time practice as a [Profession] which ensures that his advice and judgements are based on up-to-date industry experience.
- Feature: The existence of a single national provider.
  - Why? This means the moderation panel's energies are all directed towards the maintenance of delivery excellence from a single site. This allows the panel to have a much greater appreciation of what is or isn't happening at the provider level.
- Feature: Collaboration with providers during the moderation process.
  - Why? The building of good relationships helps to ensure quality moderation.
- Feature: Improved communication with accredited providers.
  - Why? While there have been problems outlined elsewhere in this report, communication has improved since direct phone or face-to-face contact has been implemented. This is possible due to the relatively low numbers of accredited providers involved in assessing Learning State unit standards.
- Feature: The increased level of communication with providers.
  - Why? All providers are now familiar with the moderation process and requirements which results in their willingness to raise the standard of assessment.
- Feature: Greater feedback to providers.

### **Meeting and Visits**

- Feature: Moderation visits.
  - Why? Enabled one to one review of unit standard assessments and one to one discussion with each assessor.
- Feature: Using just one moderator to carry out moderation visits as this helps to give the ITO a clear picture of the standard of assessment across accredited providers

- Why? All three features help the ITO to maintain close relationships with our accredited providers and the providers view moderation as a partnership process to maintain & ensure quality rather than an audit process.
- Feature: Moderation support visits to providers – allows for discussion of any issues and contributes to capacity building within providers and increased understanding of moderation requirements.
- Feature: Industry Sector meetings.
  - Why? Opportunity for feedback about the currency of assessments and practices. Allows for alternatives to be explored with comments from all parties who are likely to be affected by any changes.
- Feature: Introduction of observed moderation for new and existing assessors and regular visits to TEOs.
- Feature: Provider Forum/Workshop.
  - Why? This allowed for more interaction between moderators and providers as this was lacking in the past. More emphasis will be placed on this in 2009.
- Feature: The biennial [Named] Tutors moderation meeting.
  - Why?
    1. Enhanced the level of feedback to tutors
    2. Provides re-enforcement/support to practical assessors
    3. The opportunity for 23 tutors to share experience and clarify issues
- Feature: Visits to provider to review assessment practices.
  - Why? Provides for a close working relationship with provider.
- Feature: [ITO Name] presence within the education sector and attendance at the [Providers] Conference.
  - Why? This creates a close link for National Quality Assurance Manager and TEO's and allows for ease of discussion regarding moderation requirements.
- Feature: Moderation review visits.
  - Why? Provides first-hand knowledge of practices in the industry and allows face-to-face feedback from providers to the ITO.
- Feature: Specifying in the AMAP that all providers are to participate in cluster group moderation meetings, instead of allowing a significant number to participate by postal moderation.
  - Why? Allowed for better networking between providers, provided an opportunity for upskilling to take place, provided an opportunity to clarify requirements and ensure consistency of assessor decisions.
- Feature: Moderation visits target from investment plan achieved with 8 visits.
  - Why? With the sudden departure of our National Moderator, we have had to build our internal capability over the past 12 months, but significant time has been invested to prepare the [ITO Name] for 2009. We have scheduled 10 regional moderation cluster workshops and will again cover 8 moderation visits. Parts of our industries require people with specialist and technical expertise and we are focusing on building sector specific moderation groups for the higher level unit standards.
- Feature: Robust discussion about standards and assessment techniques in a practical hands-on environment. Problems areas with assessment procedures are able to be identified.
  - Why? Giving people an opportunity to explore concepts and align viewpoints. Informing people of current best practice. Moderation plan was tweaked so that it allowed us to communicate better with our clients.
- Feature: Encouraging all providers to attend face-to-face meetings.
- Feature: Opportunity to network and have constructive discussion.

- Why? Many of our client organisations work in relative geographical and professional isolation. Much more accurate information being presented than previously.
- Feature: That the forums provided good robust discussion about what best assessment practice was.
- Feature: More frequent meetings set up with TEOs and moderators to enable exchange of assessment and moderation practice.
- Feature: More informal advisory meetings with industry assessors.
  - Why? Tightened up the interpretation of the link between unit standard and the assessment judgments being made.

### Resources

- Feature: Evidence of Competency Form.
  - Why? Clearly records the type of evidence, dates and linkages with the appropriate performance criteria.
- Feature: A Moderation Handbook for education providers has been completed and is in final review stages.
- Feature: A new assessment template has been designed and feedback from providers on the resulting assessment resources has been positive. It is hoped that the new template will further promote consistent assessment decisions being made as it provides the additional clarification that assessors were requesting. The new [ITO Name] developed resources resulting from the use of this template should also help inform providers where they elect to write their own materials, therefore increasing the compliance of materials submitted for pre-assessment moderation.
- Feature: Standardised moderation checklists and process used for all TEOs, schools and workplace assessors.
  - Why? A recommendation made following the 2007 National External Moderation round, to alter the checklists used at cluster groups to allow recording of moderation findings for one unit standard per checklist only, was implemented in 2008. The alteration allowed even greater consistency of data collection and standardisation of external moderation for TEOs, schools and workplace assessors.
- Feature: Able to access provider quarterly traffic reports from NZQA.
  - Why? It allows us to focus on active providers and is a great tool for helping to reduce risk to.
- Feature: Improved post-assessment moderation form.
  - Why? Receiving better information from moderators around corrective actions that accredited providers need to take to improve their assessment judgments. Also have section for comments on unit standard being assessed and any issues to do with the unit standard.
- Feature: A more detailed tracking system.
  - Why? As [ITO Name] had a new QA Co-ordinator in 2008, a more detailed tracking system (spreadsheet) ensured that each moderation case was dealt with in a timely fashion and this enabled the new co-ordinator to understand the system better.
- Feature: Updated Moderation Report format.
  - Why? Being a new staff member to [ITO Name] and the industry, the slight alterations to the moderation coversheet made it clearer for me to follow the outcome of the report, and thus clearer to the designer of the materials.
- Feature: The formal National Moderation plan was written and confirmed in 2008.

- Feature: Completion of a large volume of pre-assessment moderation of resources for reviewed and new qualifications.
  - Why? All three provide vehicles for a higher quality of assessment and thereby improved moderation outcomes.
- Feature: Development and utilization of the Internal and External checklist template.
- Feature: Development and utilization of the Assessment Intention Plan template.
- Feature: A new moderation report format was used.
- Feature: There has been improved consistency in moderation decisions. An embedded culture of support, and sharing information, knowledge and skills has improved the respective levels and skills of assessors and moderators on an ongoing basis, and has enhanced the application of the moderation process itself.
  - Why? The face-to-face nature of cluster group meetings is strongly supported by the sector. Wide use of ITO provided pre-moderated assessments and assessment guides testifies to the serviceability and ease of use. A Moderation Handbook – although not a formal requirement under the AMAP – nevertheless was widely requested throughout the sector, and will provide a user-friendly guide to complement formal requirements and procedures.
- Feature: We are starting build a moderation history that can be monitored and tracked and will inform more improvements to our national external moderation system.

### **System Functioning**

- Feature: NZQA Audit.
  - Why? We had a very good Audit by NZQA around criteria [number] and [number]. It was great to have new independent eyes scan over our systems and processes and it was pleasing to pass in this area. This confirms what we are doing is good. However we are always looking at making things better and the recommendations received will add value to our system and we will be implementing these ASAP.
- Feature: Timely completion of moderation by moderators.
- Feature: Having a full complement of NEMs to service the needs of [ITO Name].
- Feature: The moderation process confirmed the need to make changes.
- Feature: All provider audits were compliant.
- Feature: Moderation in general.
  - Why? There was more pre-assessment moderation conducted, which led to quality post assessment moderation submissions. Check moderation was conducted at each meeting and this is starting to produce more consistent moderating by moderators.
- Feature: Letter issued in March to all users of unit [number] to remind them that they are required to submit an Annual Report for Level 1 and 2 units of the [Organisation Name] Domain as stated in AMAP [number].
  - Why? Historically there has not been a good return of the Annual Report. The reminder letter created a lot of phone contact with the users of the applicable units and thus the opportunity to educate them about the requirements as stated in the AMAP.
- Feature: Accredited providers grew their capacity in understanding the requirements of our AMAP.
  - Why? These successful features indicate a fully functioning Moderation process.

- Feature: Industry engagement in processes and their demand for the ITO to contract accredited organizations with good moderation histories for delivery of specialist qualifications.
- Feature: The continuing decline in issues reported by moderators as a result of moderation.
  - Why? This suggests that providers have continued to implement the outcomes of previous moderation to ensure a more consistent standard of assessment.
- Feature: Reviewing the external moderation process to enable [ITO Name] to management and conduct moderation more effectively.
  - Why? This provided more flexibility to providers with the voluntary use of an assessment plan as the assessment plan is not always accurate.
- Feature: Thorough and successful review of the ITO's AMAP.
  - Why? Accredited providers actively participated in consultation.
- Feature: On-going improvements in Moderation Guidelines and Moderation Reports.
  - Why? In order to get better outcomes from a "moderation activity" we improved our guidelines for provider, registered assessor and cluster group moderation visit. We also improved the report templates that are generated from these moderation visits. The templates enable us to gather more specific information and to offer better recommendations for moderation requirements. This also covers us better should we have some real moderation issues with the provider etc..
- Feature: The evaluation of provider activity prior to the selection of unit standards.
  - Why? It allowed the [ITO Name] to identify high use units with coverage of all active providers.

***Appendix 18: Responses to Question 9: What were the 3 least successful features of the ITO's national external moderation system within this reporting period? (QAS ITOs 1.2.6 (ii) (v))***

**Assessment**

- Feature: Few accredited providers actively assessing the same unit standards.
  - Why? Means that the sample size for moderation is very small.
- Feature: Lack of sufficient evidence gathering.
  - Why? While improvements have been made over the last couple of years, some assessors still need to gather appropriate evidence to demonstrate evidence to support their assessment decisions. A new form designed during 2006 "Evidence of Competency" has made the recording of evidence far more systematic.
- Feature: Poor assessment material.
  - Why? Some assessment material fell short of requirements to cover the full units. This in itself is not a problem with moderation but with the provider assessment system.
- Feature: Lack of evidence and assessors not meeting best practice in assessment these include:
  1. Insufficient evidence.
  2. The candidate has not been provided with the opportunity to be assessed against all performance criteria.(pc's)

3. Scenarios not being fully covered in accordance with the unit standards.
  4. Inconsistency of evidence between candidates.
- Why? It is disappointing to note that although the assessment material is of a high standard in most cases it is frustrating to see that the basic principles of assessment is not being followed.
  - Feature: Poor structure of assessment material.
    - Why? Those providers that did not produce good assessment material although offered did not take advantage of the pre-moderation from [ITO Name].
  - Feature: Over assessment by a few Providers caused by assessing pc's rather than elements.
    - Why? Not aware.
  - Feature: Moderation in 2008 was of assessments reported during the period 1 Jan 2007 to 31 Dec 2007.
    - Why? This was the basis for selection of assessments for moderation.
  - Feature: Attempting to moderate assessments for which the assessment tools were not of a satisfactory quality i.e. had not been pre-moderated.
    - Why? Pre-assessment of assessment material had not been a primary focus of the ITO up to this point.
  - Feature: [Organisation Name] had already spent some considerable time rewriting all of its assessment material over the last two years and external /internal moderation this year has identified that more improvements are needed.
    - Why? Whilst the ITO was good at focusing assessment to match industry practice, to meet requirements the focus needed to be shifted to the unit standard/s being assessed so that decisions of competency are made on this basis and/or the unit is amended accordingly.
  - Feature: The length of time since TEO's have had to update their assessment material.
    - Why? Having little change in the qualification over the last 6 years has caused a loss of knowledge and skill in assessment writing. For future qualification reviews we will look at supporting the TEO's with education regarding assessment writing.
  - Feature: Inability to see non-compliance at moderation workshops, particularly for practical based standards.
    - Why? Providers send only their most competent tutor, and present their best assessments at a workshop. The peer-review workshop doesn't enable the ITO to moderate assessment in a practical, workplace environment.
  - Feature: Requesting providers to identify unit standards they would deliver during the year.
    - Why? Forecasting and reality were usually quite different.
  - Feature: A relatively small number of unit standards moderated in 2008.
    - Why? Assessment guides are not always pre-assessment before use, and is sometimes carried out at the same time as post assessment moderation. As well as being undesirable from a quality view point it has meant there is a reduced time available for post assessment moderation activities
  - Feature: Deficient or invalid assessment tools.
    - Why? Pre-assessment moderation had not been conducted, materials could not be deemed to be at a National Standard.
  - Feature: Lack of evidence / judgement guides, model / sample responses etc.
    - Why? Could not validate Assessor decisions were at the National Standard, or that the materials were at the National Standard

- Feature: Providers/assessors not sending in all the necessary materials when initially requested.
  - Why? Extra time was spent requesting the extra materials and this increased the amount of time spent on each moderation case. This often resulted in a non favourable moderation report due to the lack of materials or evidence.
- Feature: There are not enough assessments being undertaken by external providers to support the full requirements of our AMAPs current scope for moderation.
  - Why? Our AMAP currently requires us to moderate at least 10% of our unit standards and all of them within 3-5 years. The problem is there are whole domains not currently being used in assessment. This is an issue we have identified for AMAP review in 2009.
- Feature: Pre-moderation of the assessment material.
  - Why? Issues were highlighted in terms of the adequacy of TEO assessment material in meeting the unit standard requirements.
- Feature: Still disappointing to see that a large number of the assessment materials that comes to us for pre-assessment moderation do not meet the national standard. The layout and formatting of the materials also seems to be a big issue and although it is not a moderation issue it does make the materials harder to understand and increases the time that is spent on moderation. (follow up)
- Feature: Selecting the sample for moderation.
  - Why? There are many variables which make the creation of a representative plan difficult (though not impossible).

### **Moderation System**

- Feature1: Monitoring of provider-managed apprenticeship programmes offering [ITO Name] National Certificates.
  - Why? Unable to test for competency prior to issue.
- Feature: Provider Internal moderation.
  - Why? There was a lack of evidence from all types of providers which indicated that in many cases pre- and post-moderation were not taking place.
- Feature: Due to the geographical spread of assessors throughout NZ and providers based in Auckland; post-assessment moderation is the only effective process that is easily managed and cost effective.
- Feature: Balancing cost and time of moderation of other providers, who in most cases report less than 10 credits per year.
- Feature: Moderation Agreements.
  - Why? Although having been in place for some time, they are taking considerable time to be returned to [ITO Name]. Revised requirements for 2009.
- Feature: Current cluster group management means assessors rarely get immediate feedback on the moderation of their samples.
  - Why? Assessors bring samples to the cluster groups, which are picked up by a pair of peer moderators and moderated. The feedback is recorded on a checklist, which is viewed by the assessor who brought the sample before they leave the workshop. However, the assessor does not often get to speak directly to the people who moderated their work. It has been suggested that instead of working in pairs the cluster groups be managed through groups of three. Each assessor presents their samples to the other two moderators in the group. The moderators critique the work and give immediate feedback/clarify any issues. This system will be trialed in 2009.
- Feature: Alignment with internal moderation.

- Why? The two processes have been treated as separate, but we are ensuring the internal and external moderation plans are developed in tandem to ensure standardization across the industry.
- Feature: The amount of [named] industry unit standard learning material being developed and made available for use by TEO's.
  - Why? Duplication of [named] industry unit standard learning material developed by different TEO's involved in the [named] industry causes a large workload in pre-assessment moderation and difficulties in maintaining the national standard.
- Feature: The 'hands off'/academic freedom stance of some accredited organisations.
  - Why? The SSB is constrained in its moderation role when that role is not given due respect.

### *Moderators and Assessors*

- Feature: Short-term staffing uncertainty.
  - Why? The unexpected resignation of the current National Moderator at the end of 2008, while a position of a second National Moderator was being advertised, resulted in a short-term gap. A replacement National Moderator was subsequently appointed, and an external contractor has been appointed on a proportional basis, pending the appointment of a second full-time moderator.
- Feature: No formal moderator training was completed.
  - Why? At this time there was not sufficient staffing to enable this training to be planned for and delivered.
- Feature: Feedback highlighted the need to address communication issues.
  - Why? The content and tone of feedback produced by some moderators did not reflect [ITO Name] standards.
- Feature: Professional development for moderators did not occur as planned.
  - Why? Staff change over and restructure of assessment and moderation roles.
- Feature: Some moderators still working in old ways, and "second-assessing".
  - Why? Working remotely and part time, which has been rectified by creating a permanent additional moderator position, based at the National Office, who is responsible for training in the field.
- Feature: Changes in personnel, reducing capacity in first half of year.
  - Why? Staff resignations, difficulty in recruiting in first half of year, now resolved with permanent appointments of new National Moderator, and Full time moderator.
- Feature: High turnover of staff at TEO's.
  - Why? Loss of knowledge embedded within the TEO. This can cause concern re validity of assessment if there isn't sufficient knowledge of assessment practices left within the TEO.
- Feature: Consistency of moderation between moderators.
  - Why? Whilst confident assessment outcomes have been moderated competently, ensuring consistent moderation of unit standards is always challenging. Most moderation is still conducted by post. Group moderation has been introduced, but it will take more time for moderators to be comfortable with this method and for candid exchange to occur.
- Feature: Insufficient Candidate evidence submitted.
  - Why? Assessor forgetting best practice principals and moderation, too much of "I know the person, they can do it" therefore inadequate and insufficient evidence gathered.
- Feature: The separation of ITO work-based assessors from the assessors from TEOs.

- Why? Ignores then fact that they have much in common and would benefit from sharing knowledge and experience.

### **Relationship with Providers**

- Feature: Lack of contact from providers.
  - Why? Some providers choose to ignore moderation and will not react until instigated by [ITO Name]. This only proves that there are internal issues that need to be resolved.
- Feature: Providers not engaging with the moderation system.
  - Why? In most cases the provider fails to follow AMAP requirements by contacting us prior to assessment. We are therefore in ‘compliance’ mode to start off with, rather than being able to work collaboratively in developing a moderation agreement that meets both needs.
- Feature 3: Trying to find out who the contact person/people are for moderation/QA in accredited organisations.
  - Why? In most cases the provider fails to update this information, thus causing time delays in getting information and assessment samples.
- Feature: Communication difficulties with providers due to staff attrition.
  - Why? Getting engagement with one provider with moderation requirements was delayed by this.
- Feature: Relaxed approach from some providers as they do not believe it is their responsibility to engage in moderation.
  - Why? Some providers have limited resources and support and it falls into the “to do” pile and unless there is a NZQA audit approaching, it isn’t as important as it could be.
- Feature: Providers believe that ITO’s are responsible for the up-skilling of their staff particularly around assessment and moderation.
  - Why? Funding issues, skills and knowledge not readily accessible.
- Feature: Constant change of contacts at organisations.
- Feature: Lack of response and attendance by some providers.
  - Why? Requires more follow-up and one and one discussion with providers to ensure currency and compliance.
- Feature: Non-compliance with requirement to submit assessment materials for moderation.
  - Why? Correspondence going astray. Some TEOs do not seem to take their compliance requirements as seriously as they should.

### **Timelines**

- Feature: Keeping to time lines.
  - Why? Not all moderation was carried out to plan. Difficulty getting access to trainees at some providers when required.
- Feature: Schools not providing sufficient time for practical work experience.
  - Why? [Provider] Teachers unaware of the amount of time needed and some schools have inadequate timetables.
- Feature: The national external moderation system needs a more rigorous feedback system from Industry assessors.
  - Why? Time-lag between feedback and moderation can result in changes happening slower then they should.
- Feature: Slowness to provide assessment samples.

- Why? Time and effort involved in follow up and delays to moderator's timelines.
- Feature: The turnaround time of getting the amended set of materials back from the designer if they failed to meet the national standard.
  - Why? This was drawn out for too long in some cases and was sometimes hampered when the designer of the materials was no longer available and it was difficult to get someone else to follow up on what was required. A lot of time was spent chasing up materials.
- Feature: Non-compliance with timeframes set by the ITO.
  - Why? Drain on administration time at the ITO.
- Feature: Being a small ITO with a large industry always makes recourse and time scarce when it comes to administering the moderation process (implementing moderation processes) (administering the moderation system. There are lots of things that we would like to spend time (evaluating and reviewing) reviewing and making changes but there is always limited resources and time (instead we focus on areas of risk, no of credits reported, key accounts).

### **Meetings and visits**

- Feature: On-going paucity of funding to support moderation visits. This is neither a new, nor unexpected, problem.
  - Why? Framework credit funding not large due to the relatively small number of students within the qualification (not unexpected).
- Feature: Moderation visits are set dates and therefore allow the providers to stage an assessment day rather than seeing the real thing.
  - Why? This can result in providers not showing a real sample of assessment and it can be difficult to gain a real view of assessment practices.
- Feature: Few assessor decisions verified on site visit moderation.
  - Why? ITO's guidance on assessment processes and systems is called upon when accredited organizations ought to be more self-reliant and proactive in this regard.
- Feature: Too many meetings.
  - Why? Not cost effective for the ITO.
- Feature: Meetings are regional and the same people meet year after year.
  - Why? Has the potential to foster 'group think' and people to lose objectivity. Lessens the opportunity for fresh ideas and learning's to come into the moderation environment.

### **Resources**

- Feature: Undertaking a peer review moderation process with a range of assessors who were operating a less than best practice model - mainly due to lack of quality assessment resources.
  - Why? Mainly due to lack of good quality assessment resources.
- Feature: Manual return of AIP form.
  - Why? A percentage of TEOs fail to return the form. [ITO Name] has discussed this challenge with other ITOs that have resolved the difficulty through electronic return. The technicalities of providing such a facility are being incorporated into the ITOMIC project.
- Feature: Being unable to access expiring unit standards from the NZQA website.
  - Why? During the cluster group moderation meetings it is useful to have access to the unit standard to clarify requirements. Accredited sites select

which unit standards they will submit for moderation, so [ITO Name] relies on being able to access the unit standards from the framework during the meeting. If they are expiring this is not possible.

- Feature: Lack of Annual Reports received from the users of the Level 1 and 2 OHS units.
  - Why? A reminder letter was issued in March 08 covering the requirements which got a great response. The Annual Report is due December 15 each year and only a very same number have been received with no prompting.

### System Functioning

- Feature: The AMAP revision was not approved by NZQA within the anticipated timeframe.
  - Why? [ITO Name] initially planned to combine two AMAPs, but too much review of too many unit standards was required before this amalgamation could happen.

The continuously changing nature of the scope of the AMAP posed challenges as to the level of detail required in the AMAP, as opposed to information that could more appropriately be included in the Special Notes sections of individual unit standards. Due to the complexities of these issues, several resubmissions were required before the AMAP reached its final, approved format.
- Feature: Our intended AMAP review was delayed due to restructuring and review of all policies and processes.
- Feature: As reported last year, there remains a general lack of understanding of the ITO's AMAP and Policies and Procedures requirements.
  - Why? It is difficult and/or confusing for providers to understand the range of different SSB requirements they must meet. This was particularly identifiable when [Organisation Name] took over the [Organisation Name], as there are still a number of providers who seem unaware of the changes that have occurred. Consequently, in contrast to the AMAP, [Organisation Name] is having to make an effort and contact accredited providers.
- Feature: Again as previously reported there seems to be limited or no understanding of NZQA level descriptors and their application in terms of assessment design. Moreover, it has been identified through the moderation this year that this is occurring at the lower and higher levels of the NQF.
  - Why? Some providers have little understanding of the appropriate tool and or evidence required in terms of assessment. (Note: consequently [Organisation Name] has delivered assessment writing training designed for internal staff using our template, to a small group of external clients.)
- Feature: Questioning TEOs about the results of their internal moderation processes.
  - Why? The question on the moderation checklist about internal moderation was generally misunderstood and results were of negligible value. In 2009 the question will be reworded for clarity.
- Feature: There was no dedicated and budgeted line item (internally) for moderation activities.
  - Why? Moderation work was absorbed into other line items as it was difficult to separate out particularly with salaries and overheads. This made full expenditure for moderation difficult to estimate in 2008.
- Feature: It seems that our 2008 moderation letter outlining the process (informing that processes have changed) was not written very clearly and we had a large

number of providers who did not understand what we required. We have since made changes to this letter to make it clearer.

- Feature: The [ITO Name] not having advised providers of unit standards selected for moderation at the beginning of the year as specified in the registered AMAP.
  - Why? It made it much harder than it should have been to get samples for post assessment moderation.
- Feature: The [ITO Name's] four-year moderation schedule does not appear to have been adhered to historically as only three unit standards were moderated in 2007 and four in 2006.
  - Why? It meant the default moderation requirement that "At the beginning of each year accredited organisations will be notified of the standards selected for moderation if these are different from those specified in the [ITO Name's] moderation schedule" did not kick in as providers were unclear what units were in the moderation schedule for 2008.
- Feature: The AMAP states that [ITO Name] has approved assessment guides for [field] unit standards. These guides include assessment tasks and/or assessment schedules." During the period of this moderation cycle these documents do not appear to have been available and/or fit for purpose.
  - Why? The availability of up to date [ITO Name] material would provide either reference points against which providers could benchmark themselves or documentation they could use. As previously stated the development of assessment material for the new and reviewed unit standards is an integral part of the review process. Assessment material has been drafted for use during the interim period.
- Feature: Requirements varying depending on the SSB or ITO.
  - Why? Some providers have limited resources and support and don't have the ability to implement the relevant systems required to meet the requirements of each SSB/ITO.
- Feature: Lack of information provided for some moderation activities in advance.
  - Why? Did not give enough time for providers to prepare.
- Feature: The tracking system used to record results.
  - Why? A significant amount of information needs to be tracked on spreadsheets.

### Other

- Feature: We are not bad in this area but we need to get tougher! This was highlighted verbally in our NZQA audit.
- Feature: [Provider] and other schools not accredited for [ITO Name] unit standards using [ITO Name] provider code to register results.
  - Why? Schools disregarding the [ITO Name] MoU process resulted in an increased workload for [ITO Name] Quality Assurance. For schools operating under a MoU there needed to be an additional check to ascertain if the credits registered were from unit standards that were covered under the MoU or not, then address any anomalies including the requirement to quality assure assessments. For schools registering credits with no MoU arrangements there needed to be an investigation into what was happening and why. In some cases credits had been reported using our provider code when the [ITO Name] was not the standard setting body. In other cases the [ITO Name] code was used when the school was accredited. There were varying degrees of confusion amongst schools.

- Feature: The year was divided neatly in half and the second half found us involved in adapting to a new organisation after a major restructure where staff number grew from 15 to 95. Moderation was not effective for about 2 months of the year during this period.
  - Why? Busy recruiting and training new staff and implementing new policies.
- Feature: Missed the opportunity to engage with other ITOs at the annual NZQA ITO Moderation work shop.
  - Why? It was cancelled.
- Feature: There are none to report as there were no negative responses or features of moderation for 2007-2008. It was a successful moderation year with all intended outcomes achieved.

***Appendix 19: Responses to Question 10: Summarise any changes that will be implemented in regard to national external moderation for the next reporting period? [QAS ITOs 1.2.6 (i), (v)]***

**Planning**

- We are planning to review our AMAP fully in 2009. Over the last few years we have undertaken a huge review of Subfield [Name] and as a result have produced more (and better) resources and assessment tools that we will be encouraging providers to use. We will need to reflect this in our AMAP and introduce a cost for pre-moderation of material should providers choose not to use the assessment material provided.
- AMAP review planned in 2009.
- On-going development to our eQMS.
- Two AMAPs for the ITO are planned to be combined.
- An NZQA audit against the Standard for moderation is scheduled for August 2009.
- Annual Moderation Plan specifying roles and responsibilities circulated.
- [ITO Name] has identified specific unit standards for moderation with providers required to submit by due dates.
- Likely changes will include:
  - Improved assessment intentions form.
  - Early discussion with accredited providers on assessment sample requirements.
  - Improved post-assessment moderation forms to better capture moderation outcome information and unit standard assessment issues.
  - Greater emphasis on direct contact with accredited providers to improve communication.
- The possibility of issuing an annual reminder notice in October to all users of unit [number] they are required to submit an Annual Report in December has been discussed but as this is a very labour intensive job, we are still working on other ways to improve the return of the Annual Report.
- The adoption of the integrated moderation plan.
- Changes may result from planned review of moderation systems during 2009 following the appointment of a new National Moderator.
- Moderation planning began in January 2009 as opposed to March/April last year.

**Resources**

- Self-review is formalised as a result of the requirements of tertiary reforms.
- All assessment resources will be required to be pre-moderated prior to use.

- New Assessor manual.
- Implementation of new QMS with a focus on High Trust/high Accountability.
- Increased database capability.
- Further enhancement of [ITO Name's] customer relationship management database to manage the moderation requirements, outcomes, non-compliance and performance of TEO's.
- New ITOMIC database introduced as part of organisation wide upgrade of computer systems will support continuation of current processes.

### *Systems and Processes*

- The Quality Management Systems (QMS) Manual was totally reviewed and expanded during 2006. This manual is an extremely valuable internal resource for staff training. All [ITO Name] assessment and moderation systems have met the NZQA Audit requirements, as outlined in the NZQA document "QA Standard for ITOs.).
- Review on the [ITO Name] assessment models, workplace assessors and moderation models.
- The ITO uses the NZQA quarterly reports to see which providers are delivering unit standards managed by this ITO. From this information the ITO can make an informed decision about the moderation of these providers, some of whom have not been moderated in the past.
- AMAP updated removing unnecessary unit standard differentiations. This will be an opportunity to reinforce all requirements of the AMAP and ensure a clearer operation process.
- More attention to pre moderation of assessment material.
- No changes will be made in 2009 however any process issues will be responded to immediately. As the ITO operates a small moderation system (only a few accredited providers are actively assessing at present) the ability to respond to issues raised can be quickly progressed.
- There will now be an optional requirement for providers to submit an assessment plan. The use of an assessment plan proves inaccurate in most cases. This result in [ITO Name] and the provider altering original requests. Those providers that do not submit an assessment plan are subject to moderation through the credits lodged to NZQA on a quarterly basis.
- An approach where the NEMs will have more access to providers when moderation decisions are to be dealt with. However this is to be managed through the ITO via the Moderation Manager.
- Now that pre-visit moderation of scripts has been implemented and the tutors endorsement of the [ITO Name] processes it is not envisaged that any major changes will be made in 2009.
- Change moderation system from a forum based system to a postal system.
- Assessment samples for moderation requested on a quarterly basis from NZQA quarterly reporting data.
- AMAP reviewed.
- Revised moderation agreements.
- The ITO is currently reviewing its practice to ensure it has an improved system for getting feedback from industry assessors.
- We are reviewing our AMAP to include site visits for moderation, as required. This will enable us to check assessment conditions of practical, workplace based standards, and whether the provider is meeting requirements for resources/staff as outlined in their QMS.
- Peer moderation by providers.

- Moderation of clusters of unit standards, selection dependant on usage, risk, history, review date, and level.
- Ongoing discussion with the [Named] partners will generate a number of changes to [ITO Name's] national external moderation system in 2009. For example, the ITOMIC database (due to be implemented in September 2009) will allow for analysis and allocation of risk categories for providers and unit standards.
- Formal reviews moderation plans and AMAP.
- [ITO Name] is currently reviewing its moderation system and AMAP – target completion date is 30 April 2009.
- The Moderation Report has been updated to make the deadline for the resubmission of any materials clearer. When the moderation reports are issued, it is also made clear to each provider the repercussions of failing moderation and the importance of resubmitting amended materials on time.
- Refer to changes in reviewed AMAP above and in report on NZQAA website. These include:
  1. All assessment materials not produced by the ITO (in consultation with accredited organizations and industry and other stakeholders) are subject to moderation.
  2. Charges for moderation will enable wider scope.
- Emphasis on moderation of assignments now summatively assessed as this is a departure from previous practice. This will also mean an ITP involved only in distance learning provision previously will now be subject to external moderation.
- Letter going out to providers at the beginning of the year outlining (informing that processes have changed) the processes has been up-date.
- AMAP being reviewed and re-registered.
- Amalgamating 6 AMAP's into 1.
- Moderation processes standardised among sectors.
- Restructured & centralized the moderation process.
- Incorporated Risk levels.
- Automated systems.
- We are in the process of reviewing the current system with a view to submitting a new AMAP to NZQA by the end of 2009.
- Clarification of consequences of non-compliance to accredited orgs.
- Simplified administrative systems.

### Staffing

- The [ITO Name] has contracted an external consultant to review all assessment documentation systems to ensure they are fit for purpose and sufficiently robust in order to meet all moderation requirements. This process was commenced early 2009 and will be finalized by the mid year.
- Two staff members (one full-time and one proportional) will be responsible for national external moderation in the first semester of 2009; a second moderator position will be advertised at the start of the second semester.
- A further Regional Moderator was engaged and this is adding further capability to take moderation to TEOs and work places. This provided instant feedback to the individuals and organizations. A better rapport between parties has resulted and a better standard of assessment.
- Professional development will be provided to all [ITO Name] moderators in the 2009 calendar year.
- Appointment of industry moderators who will have specific moderation training and qualification requirements.

- Assessor up-skilling/training.
- [Organisation Name] will continue to hold a range of moderation and/or assessment writing workshops in 2009. We plan to employ two more full time moderators so that the work with schools and TEOs can continue and [Organisation Name] can offer more support and guidance in terms of meeting industry and NQF requirements.
- Use of a National Moderation Panel.
- Recruitment of salaried National Moderator (done).
- Recruitment of further sector moderators.
- Possibility of another part-time moderator to be brought on as a support person to the existing moderator.
- Further development of moderator expertise.

### **Communication**

- The AMAP has been submitted to NZQA which states a combination of moderation meetings and site visits.
- The ITO is aware that these providers may only be reporting a very small number of credits, sometimes less than 10 credits per year. We are aware of balancing the cost and time involved in moderating providers who report very small numbers of credits per year.
- Twenty workplace assessors will be visited in 2009.
- Peer review forums will include both provider assessors and workplace assessors in 2009 for relevant (identified) qualifications.
- Providers to be visited by [ITO Name] when issues pose a risk to industry are identified.
- Structure the Provider Forum/Workshop to allow for more interaction with Moderators and assessors.
- Continued moderation review visits where assessment activities will be observed and verified.
- Use of moderation groups.
- Ongoing assessor and moderator refresher / up-skilling workshops.
- Fewer, larger cluster group moderation meetings.
- Separate cluster group meetings for schools and for providers.
- Provider moderation visits being introduced (for at risk providers who have difficulty completing action plans for non compliance.)
- Implementation of ten regional cluster workshops for providers scheduled for 2009.
- Minimum of 8 moderation site visits.
- During 2009, the [ITO Name] will continue to engage in the moderation services of the independent moderation consultant to carry out national external moderation processes and activities for the [ITO Name] these will include professional development opportunities in the form of a workshop, as well as meetings with accredited providers to conduct external moderation.

### **Others**

- We are reviewing the criteria for provider audit. Currently, our system results in some providers being audited every year, which is excessive.
- No major changes planned.
- Internal budget line items have been created to assist in tracking moderation expenditure.

**Appendix 20: Response to Question 11: What was the total expenditure for the reporting period spent on the national external moderation of the ITO's standards? (Only include costs that relate to national external moderation in the total expenditure figure as itemised below.) (QAS ITOs 1.2.6 (i), (ii), (iv), (v))**

**Table 21:** Statistical measures of total expenditure and expenditure per reported credit

	Expenditure per reported credit		Total expenditure reported	
	2007	2008	2007	2008
Max value	\$2.83	\$9.39	\$330,286.00	\$328,778.24
Upper quartile	\$0.81	\$0.78	\$150,455.04	\$146,867.00
Median	\$0.52	\$0.51	\$62,000.00	\$59,087.61
Lower quartile	\$0.36	\$0.42	\$16,274.09	\$17,714.00
Min value	\$0.31	\$0.27	\$2,959.71	\$1,655.19
Mean	\$0.75	\$0.97	\$87,804.26	\$97,533.61

**Table 22:** Five largest expenditure items by percentage of ITOs

Expenditure Item	Largest	Second largest	Third largest	Fourth largest	Fifth largest
Travel & Accommodation	4	10	4	6	7
Catering				2	5
Venue Hire				4	2
Moderator/contractor consultant fee	9	7	11	8	
% of Overheads			13	11	5
% of Salaries—staff Associated with national external moderation	25	7	3		1
Administration		1	6	3	9
Training moderations/skill		1	4	4	3
Review	1		1	3	1

- Review of system – cost of review is covered in the amount stated for the % of staff salaries.
- These figures only include those that are directly attributable to national external moderation. No allowance has been made for internal moderation, such as assessments and assessment guides, which benefit all secondary and tertiary education providers.
- There was no professional development conducted for moderation in 2008.

- Only the National Moderator's and contracted part-time and proportional Moderators' salaries are included. The salaries of the Quality Assurance Manager, and part-time administration support employees who all supported moderation activity, including internal reviews, have not been included.
- The engagement of two full time moderators, on the road in company cars, has increased the amount of moderation activity and the cost of this compared to our expenditure on moderation in 2007. We believe the results have shown the investment was worth it.
- Our Moderation rebate was \$105,329.40. The above expenditure shows that again [ITO Name] invested heavily in Moderation with expenditure exceeding Moderation revenue from NZQA.
- There was an overall increase to the 2007 expenditure of approximately \$20,000. This difference largely reflects [ITO Name's] decision to address moderation requirements at the root source, by further engaging an assessor perspective. [ITO Name] increased the number of assessor workshops held within the regions and sent staff into the field to build relationships and encourage a mentoring process.
- The above strategy included an investment in travel and accommodation for two new staff members as part of their induction process.
- There was no professional development for moderators conducted in 2008.
- The costs associated with conducting a Provider forum/workshop proved to be the most cost.
- NZQA Credit Rebates for 2008 were \$28155.90 (93853 credits).
- The expenditure is higher than previous years, given the appointment of two permanent staff, and the use of a consultant to assist with revision of assessor manuals, QMS and AMAP.
- All costs are inclusive of GST except moderator/consultant /consultant fee and percentage of staff salaries.
- Note 1: In 2008 [ITO Name] ran the annual Assessor Forums in 9 regions. The focus of the Assessor Forums is preparing assessors for the cluster groups in the second half of the year. Traditionally the forums are used to develop the moderation skills of assessors so that they can act as moderators at the cluster groups. However, it was decided in 2008 that the moderation skills of assessors had developed well over previous years. We used the Forums as an opportunity to carry out some more intensive national moderation if a high use standard. For this reason the costs associated with running the Assessor Forums have been included under Travel and Accommodation, Catering, Venue Hire and Contractor Fees. It will be noted that these categories have increased in cost from 2007 and conversely the sum spent on Training moderators/skill development has gone down.
- Note 2: As stated above under point 6 system reviews are occurring through a consortium of three ITOs and the ITOMIC project. This process was started in 2008 and costs were incurred (approximately \$7,500.00), however these costs have been carried over and will appear in the 2009 report as the project is not yet finalised and invoices are yet to be received.
- [ITO Name] received \$113,651 (GST exclusive) from NZQA for the credit rebate for 2008. [ITO Name] has spent a further \$68,593 on national external moderation.
- Percentage of overheads: Amount is calculated through 2007 audit report totals for Power and Rent. The combined total of these two figures was then divided by 7 staff in 2008. 1 of those staff was required to manage moderation in 2008.
- Percentage of salaries: This figure was approximated from percentages of three staff members' contributions to the Moderation system in 2008.

- Training moderators: Approximation of staff time spent on engaging and educating Moderators specifically in their roles.  
More accurate financial reporting will be utilised throughout 2009.
- Overheads do not include fixed overheads such as rent on premises. An extensive review of the moderation system was undertaken but coded to AMAP development. Subsequent documentation review and revision will be shown on the 2009 report.
- Based on percentages of the ITO's overall costs divided by the cost of the staff involved vs. time involved with national external moderation.
- Objective in TEC investment plan of eight provider visits completed in 2008 and hence our increase in travel and accommodation costs. No regional meetings held in 2008 due to staffing capability, however ten regional workshops scheduled for 2009 as well as eight provider visits. Internal staff development to build moderation capability and capacity and there is a focus to build sector specific moderators for the higher level and more technical unit standards.
- We have grouped travel, accommodation, catering and venue hire all into one expense figure.
- Expenditure for postage, stationery, and printing has been included in the overhead percentage figure.
- No Travel, accommodation, catering or venue hire fees were incurred during this moderation cycle as the system was purely postal-based.  
While money was spent on the review of the system this is only the beginning of a wider review to be concluded in 2009.  
The training moderators/skill development amount related to training on the data analysis tool used to underpin the selection of unit standards for the 2008 cycle.

***Appendix 21: Responses to Question 12: Specify any other expenditure items you would like to include and the total amount of these items in the table below, e.g. development and maintenance of database to manage moderation system. (QAS ITOs 1.2.6 (i), (ii), (iv), (v))***

- Specific [Name] Cluster Group Meeting –Held in Wellington Nov.2008: \$4000.00.
- Development and maintenance of eQMS and database: \$13,288.00.
- Development of Moderation Handbook: \$16,000.00.
- Development and distribution of assessments and assessment guides for free use by all providers: \$59,967.00.
- [ITO Name] is investing in a major review of our IT systems in 2009.
- Development & maintenance of management system databases: \$625.00.
- Assessment Material Development Cost (material is used outside our industries, this is more cost effective than pre-assessment moderating 100's of other documents): \$69,074.00.
- The development of moderated assessment materials for free use by all accredited organisations should also be included. (Note: this cost excludes staff time and only covers contract developers i.e. real cost to the ITO is much greater). [Named ITO] continues to conduct free pre-assessment moderation on alternative materials that accredited providers may elect to use.
- 5% of database administrators' time: \$1,850.00.
- Database maintenance: \$500.00.
- Database (report capability) update: \$2500.00.
- Development of assessment resources by ITO for general use: \$10,000.00.
- Database management: \$250.00.
- ITOMIC database creation (module G-QA): \$7,500.00.

- Database maintenance: \$36,000.00.
- Database support for development of the moderation systems: \$800.00.
- Database and CRM development: \$10,000.00.
- NZQA Audit (percentage): \$2,200.00
- The development and management of data analysis tools to analysis results data made available by NZQA: \$1,250.00

***Appendix 22: Responses to Question 13: What charges, if any, did the ITO pass on to the TEO or school for provision of national external moderation services? (QAS ITOs 1.2.6 (i), (ii), (v))***

**Table 23:** Charges passed on to the TEO or school for provision of national external moderation services

<b>Service</b>	<b>Not charged (Not Applicable)</b>	<b>Charged including charging rate and comments if included</b>
Moderation visits requested by TEO or school additional to routine activity (e.g. staff time, moderator fees, travel and accommodation costs)	<b>18</b> (N/A 17)	<b>4</b> *\$100.00per provider for support visit. *May charge in the future. *No additional formal visits requested. *\$90 per hour + travel and accommodation costs. *If [ITO Name] staff conducted the visit there was no charge. The staff member would be a Training Advisor working in their region, or an [ITO Name] Quality Assurance staff member able to combine the visit with other activities in a region. The \$90.00 per hour visit would only be charged if a contractor needed to be used. *Site visits\$300 per day + GST; extra time \$150 per half day + GST. *Reimbursement for actual and reasonable travel and accommodation expenses. *\$400 per day +GST. *\$150 per half day + GST. *Visit report \$75 per hour + GST.
Moderation visits completed by ITO as a result of identified issues / non-compliance following previous moderation activity (e.g. administration costs, moderator fees, travel and accommodation costs)	<b>25</b> (N/A 10)	<b>3</b> *May charge in the future. *\$90 per hour + travel and accommodation costs. *\$75 per hour +GST+travel, Moderator fee travel is actual and reasonable. *Administration costs.
Pre-assessment moderation of assessment materials requested by the TEO or school (e.g. administration costs, moderator fees)	<b>27</b> (N/A 4)	<b>7</b> *Cost of moderation is passed on. The [ITO Name] produces assessment guides that have been moderated by the national moderator, the assessors are expected to use these. If an assessor wishes to use something else, it must be moderated before use. *\$67.50 per hour. *Pre-moderation was only charged for when the moderation was required for the purposes of accreditation. *\$75 per submission & \$50 per hour after the first submission. *As per reviewed AMAP with NZQA. *Will be reassessing this in 2009. *\$75/hr+GST for initial evaluation and report. *\$75/hr+GST for subsequent re-evaluation and report. *\$400/day if a site visit is required to complete accreditation application, plus any associated charges. *\$70 per hour, this is rare. *As per AMAP. Schools not charged, TEOs only charged on second submission.

Service	Not charged (Not Applicable)	Charged including charging rate and comments if included
Post–assessment moderation requested by the TEO or school (e.g. administration costs, moderator fees)	23 (N/A 12)	3 *\$67.50 per hour. *\$75 per hour + GST, moderator fee if required by TEO. *Will be reassessing this in 2009. *Only charge them sometimes.
Resubmission of assessment materials as a result of non-compliance (e.g. administration costs, moderator fees)	28 (N/A 7)	3 *Cost of moderation is passed on. *\$67.50 per hour. *\$75 per hour +GST moderator fee after second submission.
Consultation/advice sought by TEO or school (e.g. administration costs, travel and accommodation costs)	26 (N/A 9)	3 *Actual and reasonable travel costs only. *As per NZQA recommendations in the AMAP for fees. *As a service oriented organisation we do not charge for consultation/advice. *\$75 per hour +GST+ travel, Moderator fee travel is actual and reasonable. *This could happen more often in the future.
Other/s (please specify)	6 (N/A 1)	*[ITO Name] does not charge for EMS. *These were abolished in late 2008 in response to shareholder requests. *The [ITO Name] charges \$140per half day moderation visit which is used to cover the time of the industry panel member. This fee has been charged for the past 5 years with no problem for payment from providers.