
Moderator guide[®]



Competenz
Skills for industry

Contents

01	Purpose.....	3	06	Report writing	20
				General guidelines	20
02	The role of ITOs and quality assurance	4		Pre-moderation report	22
	Government expectations of ITOs.....	5		Post-moderation report.....	23
	Unit standards and definitions and explanations.....	7	07	Invoicing	24
03	Assessment and approaches	8		Invoicing requirements.....	24
	Evidence	9		Charging guide	25
	Verification	10	08	Responsibilities as a moderator.....	26
	Portfolio.....	10		Conflicts of interest	26
	Unit standards.....	18		Communication with Competenz	27
	What is moderation?	12		Appeals	28
	What does a moderator do?	12		Monitoring and development	30
	What do you need to become a moderator ?	13			
04	Pre-moderation	14			
	What is pre-moderation?	14			
	Purpose of pre-moderation.....	14			
	What to consider when pre-moderating	15			
05	Post-moderation	16			
	Post-moderation types	17			
	Competenz moderation plan	18			
	What to consider when post-moderating	19			
	What makes a moderator verified/approved?	19			
	Authenticity	19			

Purpose

- This guide will assist Competenz moderators to:
- » Understand how assessment works in the workplace
 - » Understand common terms, concepts and processes related to good assessment and moderation practice
 - » Apply their technical skills, knowledge and experience
 - » Develop a range of administration, communication and people skills required as a moderator.

02

The role of ITOs and quality assurance

What’s an ITO and what are our responsibilities towards NZQA and TEC?

Industry training organisations (ITOs) are recognised by the Associate Minister of Education (Tertiary Education) under the Industry Training Act 1992. They are established by particular industries.

ITO functions include:

- Setting national skill standards for their industry
- Providing information and advice to trainees and their employers
- Arranging for the assessment of trainees
- Arranging the monitoring of quality training
- Arranging for the **delivery of on-job and off-job training** (including developing training packages for employers)



Government expectations of ITOs

The Government expects ITOs to:

- » Enable people in the workforce to complete nationally recognised qualifications
- » Create clear pathways towards advanced trade qualifications at levels four and above
- » Build and maintain strong support from the industries they serve.

To give effect to these expectations, ITOs’ statutory functions are to:

- » Set skill standards for their industries
- » Develop arrangements for the delivery of training.

The standard setting function of an ITO includes the quality assurance of the training and assessment that occurs within their gazetted area. Quality assurance means a process of monitoring assessment to ensure that it is valid, consistent, fair and sufficient and supports equitable outcomes for all learners. Depending on the context, it may also be called moderation, verification, validation, audit, or other similar terms.

Each standard listed on the directory of assessment standards (DAS) has an associated consent and moderation requirements (CMR) document which outlines the specific requirements for consent to assess against that standard. The criteria section in the CMR sets out the national external moderation system that applies.



Unit standard definitions and explanations

Unit standards are developed by industry training organisations and by two NZQA entities – National Qualifications Services and Māori Qualifications Services. The Ministry of Education is the only developer of achievement standards, which are derived from the achievement objectives of the New Zealand Curriculum and Te Marautanga o Aotearoa. Collectively, the developers of assessment standards are known as standard-setting bodies (SSBs).

Each standard describes what a candidate who has achieved the standard knows and can do. Each standard has a defined credit value, which represents the notional learning time and a level, which reflects the level of complexity of the skills and knowledge that are recognised by the standard.

The outcome statements in a unit describe the knowledge, skills and attributes a learner has demonstrated, and the context within which these have been assessed. In order to be credited with the unit standard, a learner must achieve all of the outcomes described in the outcome statements.

The evidence requirements (ERs) specify the critical evidence required to meet the outcomes. Collectively, the ERs provide the standard against which outcomes are assessed.

A moderator's role is to determine whether the evidence provided in an assessment confirms that the learner has achieved all of the outcomes described in the outcome statements.

03

Assessment tools and approaches

There are two different types of assessment - task assessment and evidence assessment. An assessor can provide learners with a specific task to demonstrate their knowledge and skills in relation to the outcomes of an assessment standard. This may also occur naturally in the workplace. Alternatively, learners can be provided with an assessment guide to complete. The assessment guide may also sometimes include task assessments. Both types of assessment can be used in provider and workplace settings.

Whether it's by task or evidence, assessment can involve a variety of methods and approaches (appropriate to the learner and the context) that give the learner the opportunity to show competence.

In group performances, the learners must be identified and assessed individually.

Evidence

Evidence is the proof that a candidate knows and/or can do something. It will take one of three forms:

1. Naturally occurring evidence	2. Specially elicited evidence	3. Historical evidence
<p>This is the most direct form of evidence and is taken from real-life or naturally occurring events that have been produced by a candidate during their normal day-to-day activities.</p> <p>» Observation on-the-job. Observing a candidate carry out the tasks in their natural environment is the most direct form of evidence</p> <p>» Evidence produced during normal day-to-day activities, such as:</p> <hr/> <p>Recorded work instructions</p> <hr/> <p>Completed products or photos of completed products</p> <hr/> <p>Job cards / time sheets</p> <hr/> <p>Drawings and sketches created on-the-job</p> <hr/> <p>Completed company business documents e.g. forms, production sheets, etc</p> <hr/> <p>Company training records</p> <hr/> <p>Video evidence showing the learner carrying out a task/process.</p> <hr/>	<p>This is evidence that is sought and created especially for the purpose of the assessment, and may include:</p> <hr/> <p>Specific assessment tasks</p> <hr/> <p>Written or oral questions or task sheets</p> <hr/> <p>Simulations</p> <hr/> <p>Project work</p> <hr/> <p>Personal diaries/narratives in relation to the completion of the task(s).</p> <hr/>	<p>This is evidence of related activity and achievement in the past.</p> <hr/> <p>Previous qualifications, documentation</p> <hr/> <p>References from previous managers / employers</p> <hr/> <p>Third party accounts from verifiers or witnesses</p> <hr/> <p>Work history.</p> <hr/> <p>This is used for assessment of prior learning (APL).</p>

Verification

Verification is where evidence is documented and signed by a verifier and/or assessor, this is particularly valid where the assessment and gathering of evidence are based on demonstration of practical competence, or is naturally occurring over a period of time.

Verification can be provided by any person who:

- » works closely with the candidate
- » has sufficient relevant subject expertise
- » understands the requirements of the particular assessment.

For example, a verifier could be the workplace supervisor or manager, and the assessor could be a teacher/tutor/workplace assessor.

The assessor, not the verifier, is responsible for the final judgement decision.

Portfolio assessment

A portfolio is particularly appropriate for assessing the more creative areas of learning, especially in visual communication. It is a collection of evidence to support assessment against unit standards. Portfolios can come in a range of types and sizes. For example, it can be electronic (a CD or a website address), a kete containing evidence gathered throughout a course, or a display file of mounted work.

When assessment occurs in the workplace, or as part of a longer course, the candidate may have many opportunities to demonstrate the skills/knowledge required to achieve the unit standard. In this case, rather than having the candidate complete an assessment task, a portfolio of evidence can be provided to demonstrate their competence.

The assessor should provide an assessment checklist, listing the evidence requirements for the standard. The evidence should be put together by the candidate in a way that makes it easy for the assessor to match it to the outcomes and evidence requirements of the unit standard.

Assessment standards often require evidence of planning and design, documentation and evaluation. It is important that this evidence is included in some way; for example, in a visual diary.





What is moderation?

Moderation is a process of monitoring and evaluating assessment documentation and decisions to ensure that standards are applied validly and consistently to all learners.

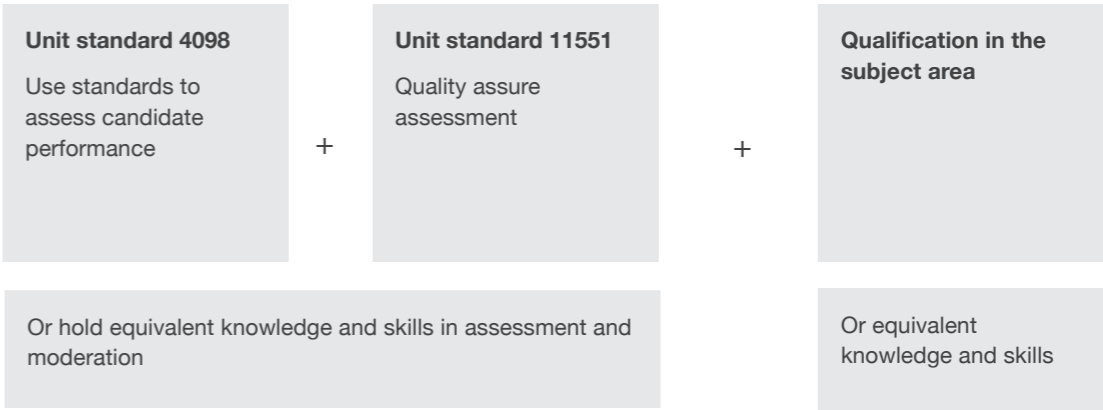
Moderation activities may include, but are not limited to, combinations of discussion with and observations of assessors, meetings with assessors, analysis of assessment documents and materials.

What does a moderator do?

A moderator's role is to evaluate assessment materials and verify assessor decisions. This includes:

- ✓ **Quality assuring assessment tools before they are used for assessment**
- ✓ **Reviewing assessment and supporting evidence presented for post moderation by Competenz assessors and external providers**
- ✓ **Providing feedback on good practice, and making recommendations for improvement.**

What do you need to become a moderator



Other unit standards that may be useful for a moderator

11552 Design and evaluate assessment materials	30422 Participate in the quality assurance of assessment	30423 Participate in assessment processes as a verifier
---	---	--

04

Pre-moderation

What is pre-moderation?

Pre-moderation is the quality assurance of assessment material before it's used for assessment.

Purpose of pre-moderation

The purpose of pre-moderation is to ensure that the materials used for assessment address all requirements of the unit standard and adequate marking guidance is provided.



What to consider when pre-moderating

Assessment task

The key considerations are:

- » Does each assessment task validly assess the outcome, i.e. does it assess what it should assess (in terms of the standard) and not something else?
- » Check whether the materials meet the required outcomes of the standards in terms of: validity, fairness, consistency, sufficiency and level
- » Check whether the language is appropriate to the target audience and level of the standard
- » Using this assessment guide, will the learner have the opportunity to produce sufficient evidence, i.e. is there enough evidence to make a judgement about competence, and could the performance to the required standard be repeated consistently?
- » If you select 'no' for any of the criteria, this requires a comment from you outlining the issue and recommendations for improvement if relevant
- » Moderation feedback should be timely, clear, constructive, and relevant to unit and assessment requirements.

Model answers/marketing guide

The key considerations are:

- » Do these model answers provide enough guidance to the assessor and support consistent assessment decisions?
- » The model answers (MA) should include either actual examples of responses required, and/or judgement statements that describe the quality of acceptable responses e.g. describing what completing a task 'efficiently' or 'independently' means.

Judgement statements:

Have no set format

Need to be flexible enough to apply to validate student evidence, and different to the evidence statements

Should not contain any requirements that are extraneous to the standard

For some standards, it may be appropriate to use the wording of the standard itself as the judgement statement.

05

Post-moderation

What is post-moderation?

- » Workplace assessors engage in moderation with us through our internal moderation process
- » Accredited providers who hold consent to assess for Competenz unit standards such as schools, private training establishments (PTE) and polytechnics engage in moderation with us through our external moderation process.

Purpose of post-moderation

Post assessment is the quality assurance of the assessment process and the assessors' judgments. It checks that assessor judgments are consistent, reliable, fair and valid.



Post-moderation types

Paper-based moderation

This is the most common practice for Competenz. Assessors are asked to provide materials for moderation via post or email, which are then sent to a moderator for moderation.

Observation/ on-site moderation

In some cases, the moderator may have to be on-site with the assessor at the time of the assessment. The assessor and the candidate get live feedback and tips on their assessment, the process, and the supporting evidence. This method is most commonly used by Competenz within the forestry industry.

Online moderation

Some of the Competenz assessments are completed online. For the moderation of these assessments, moderators will be issued login details for Canvas (our LMS system) to complete the moderation. Moderation will not be required for questions that have been system marked (e.g. multiple choice questions).

Competenz moderation plan

Competenz moderation activities are carried out in line with its two-year moderation plan. The moderation plan aims to post-moderate all domains within the Competenz gazetted coverage area at least once every two years.

The frequency of moderation and the number of units called for each provider (school, PTE, polytechnic) is determined using a risk-based approach, ensuring that all providers get moderated at least once every two years. However, when a area is identified as high risk moderation will occur more frequently than two years.

High risk assessors/entities

Failure to respond to moderation request or consistently negative moderation results

EER Category three or four

Complaints received in the last two years

Other SSB units reported.

High risk units

High volume/usage

High physical risk

High academic risk (eg. high credit value, higher levels)

New or revised units

High negative moderation results.

What to consider when post-moderating

- » Check whether the decisions are supported by the evidence provided
- » Can authenticity be assured, i.e. is it the learner who has produced the evidence, or is outside assistance distorting the assessment?
- » Moderation feedback should be detailed enough to improve assessment practice
- » Comments provided in the report should be clear, constructive, and relevant to the unit and assessment requirements.

Authenticity

Authenticity is the assurance that evidence of achievement produced by a learner is their own. There may be an authenticity issue if:

- » Not all the evidence appears to be written using consistent language or handwriting
- » Learner evidence is similar to other learner’s evidence
- » Some of the work appears to be similar to published material
- » It appears that the student was given too much guidance for example re submissions that show the learner exactly what to do.

06

Report writing

General guidelines

Here are some key points to note when writing moderation reports.

Do

Be professional and positive	Ensure that the tone is professional and positive.
Use consistent terms	Use the terms 'learner', 'student' or 'trainee', and be consistent with which one you use throughout the report.
Proofread your report	Correct spelling and grammar are essential, so that the reader of the moderation report sees the report as a credible document and reads the messages contained in the body of the report.

Don't

Give unwelcome feedback	Ensure there is no unwelcome feedback in your report, such as repetition, patronising comments or negative language.
Use personal terms	Avoid personal terms such as "I can not see". Instead, use phrases such as "It is difficult to see".
Use certain phrases	Avoid the use of phrases such as "please note", "furthermore" or "the teacher must".
Be incoherent	Before submitting your report ensure that it is coherent and gives enough guidance to assist with future assessment. All comments should relate specifically to that particular moderation and should not appear to the reader as generic moderation comments.



Pre-moderation report

Moderation outcomes:

Approved

An approved result means the assessment developer does not need to make any changes to what they have submitted for pre-moderation, and that the material is approved for use.

Conditionally approved

Changes indicated in the report must be actioned before the assessment material can be used, however, the changes are minor and do not need to be resubmitted for further moderation.

Minor changes include editing, typing errors, page numbering, question numbering and order, formatting etc.

Not approved and must be resubmitted

Issues indicated in the report must be fixed. Once this is done, the materials need to be resubmitted for moderation.

Example of moderator comments related to assessment task

Task 1
Needs to ask learners to provide a detailed explanation of the use of hand tools to enable them to meet ER 1.2

Recommendation
Using relevant information from their project, and engineering terminology in the task should provide more opportunity for learners.

Post-moderation report

What makes a post-moderation approved?

- » The moderator agrees with the assessors judgement for all learner samples
- » Assessor decisions are consistent with the evidence requirements (ERs) of the standard
- » Evidence provided is sufficient, relevant and authentic
- » Assessor decisions indicate the assessor has a clear understanding of the standard
- » Assessor decisions are consistently moderated.

Requirements

The following are requirements that must be met so the sample can be approved. If you answer ‘no’ to any of these questions the sample should not be approved.

Was a pre-moderation report provided? If it’s a Competenz assessment guide, a pre-moderation report isn’t required. Just select the following option: Not applicable - Competenz materials used

Does the assessment provide sufficient evidence to judge the learner competent?

Were the assessment conditions met?

Are all assessment tasks/questions completed fully and correctly?

Recommendations

Answering ‘no’ to the following should not cause a sample to fail moderation. But should be noted so the assessor can improve their future assesment practice.

Have all the admin sections been completed?

Are all required signatures provided and dated?

Did the assessor provide sufficient feedback to the learner (where required)?

Did the assessor provide assessor notes (where required)?

07

Invoicing

Invoicing requirements

When invoicing Competenz for your work you must itemise charges by sample. The following information must be stated for each sample:

- ✓ If it was a pre or post moderation
- ✓ The unit you moderated
- ✓ And who the moderation was for.

Send your invoice to moderators@competenz.org.nz

Please make sure you read the charging guide. If the time taken to moderate a sample deviates too much from this guide, the quality support manager may contact you for clarification.



Charging guide

All times indicated below are per sample and include allowances for moderation, printing, and any other administrative functions.

Post-moderation

Level	1-8 credits	9-24 credits	25+ credits
1-3	1 to 1 hour 30 min	1 hour 30 min to 2 hours	2 hours to 2 hours 30 min
4-6	1 hour 30 min to 2 hours	2 hours to 2 hours 30 mins	2 hours 30 mins to 3 hours

Pre-moderation first submission

Level	1-8 credits	9-24 credits	25+ credits
1-3	2 hour	2 hours	3 hours
4-5	2 hours 30 min	3 hours	3 hours 30 min
6	3 hours	3 hours 30 min	4 hours

Pre-moderation resubmission

Level	1-8 credits	9-24 credits	25+ credits
1-3	1 hour	1 hour 15 min	1 hour 30 min
4-5	1 hour 15 min	1 hour 30 min	1 hour 45 min
6	1 hour 30 min	1 hour 45 min	2 hours

Payments are processed withing 15 working days from the receipt of your invoice.

08

Responsibilities as a moderator

Conflicts of interest

All contracted moderators must sign a declaration of potential conflict of interest. When you are assigned a moderation you need to inform Competenz if you believe you have any conflict of interest with the assessor, learner or organisation.

Confidentiality

Moderators must ensure the confidentiality and security of all assessment materials belonging to TEOs, schools and learners. You should not contact assessors or assessment developers directly without consent from Competenz.

Communication with Competenz

- » All communication regarding moderation should be directed to the quality support team
- » Notify quality support if you are unable to meet the two week turnaround period
- » Keep any notes relating to your moderation activity, and assessment materials that raise serious concerns or illustrate problems for six months
- » Notify quality support of any changes in your contact details.

Moderators should contact quality support for guidance if you:

- ✓ **Have any concerns regarding assessor decisions**
- ✓ **Find any issues with the unit standard or assessment material**
- ✓ **Have any questions or require advice.**



Appeals

All workplace assessors and registered training providers have the right to appeal your moderation decision. Should this occur, the moderation manager will investigate and the final decision on the outcome and recommendations for improvement will be made by the quality support manager.

Competenz does not view an appeal as a criticism of the original moderator's reasoning and decision. Rather it is an opportunity for the assessors/provider to challenge the original moderation decision and/or comments. It is critical that the assessment material, the original moderation report and reasons for the appeal are viewed with fresh eyes and a neutral perspective. Where required, the first moderator will be contacted regarding the result of the appeal and any actions required.

Completing an appeal

If you are allocated an appeal/re-moderation, you will need to:

- » State whether the appeal has resulted in a change to the moderation overall outcome
- » State whether the appeal has resulted in a change to any of the learner sample outcomes
- » Justify your decision for each issue identified by the assessor in their appeal request (this can be done as an email)



Monitoring and development

Moderator performance monitoring

Competenz monitors all moderation results and time taken to moderate.

Professional development

As a moderator, to maintain your own moderation skills it is encouraged that:

- » You keep up to date with your own industry developments
- » Attend development workshops.

Copyright

Copyright © 2017 Competenz Trust

All rights reserved. Except under the conditions described in the New Zealand Copyright Act 1994 and subsequent amendments, no part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic, mechanical, photocopying, recording, or otherwise without prior permission of the copyright owner.

Educations institutes copying any part of this material for educational purposes under the Act must be covered by a written (and current) copyright licence agreement with Competenz.

Notice of Disclaimer

This material has been written, edited, and published and is made available to all persons and entities strictly on the basis that its authors, editors and publishers fully exclude any liability by any or all of them in any way to any person or entity for damages in respect of or arising out of any reliance in part or full, by such person or entity or by any other person or entity, upon the contents of this publication for any purpose.

The content of this guide has been informed by NZQA expectations based on guidance material available on the NZQA website.

Contact

For additional copies of this material or details of a copyright license, contact:

Competenz, PO Box 9005, Newmarket
Auckland, 1149, New Zealand

0800 526 1800
www.competenz.org.nz

Feedback

Feedback on the content of this document can be sent to:
info@competenz.org.nz

Competenz is a multi-sector industry training organisation (ITO). We help Kiwi industry grow skills, careers and businesses.

For more information contact us
0800 526 1800
info@competenz.org.nz
www.competenz.org.nz

