

<b>Policy Reference</b>	<b>PP Moderation</b>	Year	2012
<b>Version</b>	Version 7	Replaces	V 6
<b>Type of policy</b>	Assessment policy		
<b>Last update</b>	October 2011		
<b>This policy replaces</b>	PP Moderation 11		
<b>Name change from</b>	Not applicable		
<b>Name change to</b>	Not applicable		
<b>Linked Strategy/Plan</b>	Assessment and Moderation Strategy		
<b>Documentation linked to this policy</b>	<p><b>Regional Moderation</b>            Templates; Templates Assessment &amp; Moderation            Moderation Plan completed and sent to NAT            Moderation checklists (completed by regional moderator)            Moderation report completed and sent to NAT            Minutes of meetings copied and sent to NAT</p> <p><b>National Moderation</b>            Moderation checklists (completed by national moderator)            Moderation report completed and sent to REG            Minutes of meetings copied and sent to REG</p>		
<b>Database</b>	eta Student Management System (Results)		
<b>Responsibility for policy implementation</b>	At a regional level: Academic Head At National Level: Academic Development Manager		

## FOREWORD

In terms of the **eta** value of *compliance*; the aim is for **eta** to operate under the following credo: “*all eta regions are able to meet eta’s quality management standards at all times; not only when being moderated or monitored.*”

## PURPOSE

The purpose of this moderation policy is to provide the principles, rules and guidelines relating to moderation of assessment interpretation, decisions and actions as well as monitoring of assessment processes. The aim of the policy is to ensure that **eta** assessment meets the quality assurance standards of **eta’s** assessment policies. The aim of the moderation policy is to ensure that assessment decisions meet the assessment standards indicated in **eta’s** policies; that assessment decisions are consistent and reliable and assessment methods are fair and appropriate. Assessment design is not dealt with in the policy but is addressed in the **eta policy for Curriculum, academic reviews and evaluations**. **eta’s** moderation process is intended to build capacity in **eta** faculty by ensuring that all faculty understand the requirements of accreditation and the **eta** assessment system.

This is a transparent policy and should be made available to students as well as staff. The policy addresses the following:

## POLICY

This policy defines the controls regarding the following:

1. **Moderation principles**
  2. **Moderation planning**
  3. **Moderation of assessment planning and principles**
  4. **Moderation feedback**
  5. **Moderation of modular scores**
  6. **Moderation of pass rates and managing borderline scores**
  7. **Forms/instruments for moderation of assessment**
  8. **Evaluation and monitoring assessor performance**
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### 1. Moderation principles

- 1.1 Assessments are moderated in each region with a standard moderation tool.
- 1.2 As part of the moderation of assessment procedure, results are checked by the Regional Moderator to ensure accuracy of loading.
- 1.3 Sampling percentages for moderation are determined by this policy which indicates the number of assessments and or the type of assessment to be moderated.
- 1.4 Moderation reports are written by the Regional Moderator following the regional moderation.
- 1.5 Moderators of assessment are registered with the relevant quality assessor.
- 1.6 Overall results are evaluated and pass rates are checked at the end of each year to ensure achievement of minimum pass rates.

*See Assessment policy for assessment design*

### 2. Moderation planning

- 2.1 **Moderation is planned** in conjunction with the assessment plan, for an entire academic year or for an entire learning programme.
- 2.2 Recommended moderation periods are indicated in each **Implementation Plan**. Moderation dates are also noted in the **eta** National calendar.
- 2.3 Each region plans their **Internal Moderation** in line with their **academic timetable** for the year and informs CADQA of these dates.

### 3. Moderation of assessment planning and principles

- 3.1 When organising the moderation, a list of students assessment results and associated tasks are randomly selected from the **eta** Student Management System Student for each year of study and for each course, according to sample sizes in this policy.
- 3.2 The list of student names for the moderation is printed out from the **eta** Student Management System's Student Listing. This printed list is retained with the moderation report in the moderation file.
- 3.3 A moderation room is set out with the selected student files, their marked assessments, and the assessment guides with the memos and model answers utilised in the assessment.
- 3.4 Assessments are **moderated in the context of fairness and consistency between assessments and between assessors**, using the prescribed moderation tool.
- 3.5 The moderation also covers moderation of results where a quality check is done for loading errors.
- 3.6 Loaded results are checked against the Assessment Overview, this is a hard copy overview of all results taken from formative and summative assessment instruments.
- 3.7 A Moderation meeting is held with assessors after moderation and the Minutes are typed up and agreed by the assessor(s) and moderator; a copy is kept at the region in the moderation file and a copy is sent to CADQA.
- 3.8 The Moderation Report is generated and filed in the Regional Moderation file; a copy is sent to CADQA.
- 3.9 Moderation of assessment is done in each region by a qualified moderator who has **not conducted assessment** (e.g. Academic Head or Campus manager).
- 3.10 In the absence of a qualified moderator, CADQA will appoint a qualified moderator to carry out moderation in a region. Cost of flights and accommodation will be charged to the region.
- 3.11 No results can be generated or printed prior to the moderation of assessment and moderation of modular scores.

### 4. Moderation Feedback

- 4.1 All Regional Moderators are required to provide feedback on moderation outcomes at all stages of the moderation process.
- 4.2 The feedback includes feedback on assessor conduct and adherence to assessment policies.
- 4.3 Feedback is also required on assessment design and its relevance relative to outcomes.
- 4.4 There is a feedback mechanism and this should be followed according to procedure.

### 5. Moderation of modular scores

- 5.1 **eta** CADQA performs a moderation of pass rates per stream, per module, at the end of each quarter.
- 5.2 This procedure is scheduled in the year planner.
- 5.3 The CADQA Moderator will look for inconsistencies in modular scores.
- 5.4 CADQA will report to each region on the quarterly modular averages.

## 6. Moderation of pass rates and managing borderline scores

- 6.1 Refer to Assessment Rules policy for rules relating to required pass rates.
- 6.2 Refer to Assessment Rules policy for first years qualifying to continue unto second year.
- 6.3 Borderline students qualifying for mark adjustments are those with:
  - 6.3.1 Overall pass => 55%
  - 6.3.2 Essential modules => 55%
  - 6.3.3 Practical hours => 55% (the practical hours is also an essential module)
  - 6.3.4 All formative work per module attempted => 0%
  - 6.3.5 Class attendance => 60% (not applicable to distance learning students)
- 6.4 Only students meeting the criteria above will be considered for overall mark adjustments.
- 6.5 The procedure in this policy for managing borderline students must be followed at all times. *(Refer to point 5 below under Procedures)*

## 7. Forms/instruments for moderation of assessment

- 7.1 With regional moderation of assessment, a Regional Moderate Assessment File is generated for each learner file that has been moderated.
- 7.2 Other documents that accompany the moderation of assessment are the Regional Moderation Plan, Declaration of understanding to be completed by all assessors, Moderation Assessment Report and the Minutes Moderation Meeting.
- 7.3 These documents form part of the Quality Management System and help the moderator to provide feedback to the assessor, region and CADQA.

## 8. Evaluation and monitoring assessor performance

- 8.1 CADQA conducts annual monitoring visits of each region as part of the moderation and monitoring process.
- 8.2 All academic staff responsible for conducting assessment, are required to utilise the assessment memos and model answers provided when conducting assessment.
- 8.3 Students are required to evaluate their assessors, the assessment preparation and the assessment process, these evaluations are utilised as part of the regional evaluation of academic staff by their managers.
- 8.4 Evaluations are utilised by each manager or academic manager as part of the academic staff performance appraisal system. Managers also use the evaluations to provide feedback to CADQA on assessment and assessment design.
- 8.5 CADQA processes each report as part of the annual academic review of assessment.
- 8.6 If, when conducting assessment, an assessor does **not agree** with a memo that has been provided, objections must be stated in writing to the CADQA Moderator, providing the reason for the objection as well as an alternative model answer. This alternative answer must include text references or sources to indicate why the alternative is an improvement on the original memo.
- 8.7 This objection should reach the CADQA office two to three weeks before assessment of the task in question is due.
- 8.8 Academic staff members are required to comply with the **eta** assessment and moderation policies and procedures.

8.9 Academic staff or their managers who are found to be in breach of **eta** policies will be disciplined according to the **eta** disciplinary policies and procedures.

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## **PROCEDURES**

- 1. Procedure for national monitoring of systems and student files**
- 2. Procedure for checking administration and filing regionally**
- 3. Procedure for moderation of assessment**
- 4. Procedure for sample selection and sample sizes**
- 5. Procedure for managing mark adjustments and moderating overall pass marks**

### **1 Procedure for national monitoring of systems and student files**

- 1.1 National monitoring occurs annually, before the end of each course, each year, before final results are sent.
- 1.2 Monitoring dates are in the National Calendar and regions are sent a plan 7 days in advance.
- 1.3 CADQA Monitor checks for adherence to quality management systems, policies and procedures of assessment processes.
- 1.4 Student tasks, portfolios and student records are checked in a region and a sample number of students' work is randomly selected from the **eta** Student Management System.
- 1.5 This selection list is sent to the Academic Head who prepares students' PoE and files for the Monitor.
- 1.6 With National Monitoring, a National Moderation Report is completed for each file selected for the audit process.
- 1.7 The systems are checked, using the National Moderation Checklist.
- 1.8 Following the national monitoring visit, a meeting is held between the regional staff and the CADQA moderator and Minutes of the meeting are typed up and signed by all parties.
- 1.9 All electronic records of the monitoring visit are kept at the region and at CADQA.

### **2 Procedure for checking administration and filing regionally**

- 2.1 CADQA sends a template for the Administration Checklist for the Campus Administrator to ensure compliance to the administration systems.
- 2.2 Checklists have been designed to self check the following systems to ensure compliance to the quality management system:
  - Student administration files
  - Student academic files
  - Course file
  - Staff file
  - Databases
  - Resources
- 2.3 Completed Administration checklists are filed in each student's file and a report is sent to CADQA confirming the completion of the checks plus any comments or concerns.

- 2.4 Compliance to the checklists is then checked during the national moderation visit (at least once a year) to ensure compliance and maintenance of records.
- 2.5 Checklists are filed in regional student files for ETQA audits.

### 3. Procedure for moderation of assessment

- 3.1 **Regional Moderations:** A moderation of assessment follows **each mid year** and **end of year** assessment week.
- 3.2 **Distance Learning:** A minimum of two assessment moderations occur each year.
- 3.3 **eta Special Projects:** One moderation of assessment per learnership .
- 3.4 Assessment are moderated according to the sample policy and reported *before assessment feedback is given to students* and before reports are issued. This is to allow for possible adjustment of assessment decisions.
- 3.5 CADQA Moderator monitors adherence to the QM system and assessment processes in each region, in the second half of the academic year.
- 3.6 Accreditation by ETQA: **eta** learning programmes (usually at a campus) are monitored once a year by THETA or CHE.
- 3.7 External moderation/verification of **eta** CADQA; this usually occurs once a year or once every 3-5 years.

### 4. Procedure for sample selection and sample sizes

- 4.1 The sample of files to be moderated is **selected randomly** from each course's student list per year of study by the moderator.
- 4.2 The list of selected students' names is sent to the faculty member by the moderator. These students' assessments are located and prepared for moderation.
- 4.3 The percentage of files to be moderated depends on the number of assessments completed.
 

Sample sizes are as follows:
< 20 assessments; sample size is 25%
20 – 30 assessments; sample size is 20%
30 – 40 assessments; sample size is 15%
> 40 assessments; sample size is 10%
- 4.4 All tasks are checked against model answers and checklists – these are provided for the moderation by the Academic Head.

### 5. Procedure for moderation of pass rates and managing mark adjustments for borderline scores

- 5.1 At the end of each year, once all results are loaded, regional faculty meetings are held to evaluate borderline students.
- 5.2 The Academic Head should meet with the faculty to evaluate these students to determine whether a mark adjustment per essential module is warranted. The CADQA Moderator can be consulted to assist in this decision making.
- 5.3 If mark adjustments are agreed, the Academic Head or authorised faculty member sends **a report with the list of candidates to the CADQA Moderator for adjustment.**
- 5.4 The report must include a motivation with reasons for mark adjustments.



- 5.5 **Scores are adjusted by the CADQA Moderator.**
  - 5.6 In all instances, the policy relating to moderation of pas rates and managing borderline scores must be referenced with this procedure. (Refer to point 6 above under Policies)
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