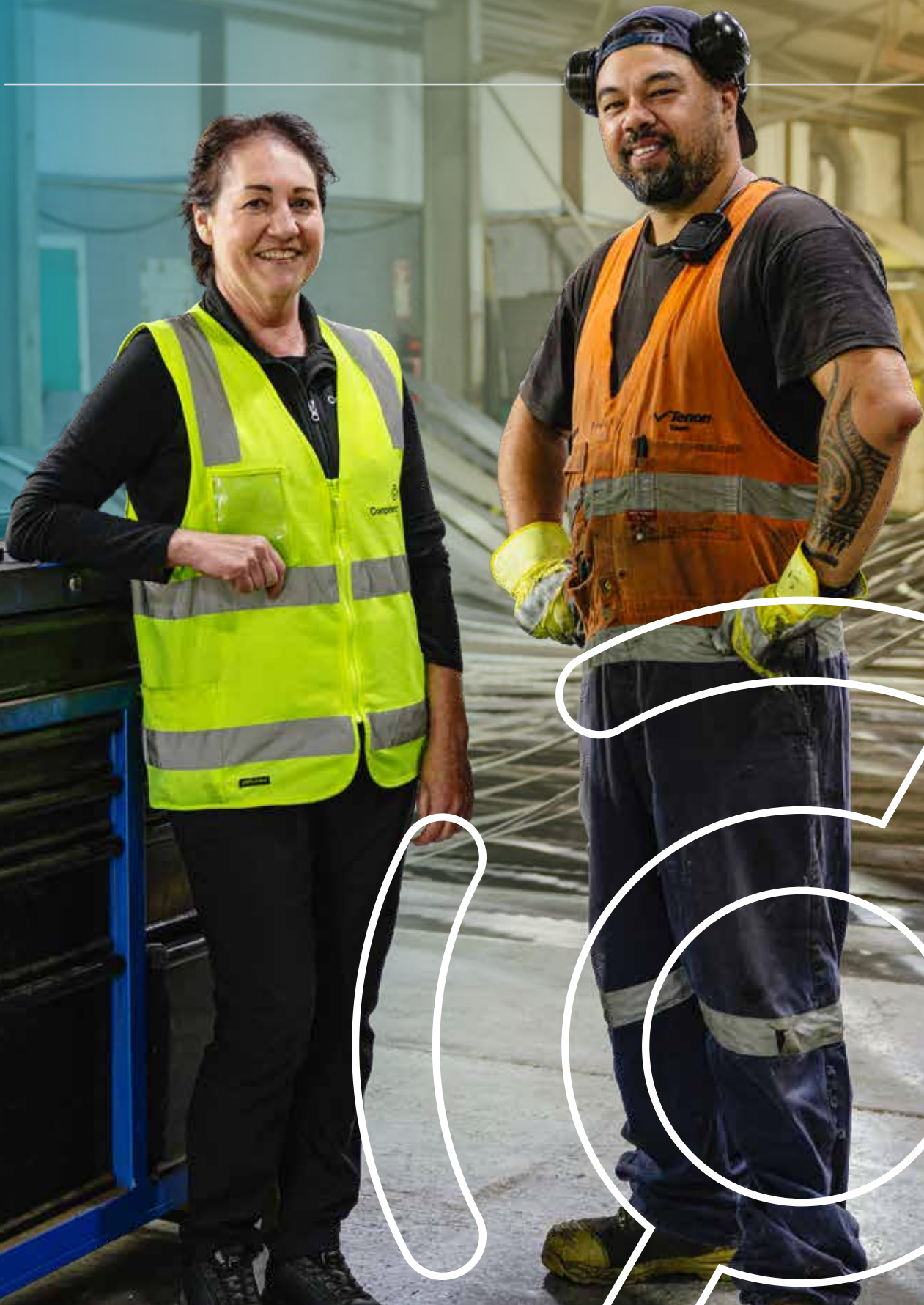


MODERATORS' GUIDE





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01 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

Competenz Role and Responsibilities

Competenz arranges training for apprenticeships and traineeships through on-the-job qualifications, supporting employers, job seekers and people with jobs in our industries.

We work with more than 3,500 employers and 12,000 learners around New Zealand each year to build skills, careers and businesses.

We provide quality assurance of all assessments and moderation practices for all of our industries and programmes where credits are reported to NZQA by Competenz.

Competenz' functions include:

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)



Quality Assurance

Competenz has a responsibility to all of our stakeholders to ensure our programmes are being delivered and learners are being qualified:

- in a consistent manner
 - against set criteria (standards) and
 - against valid assessments
- with fairness
- measuring authentic and sufficient evidence.

Competenz conducts, manages and monitors a range of processes and policies including:

- pre-assessment moderation
- post-assessment moderation*

* This can sometimes be referred to as moderation, verification, validation, audit, or other similar terms.



Unit standard definitions and explanations

Unit standards are developed by standard setting bodies (SSBs), as established by Government.

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 of 10 hours per credit, and a level, which reflects the level of complexity of the skills and knowledge that are recognised by the standard.

The outcome or element 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) or Performance Criteria (PCs) specify the critical evidence required to meet the outcomes. Collectively, the ERs provide the standard against which outcomes are assessed.

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.

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

The official documents that **instruct learners** and against which they provide evidence. These may include written documents, questionnaires, online tests, or practical skills instructions. At Kompetenz, these are referred to as **Assessment Guides**.

The official documents that **guide assessors** in making appropriate decisions and judgements about the learner's evidence. At Kompetenz, these are referred to as **Model Answers**.

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.

NOTE: the assessment tools are NOT the Unit Standards. The assessment tools have been created from, and should align to the Unit Standards. The Unit Standard should always be checked when moderating assessment materials.

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

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.

- Observation on-the-job. Observing a candidate carry out the tasks in their natural environment is the most direct form of evidence
- Evidence produced during normal day-to-day activities, such as:

Recorded work instructions
Completed products or photos of completed products
Job cards / time sheets
Drawings and sketches created on-the-job
Completed company business documents e.g. forms, production sheets, etc
Company training records
Video evidence showing the learner carrying out a task/process.

2. Specially elicited evidence

This is evidence that is sought and created especially for the purpose of the assessment, and may include:

Specific assessment tasks
Written or oral questions or task sheets
Simulations
Project work
Personal diaries/narratives in relation to the completion of the task(s).

3. Historical evidence

This is evidence of related activity and achievement in the past.

Previous qualifications, documentation
References from previous managers / employers
Third party accounts from verifiers or witnesses
Work history.

This is used for recognition of prior learning (RPL).

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 digital (a website), 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 and reporting 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 (Pre-assessment moderation)**
- ✓ **Reviewing assessment and supporting evidence presented for post moderation by Competenz' registered assessors**
- ✓ **Providing feedback on good practice, and making recommendations for improvement.**

What do you need to become a moderator?

Note: requirements for moderator registration are established by standard setting bodies and can change. Below are common expectations which will be confirmed on your application for registration.

Unit standard 4098 Use standards to assess candidate performance	+	Unit standard 11551 Moderate assessment	+	Or hold evidenced equivalent knowledge and skills in assessment and moderation
--	---	---	---	--

Note: for moderating some units you may also be required to hold **Unit standard 11552** or evidenced equivalent knowledge and skills in assessment design and evaluation.

Other unit standards that may be useful for a moderator

30422 Participate in the quality assurance of assessment	30423 Participate in assessment processes as a verifier
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04

Pre-assessment moderation

What is pre-assessment moderation?

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

Purpose of pre-assessment moderation

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



What to consider when pre-moderating

Assessment Guide/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/Marking Guide

The key considerations are:

- Do the 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.

A mapping matrix should be included that shows where each Outcome/Element and Evidence Requirement/Performance Criteria are covered in terms of assessment questions or tasks.

05

Post-assessment moderation

What is post-assessment moderation?

- Workplace assessors engage in moderation with us through our internal moderation process, and when required by external standard setting bodies (SSBs).

Purpose of post-assessment moderation

Post-assessment moderation is the quality assurance of the assessment process and the assessors' judgments. It checks that assessor judgments are consistent, reliable, fair and valid, and that the learner's evidence is valid and sufficient to meet the requirements of the unit standard.



Post-assessment moderation types

Paper-based moderation

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 in our Learning Management System (LMS). Moderators will be provided an extracted version of the materials and evidence for moderation.

Cluster Moderation

This is where a group of moderators will gather together to discuss and moderate materials.

Competenz moderation plan

Competenz moderation activities are carried out in line with its annual 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 assessor is determined using a risk-based approach, ensuring that all assessors are moderated at least once every two years. However, when a standard or situation 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

Complaints received in the last two years

Recurring Repeating issues with assessment/moderation practice or outcomes

High risk units

High volume/usage

High physical/emotional 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 for example, reassessment instructions from assessor 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', 'akonga' or 'candidate', 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.
Use your guide	When moderating, always refer to the Moderator Guidance_Post Assessment Moderation Report document that is provided to you on registration.

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, "furthermore" or "the assessor 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.
Express your suspicions as accusations	You can only moderate what you can see, you cannot make assumptions about what you cannot verify, for example, cheating or copying. If you suspect this, word it as as possible concern, not a direct accusation.



Pre-assessment 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-assessment 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.

Post-assessment moderation report

What makes a post-assessment moderation approved?

- The moderator agrees with the assessors judgement for all learner samples
- Assessor decisions are consistent with the Evidence Requirements (ERs) or Performance Criteria (PCs) 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 consistently made across all learner samples.



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:

- 1. If it was a pre or post moderation
- 2. The unit you moderated
- 3. And who the moderation was for (assessor name).

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-assessment 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-assessment 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-assessment 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 within 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 Competenz' stakeholders. 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 the Quality Support team of any changes in your contact details.

If you have any concerns that you cannot resolve while moderating, please:

- **Contact your key National Moderation Manager by email or**
- **Phone, or**
- **post a message in the online Moderators' Forum.**



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.



Monitoring and development

Moderator practice review

Competenz' Quality Support team reviews:

- All Not-Approved Moderation Reports prior to forwarding them to assessors
- Sample/s of Approved Moderation Reports regularly
- Each Moderator's moderation practice history annually.

Moderators will be given notice of an upcoming review of their practice history, as well as detailed feedback and coaching if/as required.

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 at least one provided upskilling/refresher event annually, as provided by the Quality Support Team. These may be face-to-face and/or via Teams or similar online platforms.

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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

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

We help Kiwi industry grow skills, careers and businesses.

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