Assessment and Moderation Policy
(including results)

Audience and scope:

This policy is relevant to the following roles:

- All staff

Document management and control

Policy Number	Academic Policy 4	**Consultation Scope**	All staff
Category	Academic	**Approval Date**	11 May 2022
Policy Owner	Academic Committee Chair	**Approval Bodies**	Academic Committee
Policy Contact Person	General Manager, Academic Services	**Review Dates**	TBC

Amendment history

Version	Effective Date	Created/Reviewed by	Reason for review/Comment
V 1.0	1 January 2010	Director Academic	New version
V 2.0	10 August 2012	Academic Board	Plagiarism detection software included
V 3.0	1 January 2014	Academic Board	Scheduled review
V 4.0	11 April 2014	Academic Board	Exemption to the 10 day turnaround for final course results included
V 5.0	10 June 2014	Academic Director	Update to position titles
V 6.0	12 December 2014	Academic Board	Amendments to sections 3.10.2, 3.10.3, 3.10.12 and 3.10.6
V 7.0	13 May 2016	Academic Board	Inclusion of:

			• assessment of prior Learning provisions
			• a statement around holistic assessment in section 2.3
			• minor updates to reflect changes to titles of roles and documents.
V 8.0	1 January 2018	Academic Board	Revision to align content with changes to the *Student Regulations 2018*
V 9.0	1 January 2019	Academic Board	Scheduled review
V 10.0	27 November 2019	Academic Board	Amendments following assessment and moderation feedback
V 11.0	1 January 2021	Academic Committee	Amendments to Associated Documents and added requirement to report post-moderation issues
V 12.0	24 March 2021	Academic Committee	Amendments to Delegations table
V13.0	11 May 2022	Academic Committee	Scheduled Review

Table of Contents

Assessment and Moderation Policy

Purpose

The purpose of this policy is to ensure that assessment and moderation contributes to a positive learning experience for Manukau Institute of Technology Limited (MIT) students. It describes a framework for staff capability and accountability to deliver effective assessment and moderation practice.

This policy and associated procedures aim to ensure that MIT remains compliant with the requirements of the [Education and Training Act 2020](#) and [NZQA Rules](#) for assessment and moderation. It covers:

- assessment
- recognition of prior learning, credit recognition and credit transfer
- moderation
- results

Compliance with this policy significantly influences MIT's academic quality assurance status with NZQA and therefore its ongoing funding for academic delivery.

This policy and associated procedures should be read in conjunction with the MIT *Student Regulations* (available on MITNet). Together these documents apply to all MIT learning and teaching activities that involve assessment, recognition of prior learning, credit recognition, credit transfer, moderation, and results.

Policy

For the purposes of this policy and associated procedures:

- The terms 'programme' and 'training scheme' are deemed to include all MIT educational offerings (including programmes, training schemes, micro-credentials, training and short courses) which involve assessment unless expressly excluded.
- Assessment is the process used in determining the granting of a credit or credits and does not refer to formative assessment unless expressly stated.

1. *General*

    1.1. Assessment and moderation practices at MIT will comply with all relevant external regulatory and standard-setting body requirements.

    1.2. For achievement-based assessments, criterion reference should be used (not norm reference).

2. *Assessment*

    2.1. Assessment will be undertaken in a fair and impartial manner and conflicts of interest will be effectively managed and, wherever possible, avoided.

2.2.   Assessment will enhance learning and teaching and involve a variety of methods meeting the diverse needs of students.

2.3.   Assessment will use a variety of methods appropriate to the programme and learning environment. Where applicable, assessment will be aligned to the holistic assessment of competencies and graduate attributes in real or simulated work contexts.

2.4.   Assessment methodology will be:
   a) fair - assessments will provide all students with opportunities to engage with and enhance their learning and demonstrate their knowledge and experience gained
   b) valid - assessment will relate directly to the stated graduate and learning outcomes and provide opportunities for authentic assessment
   c) consistent – assessment will accurately and consistently measure student learning
   d) appropriate for the given level and the stated graduate and learning outcomes for the programme or training scheme.

2.5.   Assessment will be designed using well-researched assessment methods.

2.6.   Assessment will be transparent and relevant for students' learning. The purpose of assessment will at all times be explained to students. Assessment information will be provided to students in a timely and easily understood manner.

2.7.   Programme Committees will provide oversight of all assessment activity (including recognition of prior learning, credit recognition and credit transfer) for programmes and training schemes within their area of responsibility.

2.8.   Assessment may be completed in Te Reo Māori if it is practical and a translator approved by MIT for language fluency and subject expertise is available.

2.9.   Where appropriate, there is an expectation that assessments will be submitted using the Learning Management System (LMS).

2.10. Assessment will be carried out in accordance with the *MIT Student Regulations*, *Assessment Procedures (AC4/1)* and *Conduct of Assessment Procedures (AC4/5)* (available on MITNet)

2.11. Where potential student misconduct during assessment is identified, it will be dealt with in accordance with the *MIT Student Regulations* and *Student Misconduct During Assessment Procedures (AC 4/6)*

3.   ***Recognition of Prior Learning, Credit Recognition and Credit Transfer (RPL/CRT)***

3.1.   Recognition of Prior Learning (RPL), Credit Recognition (CR) and Credit Transfer (CT) are processes that allow credit to be granted towards a formal qualification where a student has relevant previous learning or experience. The granting of credits is made through an assessment process which determines that the range of

evidence submitted by an applicant is equivalent to the MIT course learning outcomes for which recognition is being sought.

3.2. To be compliant with NZQA approval and accreditation requirements, and TEC funding requirements MIT will:

a) Integrate RPL/CRT into the overall systems, regulations, policies and practice, e.g., programme development, assessment and moderation, organisational self-assessment.

b) Approve appropriate quality assurance and academic regulations, policies and procedures for RPL/CRT that apply across all learning areas of the organisation.

c) Provide clear, relevant, and appropriate regulations that specify requirements for RPL/CRT (Rule 4, Criterion 5 of the NZQF Programme Approval and Accreditation Rules 2018).

d) Promote to learners, through all relevant means, accurate information about RPL/CRT.

e) Provide accessible academic advice and support to assist learners to apply for credit through RPL/CRT.

f) Ensure decisions about RPL/CRT are timely, transparent, robust, consistent, and defensible and for the maximum benefit of learners.

g) Balance the opportunities for learners to progress without repeating learning with maintaining confidence in the integrity of qualifications.

h) Ensure that equivalence assessment undertaken as part of the RPL/CRT process will be subject to assessment and moderation requirements.

3.3. This policy must be read in conjunction with the *MIT Student Regulations* and *Recognition of Prior Learning, Credit Recognition and Transfer Procedures (AC4/2)* and other associated policies and procedures (available on MITNet), which together govern the application of RPL/CRT at MIT.

4. *Moderation*

4.1. Every MIT programme and training scheme that involves assessment (including sub-contracted delivery) will have a current moderation plan which outlines and tracks the implementation of both pre and post-moderation (internal and external), and check marking.

4.2. MIT moderation procedures and processes will ensure that summative assessments are moderated so that assessment at MIT is fair, valid, consistent and appropriate for the level, given the stated graduate and learning outcomes.
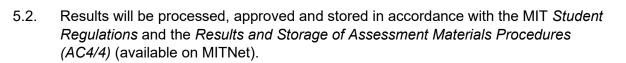
4.3. Internal pre-moderation will occur prior to an assessment being used for the first time, after any changes are made to the assessment, a minimum of every three years, or more frequently where necessary or appropriate.

4.4. Internal post-moderation will occur after an assessment is used for the first time and a minimum of every three years, or more frequently where necessary or appropriate.

4.5. External post-moderation will occur a minimum of every five years or more frequently where necessary or appropriate.

4.6. Pre and post-moderation is to be undertaken by an appropriately qualified moderator, other than the assessor or assessment developer, who has subject knowledge. External post-moderation is to be undertaken by a moderator outside of MIT.

4.7. If a significant problem with an assessment is identified during post-moderation that affects the compliance and validity of the course learning outcomes, the Programme Committee must report it to the Head of Academic Quality and the relevant Director Schools and Performance for advice on remedial action.

4.8. Post-moderation by external regulatory and standard-setting bodies (including moderation of assessment standards) will take place as required.

4.9. A sample of student's work will be check-marked at least once per assessor during the year in which the assessment is delivered. This is to ensure marking maintains consistency and is fair. Check-marking focusses on checking the marking and not the assessment tool.

4.10. Hosting arrangements will be established where more than one School is assessing an assessment standard or course to ensure quality standards and consistency are maintained.

4.11. Moderation outcomes will be considered as part of the Programme Evaluation and Review (PER) or self-evaluation exercise for each programme or training scheme.

4.12. Moderation outcomes will be reported and considered in a constructive way and will be used to improve assessment and assessment practices.

4.13. Where MIT has sub-contracted the delivery of all or part of a programme, training scheme or assessment standard on MIT's behalf, MIT will retain responsibility for all quality assurance requirements (including moderation). Moderation must occur as outlined in this policy.

4.14. MIT assessments (including sub-contracted delivery) will be moderated in accordance with the *MIT Moderation Procedures (AC4/3)* (available on MITNet).

5. *Results*

5.1. Results (including outcomes from an RPL assessment) will be accurately processed and approved and will be securely stored in perpetuity.

5.2. Results will be processed, approved and stored in accordance with the MIT *Student Regulations* and the *Results and Storage of Assessment Materials Procedures (AC4/4)* (available on MITNet).

5.3. Any adjustment of student marks may only be considered by Programme Committee through a conceded, restricted or aegrotat pass, or as a result of student complaints and appeals.

5.4. Other methods of adjusting marks, including scaling of marks, for an individual student or cohort are not permissible, except in accordance with the *Procedures for Awarding Restricted, Conceded and Aegrotat Passes and for Scaling marks (AC4/7)* (available on MITNet).

6. *Storage of assessment materials*

6.1. Assessment materials (summative assessment tasks, assessment schedules, marking guides or rubrics, and marked student work (including practical evidence) in either original or electronic form, will be retained for a period of at least 12 months after the release of final course results unless a longer retention period is required by an external regulatory authority.

6.2. MIT assessment materials will be retained in accordance with the MIT *Student Regulations* and the *Results* and *Storage of Assessment Materials Procedures (AC4/4) (*available on MITNet).

7. *Qualifications and professional learning*

7.1. Assessors and moderators (including for RPL) will be appropriately qualified and will undertake ongoing professional learning in accordance with requirements set out in the *Assessment Procedures (AC4/1)* and *Moderation Procedures (AC4/2)* (available on MITNet).

7.2. Professional learning opportunities will be provided to academic staff to ensure high levels of capability in assessment and moderation.

Procedures

See the following MIT procedures approved by the Academic Committee:

- *Assessment Procedures (AC4/1)*
- *Recognition of Prior Learning, Credit Recognition and Credit Transfer Procedures (AC4/2)*
- *Moderation Procedures (AC4/3)*
- *Results and Storage of Assessment Materials Procedures (AC4/4)*
- *Conduct of Assessment Procedures (AC4/5)*
- *Student Misconduct During Assessment Procedures (AC4/6)*
- *Procedures for Awarding Restricted, Conceded and Aegrotat Passes and for Scaling marks (AC4/7)*

Evaluation/Outcomes

The extent to which the implementation of this policy and associated procedures achieve their intended outcomes will be subject to evaluation and review by the Self-Assessment, Evaluation and Review (SAER) Committee (see the *Evaluation Review and Monitoring Policy (AC8)* and associated procedures – available on MITNet).

Additional Information

Glossary

See the *Glossary for Academic Policies, Procedures and Associated Documents* (available on MITNet)

Exemptions and dispensations

Nil

Delegations

The Academic Committee sub-delegates the following authorities (under its delegated authority from the Board – see the *Board Register of Permanent Delegations and Authorisations*):

Authority	*Delegate*	*Supporting Endorsements*
To approve changes to assessment design after the course start date	General Manager Academic Services	Programme Committee
To approve changes to an assessment tool after it has been issued to students	General Manager Academic Services	Programme Committee
To approve assessment in Te Reo Māori	Head of School	
To approve an extension to the due date for the submission of an assessment where the assessment will be completed prior to the course end date	Academic staff member responsible for the assessment	
To approve an extension to the due date for the submission of an assessment where the assessment will be completed after the end of the course	Programme Committee	Academic staff member responsible for the assessment
To approve procedures and documentation for circumstances where the TEC or NZQA requests MIT to accommodate students from other providers in order to enable them to complete their qualification.	General Manager Academic Services	
To approve exceptions to any existing limitations to recognition of prior learning and credit recognition and transfer	Chair of the Academic Committee	Head of School Programme Committee
To approve Annual Moderation Plans for programmes, training schemes and courses for which they are responsible	Programme Committee	
To approve and sign external moderation agreements using an unchanged MIT External Moderation Agreement template or External Moderation (Reciprocal) Agreement template	Head of School	Academic Lead (Curriculum) and/or Academic Lead (Quality) (in conjunction with the Programme Committee)

To approve and sign external moderation agreements other than those using an unchanged MIT moderation agreement template	Head of Academic Quality	Head of School
To block (and where appropriate unblock) the reporting of credits for assessment standards through the Student Management System (SMS) where: • MIT has advised NZQA or another external regulatory or standard setting body that a standard is no longer being assessed and is inactive for external moderation purposes • an assessment for a standard has been identified by NZQA or another external regulatory or standard setting body as being not at standard following external moderation.	Head of Academic Quality	
To resolve disputes relating to pre and post-moderation outcomes (excluding outcomes from moderation by external regulatory or standard setting bodies)	Head of School	
To assign responsibility for moderation with regard to DAS subfields and non NZQF subject disciplines to host schools	General Manager Academic Services	
To approve an extended turnaround of assessment outcomes from those notified to students	Head of School	
To approve and release student results, and recognise credit for assessment (including recognition of prior learning, credit recognition, and credit transfer)	Programme Committee / Head of School (where relevant)	Academic staff member responsible for the assessment and, where relevant, Results Sub-Committee or Programme Committee Chair, Head of School, and a senior academic staff member
To approve an extension of up to five working days to the specified turnaround for the approval of final course results	Head of School	
To approve an extension of greater than five working days to the specified turnaround for the approval of final course results	General Manager, Academic Services	Head of School
In exceptional circumstances, to issue a student with their final course results notice before the published results release deadline.	Head of School	
To approve MIT protocols for the retention of assessment materials	General Manager, Academic Services	

To approve the use of plagiarism and similarity detection software	Programme Committee	
To approve scaling of marks	Chair of the Academic Committee	
To grant aegrotat passes	Programme Committee	
To grant restricted and conceded passes	Programme Committee	
To approve transfer or credit of restricted or conceded passes to another programme	Chair of the Academic Committee	Programme Committee
To approve student misconduct investigation outcomes	Head of School (or Director Schools and Performance)	

Statutory Compliance

- [Education and Training Act 2020](#)
- [Privacy Act 2020](#)
- [Public Records Act 2005](#)
- [NZQA Programme Approval and Accreditation Rules](#)
- [NZQA Training Scheme Rules](#)
- [NZQA Consent to Assess Against Standards Rules](#)
- [NZQA Guidelines for approval of New Zealand Qualifications at levels 1-6 for listing on the New Zealand Qualifications Framework](#)
- [Degrees and Related Qualifications, Guidelines for Programme Approval and Accreditation to Provide Programmes](#)
- [NZQA Training Scheme Guidelines](#)
- [Guidelines for Applying for Consent to Assess Standards Listed on the Directory of Assessment Standards](#)
- [NZQA National External Moderation Guidelines Tertiary Education Organisations](#)

Legal Compliance

This policy is intended to comply with MIT Statutes and Regulations and relevant New Zealand legislation. In the event of any inconsistency between this policy and New Zealand legislation, the relevant legislative provisions shall prevail. In the event of any inconsistency with MIT statutes and regulations, the statutory and regulatory provisions shall prevail.

Associated documents

- MIT Student Regulations
- Learning and Teaching Policy (AC1)
- Academic Staff Education Policy (AC2)
- Academic Development and Approvals Policy (AC3)
- Evaluation, Review and Monitoring Policy (AC8)
- Glossary for Academic Policies, Procedures and Associated Documents.
- Admissions and Enrolments Policy (AM2)
- Fee Payment Policy (AM3)
- Cancellations, Withdrawals and Transfers Policy (AM4)
- Student Complaints Resolution Policy (AM7)
- Intellectual Property Policy (AM10)
- Delegated Authorities Policy (FIN2)
- Contracts Approval and Management Policy (LC1)
- Academic Staff Education and Professional Learning Procedures (AC2/1)
- Assessment Procedures (AC4/1)
- Recognition of Prior Learning, Credit Recognition, and Credit Transfer Procedures (AC4/2)
- Moderation Procedures (AC4/3)
- Results and Storage of Assessment Materials Procedures (AC4/4)
- Conduct of Assessment Procedures (AC4/5)
- Student Misconduct During Assessment Procedures (AC4/6)

- Procedures for Awarding Restricted, Conceded and Aegrotat Passes and for Scaling Marks MIT (AC4/7)
- Evaluation, Review and Monitoring Procedures (AC8/1)
- Process for the Approval of Assessment in Te Reo Māori
- Protocols for the use of Turnitin
- Retention of Assessment Guidelines
- MIT File Storage Protocols
- Moderation Plan and Tracking Tool (MP&TT)
- Pre-Moderation Report template
- Post-Moderation Report template
- Check-Marking Report template
- MIT External Moderation Agreement template
- MIT External Moderation (Reciprocal) Agreement template
- Hosting Agreement template
- Assessment Matrix template
- RPL/CRT Process
- RPL/CRT Application Form_Service Agreement
- RPL Assessment Details
- RPL/CRT PC Outcome Form
- CR Mapping Template
- ProctorU Guide for Students
- ProctorU Guide for Lecturers