

# Handbook for Senior Moderators 2003

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# **Introduction**

## **Acknowledgement**

We are totally reliant on the services of Senior Moderators and Moderators. We at SQA are pleased to acknowledge that dependence, and would like to thank all appointees for their professionalism and co-operation.

## **Confidentiality**

Moderation decisions and the performance of centres and individual candidates are confidential and must not be discussed with or revealed to anyone not involved officially with the moderation procedures in the Course concerned. In particular, details of marks and results must not be made available to unauthorised persons (eg members of other moderation teams).



# 1 Notes for Senior Moderators

## 1.1 Introduction

This section provides Senior Moderators with information which will assist them in preparing for and supervising the conduct of central moderation events.

## 1.2 General instructions

- a Central moderation will be carried out in the SQA offices on the dates previously intimated to members of the Moderation Team.
- b You should ensure that all members of the Moderation Team are aware of the purpose of the moderation procedure, and of the way in which moderation will be conducted. A copy of the *Instructions to Central Moderators* and any subject-specific instructions will be provided for each team member.
- c At the beginning of the event the Moderation Team should have the opportunity to discuss standards. A random sample of candidate materials is often used as a means of agreeing appropriate standards.
- d Moderators must not consider work from their own centre or exception centres.
- e You will be required to monitor the performance of each moderator and note his/her suitability for a future appointment as a moderator. A form will be provided for this purpose.
- f When moderation has been carried out for all the centres selected, you should ensure that:
  - ◆ the members of the team have signed and dated the Moderation Report Forms for National Units/Courses and the Moderator's Worksheet for Standard Grade
  - ◆ for the 'Not Accepted' centres, you agree with the moderator's decision
  - ◆ you accept the moderator's wording on the Report Form/Worksheet, and his/her explanation of what the candidates/centre must do to have the 'Not Accepted' decision lifted
  - ◆ you decide with the team whether it will be you as the Senior Moderator, or the appropriate Moderator, who will re-moderate the material supplied by the centre to have the 'Not Accepted' decision lifted
  - ◆ any other relevant issues that have arisen during the moderation event have been brought to the attention of the appropriate Moderation Officer
  - ◆ you have advised the Moderation Officer that your event has finished
- g A Senior Moderator report on the event must be written and submitted to SQA's Moderation Section.

## 2 Notes for Moderators: Standard Grade

### 2.1 General

Moderation is concerned with confirming that a centre has carried out the grading procedure correctly according to the published *Arrangements* and the Grade Related Criteria (GRC) for the Element concerned. Moderation is **not** intended to be a re-grading or double-grading exercise concerned with altering the centre's grading of individual candidates' work.

### 2.2 Moderation of assessments

You will be provided with samples of candidates' work, and a Moderator's Worksheet.

- a The samples of candidate's work from a sample of centres should have been selected on the following basis:
- ◆ Where 13 or more candidates have been entered, an asterisk (\*) will appear against the name of one candidate listed on the *Standard Grade Estimates and Assessment Grades (Form SGER 00)*. **From this point on the list**, the centre should have included in the sample the first two candidates in order of listing for each of grades 1 – 6.
  - ◆ Where the centre has submitted grades for 12 or fewer candidates, the work of all candidates should have been submitted, irrespective of the grades awarded.
  - ◆ Where grades have been entered on the Form SGER 00 for more than 12 candidates, but there are fewer than two candidates on any grade, the sample should be made up by the addition (as appropriate) of one candidate for each grade in order of listing on the Internal Assessment Form in the following sequence of grades — 3, 2, 4, 5, 1, 6, (3, 2, 4, 5, 1 for Biology, Chemistry, Physics and Technological Studies). This sequence should have been repeated until a sample of 12 candidates had been identified.
- b The Moderator's Worksheet is used to record all working, comments and decisions on the moderation of the centre's sample. Any notes on an individual candidate's work should be written on the worksheet provided and **not** on the candidate's Internal Assessment Flyleaf.
- c Where the centre's assessments are accepted but you wish to bring some comments to the centre's attention, a Centre Feedback Form should be completed.

## 2.3 Procedure

For each centre, proceed as follows:

### a Clerical check

- i Where appropriate, start by checking the sample of work for any arithmetical error on the centre's part in arriving at the overall grades. An arithmetical error is one which occurs in the process of determining the assessment grade (wrong summation/application of a formula) as distinct from an 'assessment' error (where a wrong grade is awarded prior to the process). Resultant correction(s) should be recorded on the Internal Assessment Flyleaf **in green ink**, and the words '**Arithmetical Error**' should be entered alongside the amended grade(s) and also on the outside of the envelope containing the sample.
- ii Where an arithmetical error is found in the sample, the centre will be advised on Form SGER00 (supplement) and asked to check its calculation of the grades for candidates who were not included in the sample. Where such action is required, the 'Arithmetical Error — Not Accepted' box on the Moderator's Worksheet should be ticked.

**This is the only grade change which may be made on the Internal Assessment Flyleaf at this stage.**

### b Assessment check

Initially you will scrutinise the work of six candidates, one at each of grades 1 – 6. Where there are 'empty' grades, the sample should be made up to six by adding an appropriate candidate for each grade, following the sequence of selection outlined in 2.2a.

- i You should number the Internal Assessment Flyleaf **in green ink** to correspond with the number on the Worksheet against which the candidate's grade particulars are to be entered.  
  
As each candidate's work is assessed, enter the grade which you would award, and the grade awarded by the centre, on the Worksheet. The grades should be compared, noting one point for a one-grade discrepancy, two points for a two-grade discrepancy and so on. Then add these points together and enter the total in Box 1. **Where the points total for all six candidates is no more than three**, the centre's internal assessments **as a whole** are deemed to be satisfactory and no further scrutiny is necessary. You should indicate on the Worksheet that the centre's internal assessments have been accepted, and should sign the Worksheet.
- ii **Where the points total entered in Box 1 is greater than three**, the work of the remaining six candidates in the sample should be assessed.

Compare the grades for all 12 candidates in the sample, and calculate the discrepancy points as in (i). The total should be entered in Box 2. **Where the overall total is no more than six**, the centre's internal assessments **as a whole**

are deemed to be satisfactory and no further scrutiny is necessary. You should indicate on the Worksheet that the centre's internal assessments have been accepted and sign the Worksheet.

- iii **Where the points total is greater than six**, the position at each grade should be considered. At this stage it may be helpful to consider any comments entered on the Internal Assessment Flyleaf by the teacher. Where, in the light of these comments, you consider the awards at any particular grade to be satisfactory, all the internal assessments at that grade can be accepted and confirmed. In such cases, the appropriate information should be entered in the 'Moderator's Comments' box in Section B of the Worksheet.

For each grade where there is concern, it will be necessary for re-assessment to be carried out by the centre.

- iv Where the sample comprises the work of fewer than six candidates, the following discrepancy points total should be applied.

Sample size	Acceptable discrepancy
5	2
4	2
3	1
2	0
1	0

- v Where you decide that the centre's grades cannot be accepted, your reasons should be given in the 'Comments' box, and the matter should be brought to the attention of the Principal Assessor or Senior Moderator. If your decision is confirmed, the PA or SM will sign the Worksheet and, where appropriate, you should amend the grades awarded to the candidates in the sample on the Internal Assessment Flyleaf using **green ink**.
- vi When the moderation procedure has been completed for a centre, sign the Worksheet.

## 2.4 Liaison with moderation staff

### a Provision of samples

Centres will have previously submitted all the necessary candidate materials for the moderation exercise. Members of the Moderation Team will be on hand at each event to provide administrative support where necessary.

### b Matters of policy

If you require clarification of aspects of policy relating to these instructions, you should approach the Qualifications Manager concerned in the first instance. Where necessary the Qualifications Manager will raise the matter with the Section Manager or Unit Head.

## 2.5 Confidentiality

The acceptability or otherwise of assessments from centres is **confidential**. It must not be discussed with or revealed to anyone not involved officially with the moderation procedures.

## **3 Instructions to Visiting Moderators: National Units**

### **3.1 General**

It is important that both centres and visiting moderators make assessment decisions in a consistent manner. Visiting moderators should always begin from the premise that the centre has made assessment decisions correctly and that the purpose of the moderation exercise is to confirm the centre's decisions. It will be assumed that all candidates entered for the same qualification in a centre are assessed to a common standard.

Moderation will take place on completed candidate evidence and will focus on how the National Assessment Bank (NAB) material has been applied, and the reliability of the centre's assessment decisions.

For each Unit selected for moderation, SQA will have notified centres on Form MS00 of the candidates whose work will be sampled. Where a centre has more than 12 candidates entered for a Unit with the same completion date, 12 will be selected at random. Where there are fewer than 12, all candidates will be selected.

### **3.2 Prior moderation of assessment scheme**

Any centre which chooses not to use National Assessment Bank (NAB) materials, an assessment scheme which has previously been successfully moderated, or other SQA-approved assessment schemes (ie Assessment Exemplar Packs (AEPs)), is advised to seek prior moderation of the assessment scheme it intends to apply before embarking on the Unit. Moderators are expected to carry out this procedure as necessary. Prior moderation will be carried out by mail, and is free of charge to the centre. Material that has successfully undergone prior moderation will be stamped accordingly.

### **3.3 Arranging your moderation visit**

We will provide you with:

- ◆ an itinerary indicating the centres to be visited (including details of the SQA Co-ordinator), the Units to be externally moderated and the timescales within which you should carry out your visits
- ◆ for each Unit, a copy of the *Moderation Sample Form* showing the names and entry details of the (12) candidates in the sample to be moderated

- ◆ a supply of:
  - visiting moderation arrangements letters
  - *Moderator Report Forms*
  - contact letters
  - *Assessment Review Forms*
  - envelopes and labels with your address details
  - *Appointee Release Form*
  - *Expenses Claim Form*

As soon as possible after you receive your itinerary, you should contact the SQA Co-ordinator in each centre by telephone to agree a suitable date and time for your visit. The visit should take place when the centre staff who are responsible for the Units will be available — this should be within the timescales indicated by SQA. When these details have been agreed with a centre, you should complete a visiting moderation arrangements letter, and send it to the centre's SQA Co-ordinator to confirm your visit. If you have any difficulties in contacting the centre's SQA Co-ordinator, you should contact the Moderation Section in Glasgow (0141-242 2276).

When arrangements are in place for **all** your visits, complete your itinerary and return it to us as soon as possible (within 10 working days of receipt). You should retain a copy for your own use.

If you experience any difficulties in arranging a visit, telephone your moderation contact (details previously notified) as soon as possible. Any subsequent alteration to your itinerary must be notified to the Moderation Section in Glasgow (0141-242 2276).

All rail/air travel arrangements and hotel accommodation should be booked directly by SQA. If you require these services please telephone SQA's travel booking service on 0141-242 2233 with details of your visits. Tickets and/or hotel reservation confirmation will be forwarded to your home address.

When contacting SQA or a centre by telephone, you must keep a note of all calls. These should be detailed on your *Expenses Claim Form* (see Fees and expenses, section 3.11 on page 13).

## 3.4 The visit

All visits should be undertaken in accordance with SQA's Code of Conduct for Moderators.

If for any reason you are unable to carry out a scheduled visit, you should contact the centre to try to reschedule the visit (within the given timescales). Where this is not possible, you should inform your contact in the Moderation Section who will attempt to re-arrange the visit using another Moderator.

On arrival at the centre you should make contact with the SQA Co-ordinator. You should be directed to the department where the evidence for the sample candidates will be available. Each sample should be accompanied by the centre's completed copy of the *Moderation Sample Form* which will indicate the centre's result for each of the candidates in the sample.

Centres must record one of the following results against each candidate in column A of the centre's result section:

**P** Pass

**F** Fail, ie this result should be recorded where the candidate has completed the Unit, but has failed to demonstrate achievement adequately at the point of assessment. **Note:** this result can be changed to a 'Pass' at any point in the session until 30 June (or 30 September on request)

**W** Withdrawn, ie the candidate has withdrawn from the Unit

For levelled National Units, centres will enter in column B the resulting class code (level) if this is different from that shown in the class column.

The full range of level codes available is as follows:

<b>Level</b>	<b>Level Code</b>
Access 1	07
Access 2	08
Access 3	09
Intermediate 1	10
Intermediate 2	11
Higher	12
Advanced Higher	13

Centres which have not used NAB or AEP materials have been asked to supply you with a copy of the assessment scheme used. The NAB or AEP details should be recorded on the *Moderation Sample Form*. Centres using their own assessment schemes should indicate on the *Moderation Sample Form* whether or not the assessment scheme has been used in a previously successful moderation exercise. 'Accepted' Prior Moderated material will have been stamped accordingly by SQA.

### **3.5 Candidate sample**

You should first check to ensure that the evidence provided for scrutiny is that of the candidates listed. Each candidate's work should be presented along with a flyleaf which will show the candidate's name and entry details. To check that sufficient evidence is available for moderation, follow the table overleaf.

Sample	Missing evidence	Action required
<b>Full sample of 12</b> (ie 12 or more candidates entered for Unit)	Evidence for one or two candidates is missing	The centre should provide an adequate explanation and, where possible, provide substitute evidence
	Evidence for between three and six candidates is missing	The centre should provide an adequate explanation and, where possible, provide substitute evidence. Note the number of omissions and/or substitutions on the <i>Moderator Report Form</i>
	<b>In each of the above cases, you should continue to moderate the Unit using the candidate evidence that is available.</b>	
	Evidence for more than six candidates in the sample is unavailable	Due to the lack of suitable candidate evidence for this Unit, moderation should not proceed and the <i>Moderator Report Form</i> should be completed to this effect. The centre's result for this Unit must be 'not accepted' (see overleaf)
<b>Fewer than 12 candidates</b> (ie fewer than 12 candidates entered by centre)	Evidence for a significant number of candidates (notionally, more than half of the total) listed on the <i>Moderation Sample Form</i> is missing	The moderation exercise for this Unit should not proceed and the <i>Moderator Report Form</i> should be completed to this effect. The centre's result for this Unit must be 'not accepted' (see below)

### 3.6 The moderation exercise

Where a suitable sample of evidence is available, you should proceed to moderate the sample. Follow the moderation decision-making flow chart (see page 21) and take notes on the Moderator's Worksheet.

During the moderation visit you should be aware that, in certain Units/ Outcomes, assessment can be made on an holistic basis. Where this is the case, you should check to ensure that both the approach and any cut-off score are appropriate. Conversely, where holistic assessment is appropriate and the centre has not used this approach, it is worth bringing this to the centre's attention by noting it on the *Moderator Report Form*. However, centres should not be penalised for making their assessments on the basis of Performance Criteria (ie using a PC-by-PC approach).

If, at an early stage, you identify an issue with the Instrument of Assessment or the Marking Guidance which (according to the flow chart, page 21) warrants a 'not accepted' result, you should continue to scrutinise the candidate evidence, where possible, in order to make optimum use of your time at the centre. This may identify additional issues which you can usefully include in your report to the centre.

## 3.7 Result of moderation

The moderation result for each Unit will be either '**accepted**' or '**not accepted**'. These terms will not apply when retrospective moderation is employed (see 3.12, page 14).

The result must be indicated on a *Moderator Report Form*. This is also the means of providing formal written feedback to the centre, which should be clear, concise and constructive.

### Accepted

Where you have decided that the centre is 'accepted' and **no issues** have been identified with either the validity or the reliability of its assessments, you should complete:

- ◆ the Moderation Result section of the *Moderation Sample Form* by ticking the 'accepted' box
- ◆ a *Moderator Report Form*, giving positive feedback and drawing attention to good practice, where this is appropriate

Where you have identified **minor issues** with either the validity or the reliability of the centre's assessments, but these do not warrant a 'not accepted' result, you must judge the centre to be 'accepted' and complete:

- ◆ the Moderation Result section of the *Moderation Sample Form* by ticking the 'accepted' box
- ◆ a *Moderator Report Form*, indicating the minor issues and providing appropriate guidance

### Not accepted

Where you have decided that the centre is 'not accepted' as issues have been identified with the validity or the reliability (or both) of the centre's Unit assessments, you should:

- ◆ complete the Moderation Result section of the *Moderation Sample Form* by ticking the 'not accepted' box
- ◆ provide information and reasons for your decision on a *Moderator Report Form (Not Accepted)*, including specific advice on how the centre can resolve the identified issues and what action you expect the centre to take, eg Assessment Review
- ◆ where you disagree with the centre's assessment decisions for specific candidates, enter on the *Moderation Sample Form*, under the Mod result column heading, your moderated candidate result(s) in column A and, where appropriate, the revised class (ie level for levelled National Units) in column B

## 3.8 Advising the centre and SQA of the results of moderation

When you have completed the moderation exercise for all Units, you should contact the centre's SQA Co-ordinator or nominated member of staff, to inform him/her of the result of external moderation and provide verbal feedback on the visit.

If all externally-moderated Units were **accepted** you must:

- ◆ leave the following with the centre's SQA Co-ordinator:
  - a copy of the *Moderation Sample Form*
  - a copy of the *Moderator Report Form*
- ◆ retain a copy of the *Moderator Report Form*
- ◆ send the following to SQA:
  - a copy of the *Moderation Sample Form*
  - a copy of the *Moderator Report Form* — please ensure that your National Insurance number is shown on this copy
  - a completed *Expenses Claim Form*

If any Unit is **not accepted** you must discuss the specific issues and any action the centre will be required to undertake to have the **not accepted** decision lifted. If any issues can be resolved during the visit, eg with the provision of additional candidate evidence (**Note:** for the sample candidates only), this may enable you to overturn a 'not accepted' result on the day.

Where externally-moderated Units are **not accepted** you must:

- ◆ leave the following with the centre:
  - a copy of the *Moderation Sample Form*
  - a copy of the relevant *Moderator Report Form(s)*
  - an *Assessment Review Form* for each not accepted Unit
- ◆ retain a copy of the relevant *Moderator Report Form(s)*
- ◆ send the following to SQA:
  - a copy of the *Moderation Sample Form*
  - a copy of the relevant *Moderator Report Form* — please ensure that your National Insurance number is shown on this copy
  - a completed *Expenses Claim Form*

## Assessment review

The centre will be required to undertake an assessment review for each 'not accepted' Unit. The form of review and your subsequent involvement will depend on the issues encountered and the centre's subsequent action.

### 3.9 What to do when Units are not accepted

#### a Your action

If issues are identified with the **validity** of the Instrument of Assessment (IA) and/or the Marking Guidelines, you must advise the centre to:

- ◆ make the appropriate changes to the IA/Marking Guidelines as instructed by the *Moderator Report Form*
- ◆ re-assess **all** candidates where these IAs/Marking Guidelines have been used and indicate any revised results on the *Moderation Sample Form* (instructions given to the centre will advise the centre to mark revised results in **red ink**)
- ◆ complete part 1 of the *Assessment Review Form*
- ◆ where appropriate, advise the centre to send the re-assessment material to SQA's Moderation Section

Where there are issues with the **reliability** of the centre's judgements, you must advise the centre to:

- ◆ review the assessments of **all** candidates (or those specifically identified, eg if an issue is identified which affects Intermediate 2 candidates only) in line with your comments/recommendations
- ◆ complete part 1 of the *Assessment Review Form*
- ◆ where appropriate, advise the centres to send the re-assessment material to SQA's Moderation Section

#### b Centre's action

Once the centre has undertaken action in response to your recommendations, a member of the centre's senior management will be required to sign the declaration in part 1 of the *Assessment Review Form* to confirm that the assessment review has been carried out and to indicate whether:

Option A      The re-assessment/review has been undertaken. The candidate evidence and supporting documentation will be sent first to the moderation section in SQA and then on to the moderator for further scrutiny.

or

Option B      The review required a change to candidate results. Revised results, in line with the visiting moderator's changes to the marks for the sampled candidates, will be produced for submission to SQA.

Your involvement will continue only where the centre has elected to use Option A.

## c      **Option A — what you have to do next**

The *Assessment Review Form* will be returned to you by SQA along with the assessment scheme, the *Moderation Sample Form* (which will have been annotated with the centre's revised results in **red ink**), and the candidate evidence. You should proceed to evaluate this material.

If the assessments are now 'accepted':

- ◆ tick the 'accepted after Assessment Review' box on part 2 of *Assessment Review Form*, providing comments where appropriate
- ◆ return a copy of the *Assessment Review Form* along with the candidate evidence to SQA who will note their records and return the materials with the decision to the centre.
- ◆ retain a copy of the *Assessment Review Form*

If there are still issues with the assessments which you cannot readily resolve with the centre, all documentation and evidence should be sent immediately to the Moderation Officer. Often a further visit at this stage is suggested.

## **3.10 Malpractice**

If in the course of your duties you suspect any form of malpractice, you must send written details of your concerns to the Moderation Section. The *Moderation Sample Form* and candidate evidence must also be sent with your form. Moderation should be completed as normal. In this situation you must not inform the centre of your concerns.

## **3.11 Fees and expenses**

When we receive your *Moderator Report Form* and expenses claim form, your payment will be processed. You must ensure that your National Insurance number is shown on the copy of the *Moderator Report Form* submitted to SQA.

Claims for reimbursement of expenses necessarily incurred in the course of moderation duties (eg postage, telephone calls, travelling) should be made on your *Expenses Claim Form*. Receipts must be attached for all expenditures over £5.00.

Release compensation must be claimed by your main employer, using either an *Appointee Release Form* or an invoice.

## 3.12 Retrospective moderation

Retrospective moderation will take place in September and will be used to review centres' assessment decisions in Units which have been resulted or certificated. It will be used as an additional quality assurance measure to inform centres' assessments in any subsequent offering of selected Units. Retrospective moderation does not affect individual candidates' results.

The processes of retrospective moderation will follow those of mainstream visiting moderation. The result will indicate either that 'no issues were identified' or that 'issues were identified'. This result must be intimated to centres on the *Moderator Report Form (Retrospective Moderation)*.

Where issues were identified with a centre's assessment of a Unit, these must be detailed on the *Moderator Report Form (Retrospective Moderation)*. The centre will automatically be selected for moderation on the next occurrence of the Unit. Where the assessment instrument (non-NAB/AEP materials) is identified as the problem area, centres must be instructed to seek prior moderation of the assessment scheme before the next offering of the Unit.

On completion of the retrospective exercise you should:

- ◆ leave a copy of the *Moderator Report Form (Retrospective Moderation)* with the centre
- ◆ send a copy of the *Moderator Report Form (Retrospective Moderation)* to the Moderation Section
- ◆ submit an *Expenses Claim Form*

You will not be required to do anything else.

## **4 Instructions to central moderators: National Units**

### **4.1 General**

It is important that both centres and moderators make assessment decisions in a consistent manner. Moderators should always begin from the premise that the centre has made assessment decisions correctly and that the purpose of the moderation exercise is to confirm the centre's decisions. It will be assumed that all candidates entered for the same qualification in a centre are assessed to a common standard.

Moderation will take place on completed candidate evidence and will focus on the validity of the assessment instruments, how they are applied, and the reliability of the centre's assessment decisions.

For each Unit selected for moderation, SQA will have selected and notified centres of the candidates whose work will be sampled. Where a centre has more than 12 candidates entered for a Unit, with the same completion date, 12 will be selected at random. Where there are fewer than 12, all candidates will be selected.

### **4.2 Prior moderation of assessment scheme**

Any centre which chooses not to use National Assessment Bank (NAB) materials, an assessment scheme that has previously been successfully moderated, or other SQA approved assessment schemes, (ie Assessment Exemplar Packs (AEPs)), is advised to seek prior moderation of the assessment scheme it intends to apply before embarking on the Unit. Prior moderation will be carried out by mail and you will be asked to carry out this procedure as necessary. Material that undergoes prior moderation successfully is stamped accordingly by SQA.

### **4.3 SQA booking/travel service**

All rail/air travel arrangements and hotel accommodation should be booked directly by SQA. If you require these services to attend central moderation events please telephone 0141-242 2233 with the appropriate details. Tickets and/or hotel reservation confirmation will be forwarded to your home address.

## 4.4 Moderation arrangements

Central moderation events will take place in SQA's offices in December and April/May on dates prescribed by SQA. You will also be expected to undertake postal moderation duties during other months of the year.

At the moderation event the following will be provided:

- ◆ envelopes containing candidate evidence, copies of the assessment scheme used (where non-NAB/AEP materials) and the *Moderation Sample Form* which shows the names and entry details of the candidates in the sample to be moderated
- ◆ Moderator's Worksheets to record all working notes, comments and decisions in connection with the moderation of each centre/Unit
- ◆ *Moderator Report Forms* (paper and electronic versions are available)

## 4.5 The moderation process

You should first check to ensure that the evidence provided for scrutiny is that of the candidates listed on the *Moderation Sample Form* and that the form has been completed to indicate the centre's result for each of the listed candidates.

Centres must record, against each candidate, one of the following results in column A of the centre's result section:

**P** Pass

**F** Fail, ie this result should be recorded where the candidate has completed the Unit, but has failed to demonstrate competence at the point of assessment. **Note:** this result can be changed to a 'Pass' at any point in the session until 1 May (or 30 September on request)

**W** Withdrawn, ie the candidate has withdrawn from the Unit

For levelled National Units, centres will, where appropriate, enter in column B the level code if different from that shown in the level column.

The following levels/codes are available:

<b>Level</b>	<b>Level Code</b>
Access 1	07
Access 2	08
Access 3	09
Intermediate 1	10
Intermediate 2	11
Higher	12
Advanced Higher	13

Each candidate's work should be presented inside a clearface bag along with a Flyleaf which will show the candidate's name and entry details.

Where these have been used, details of the NAB pack or AEP **must be recorded on the *Moderation Sample Form***. Centres making alterations to NAB materials have been instructed to send annotated copies along with their candidate evidence.

If non-NAB/AEP materials have been used, centres have been instructed to provide a copy of the assessment scheme. Accepted Prior Moderated material will be stamped accordingly.

## 4.6 Candidate sample

To check that sufficient evidence is available for moderation, follow the table below.

Sample	Missing evidence	Action required
<b>Full sample of 12</b> (ie 12 or more candidates entered for Unit)	Evidence for between one and six candidates in the sample is missing	The centre must, where possible, provide substitute evidence. You must note the number of omissions/substitutions on the <i>Moderator Report Form</i>  <b>You should continue to moderate the Unit using the available candidate evidence</b>
	Evidence for more than six candidates in the sample is missing	Due to the lack of suitable candidate evidence the moderation exercise should <b>not proceed</b> , and the Moderator's Worksheet and <i>Moderator Report Form</i> should be completed to this effect. The centre's result for this Unit must be 'not accepted' (see Result of Moderation Exercise section 4.8)
<b>Fewer than 12 candidates</b> (ie fewer than 12 candidates entered for Unit)	Evidence for a significant number of candidates (notionally, more than half of the total) listed on the <i>Moderation Sample Form</i> is missing	The moderation exercise for this Unit should <b>not proceed</b> and the Moderator's Worksheet, and the <i>Moderator Report Form</i> should be completed to this effect. The centre's result for this Unit must be 'not accepted' (see section 4.8)

**Note:** The total number of candidates entered for the Unit/completion date is shown at the top of the *Moderation Sample Form*. This will indicate whether or not the centre is in a position to provide substitutes and should be used to inform your decision.

## 4.7 The moderation exercise

Where a suitable sample of evidence is available, you should proceed to moderate the sample, following the moderation decision-making flow chart (see page 21), taking notes on the Moderator's Worksheet as you work.

If, at an early stage, you identify an issue with the Instrument of Assessment or the Marking Guidelines which (according to the flow chart, page 21) warrants a 'not accepted' result, you should draw this to the attention of the Senior Moderator. Where possible, scrutiny of the candidate evidence should continue as this may show up additional issues which can usefully be included in the report to the centre.

You should be aware that, in certain Units and Outcomes, assessment can take place on an holistic basis. Where this is the case you should check to ensure that both the approach and any cut-off score is appropriate. Conversely, where holistic assessment is appropriate and the centre has not used this approach, it is worth bringing this to the centre's attention by noting it on the *Moderator Report Form*. Centres should not, though, be penalised for making their assessments on the basis of Performance Criteria (ie a PC-by-PC approach).

## 4.8 Result of moderation

The moderation result for each Unit will be either '**accepted**' or '**not accepted**'. The exception to this is in retrospective moderation (see 4.11, page 20).

This result must be indicated on the *Moderation Sample Form* and on the *Moderator Report Form*. The latter is also the means of providing feedback to the centre, and it is important that any comments made or guidance given are clear, concise and constructive.

### Accepted

Where you have decided that the centre is 'accepted' and **no issues** have been identified with either the validity or the reliability of its assessments, you must complete:

- ◆ the Moderation Result section of the *Moderation Sample Form* by ticking the 'accepted' box
- ◆ the *Moderator Report Form*, giving positive feedback and drawing attention to good practice, where this is appropriate

Where you have identified **minor issues** with either the validity or the reliability of the centre's assessments, but these do not warrant a 'not accepted' result, you must complete:

- ◆ the Moderation Result section of the *Moderation Sample Form* by ticking the 'accepted' box
- ◆ the *Moderator Report Form*, detailing the issues and providing appropriate guidance

In each of these cases, the documentation intimating the ‘accepted’ result will be sent back to the centre along with the candidate evidence.

## **Not accepted**

Where you identify issues with the validity and/or the reliability of the centre’s Unit assessments, you must complete the Moderator’s Worksheet accordingly and bring this to the attention of the Senior Moderator. If the Senior Moderator agrees with your judgement he or she will:

- ◆ complete the Moderation Result section of the *Moderation Sample Form* by ticking the ‘not accepted’ box
- ◆ provide information and reasons for the decision on the *Moderator Report Form (Not Accepted)* including specific advice on how the centre can resolve the identified issues and what action the centre will be expected to take — eg Assessment Review

Where there is disagreement with the centre’s assessment decisions for specific candidates, these must be annotated on the *Moderation Sample Form*. The moderated candidate result(s) should be shown under the Mod result section heading, (eg P/F/ etc) in column A and, where appropriate, the revised class (ie level for National Units) should be entered in column B.

A copy of the *Moderation Sample Form* and the *Moderator Report Form* will be sent back to the centre along with the candidate evidence and an *Assessment Review Form*.

## **Assessment review**

If there is a large number of ‘not accepted’ results in your moderation area, you may be required to carry out moderation on reviewed materials. At the beginning of the moderation event the Senior Moderator and Moderators should jointly decide who will re-moderate ‘Not accepted’ centres. The material will be sent from SQA to the Moderator’s home for scrutiny and evaluation. It will include:

- ◆ reviewed evidence (in line with feedback) for the candidates in the sample
- ◆ where required, the revised instrument of assessment/markings guidelines (in line with feedback)
- ◆ the *Assessment Review Form* with part 1 completed
- ◆ the *Moderation Sample Form* indicating the centre’s reviewed result (in **red ink**)

If the assessments are now ‘accepted’ you must:

- ◆ tick the ‘accepted after Assessment Review’ box on part 2 of the *Assessment Review Form* and provide comments where appropriate

- ◆ return a copy of the *Assessment Review Form* along with the candidate evidence to SQA who will note the amended assessment decision and return the materials to the centre
- ◆ retain a copy of the *Moderator Report Form (Review)*

If issues with the assessment are not resolved with the centre, all documentation and evidence should be sent immediately to the Moderation Section with a short note of explanation.

## 4.9 Malpractice

If in the course of your duties you suspect any form of malpractice you must inform the Senior Moderator of your concerns. The Senior Moderator should produce a report detailing the concerns which should be passed on to the Moderation Section. Moderation should be completed as normal and the centre concerned must **not** be contacted in this connection.

## 4.10 Fees and expenses

Your payment will be processed on completion of the moderation event.

Claims for reimbursement of expenses necessarily incurred in the course of moderation duties (eg postage, telephone calls, travel) should be made on your *Expenses Claim Form*. All amounts over £5.00 should be covered by a receipt.

Release compensation must be claimed by your main employer completing and returning the *Appointee Release Form*.

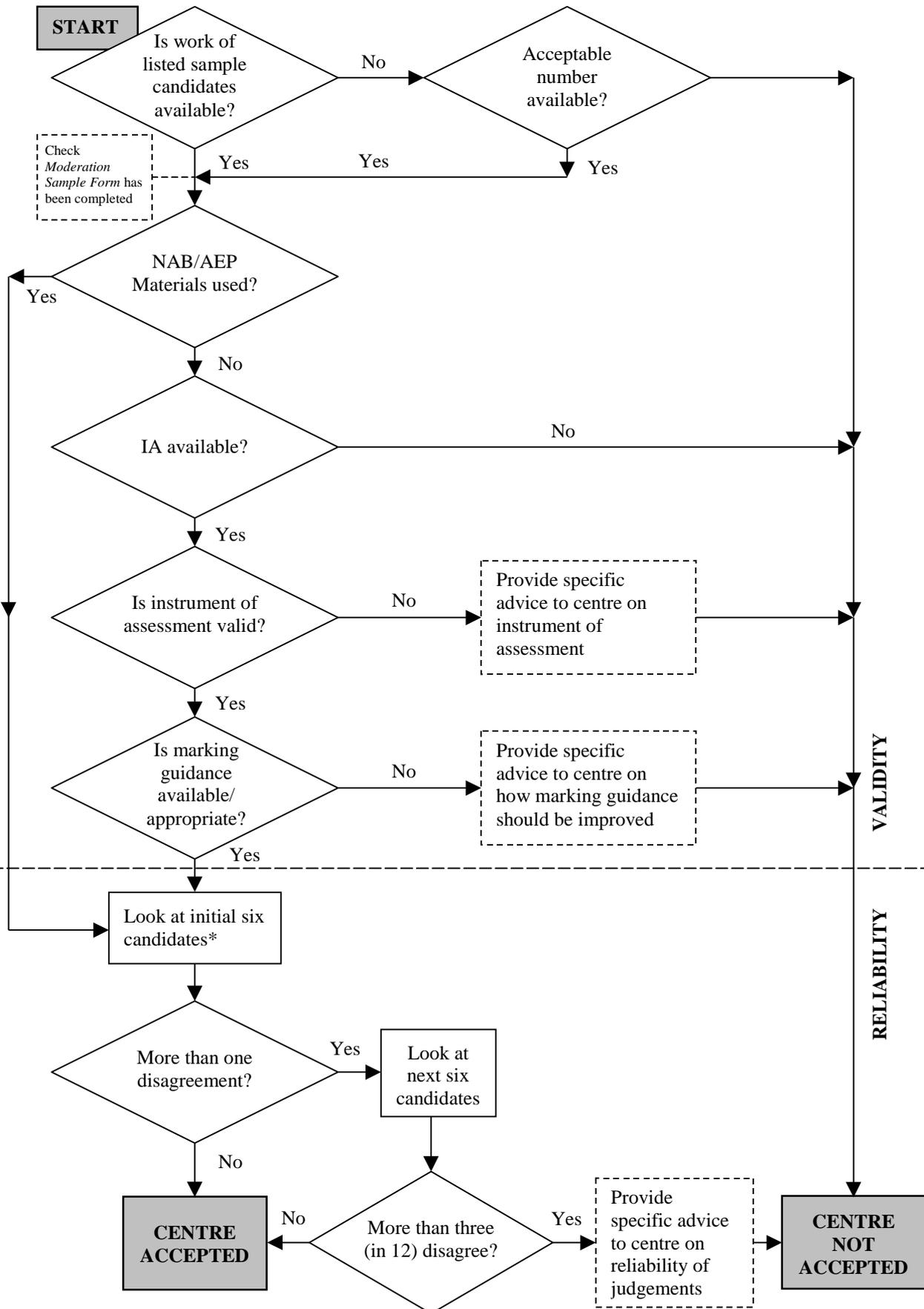
## 4.11 Retrospective moderation

Retrospective moderation will take place in September either in SQA's offices (ie a central event) or by post (ie you will be working at your home), and will be used to review centres' assessment decisions in Units which have been resulted or certificated. It will be employed as an additional quality assurance measure to inform centres' assessments in any subsequent offering of selected Units. Retrospective moderation will not affect individual candidates' results.

The processes of retrospective moderation will follow those of mainstream central moderation. The result will indicate either that 'no issues were identified' or that 'issues were identified'. This result will be intimated to centres on the *Moderator Report Form (Retrospective Moderation)*.

Where 'issues were identified' with a centre's assessment of a Unit, these will be detailed and the centre will be automatically selected for moderation on the next occurrence of the Unit. Where the assessment instrument (non-NAB/AEP materials) is identified as the problem area, centres will be instructed to seek prior moderation of the assessment scheme before they next offer the Unit.

## 4.12 Flow chart: decision-making in moderation



\* From the 12 identified candidates on the *Moderation Sample Form*, select any six, but ensure that where the sample covers more than one class code/level, your selection includes candidates at each available class code/level.

