

3.k.1 Post-Assessment Moderation

Subject	Academic Programs & Assessment	Effective From	Dec - 2024
Policy #	3.k.1	Latest Revision	Dec - 2025
Title of the Policy	Post-Assessment Moderation	Next Review	Dec - 2026
Responsible Entity	Department, College Council, Deans Council, QAIRC	Policy Pages	5
Definitions	Post-assessment moderation is the process of reviewing a sample of marked student work after initial marking has taken place, to verify that: • Marking is consistent with the marking criteria and rubric • Grades are applied equitably across the student cohort • The standard of marking is appropriate relative to the level and learning outcomes of the course Moderation is a quality assurance process. It is not a re-marking exercise. The moderator reviews the application of standards, not individual marks, unless a significant inconsistency is identified.		
Purpose	This policy establishes the framework for post-assessment moderation at Al Ain University (AAU). It ensures that assessment marking is consistent, fair, and aligned with the intended learning outcomes of each course and program.		
Scope	This policy applies to all credit-bearing assessments across all programs and colleges at Al Ain University, including but not limited to: • Written examinations (midterm and final) • Coursework assignments and projects • Practical and laboratory assessments • Clinical and professional placement assessments • Dissertations, thesis, and capstone projects • Any other assessment contributing to a student's final course grade For multi-section courses, this policy applies equally to every section, whether the sections are delivered on the same campus or across the Al Ain and Abu Dhabi campuses.		
Statement	• All credit-bearing assessments are subject to moderation requirements as defined in this policy. • Moderation must be conducted by an academic who was not involved in the original marking of the work being reviewed and who has no conflict of interest in relation to the assessment concerned. • The moderation process must be documented using the official AAU Moderation Record Form. • Moderation outcomes must be reported to the College Dean and submitted to QAIRC for institutional oversight.		

	- Where moderation identifies a significant inconsistency, the matter must be escalated to the Program Director in accordance with the procedures set out in this policy. - Completed Moderation Record Forms must be retained by the College for a minimum of five (5) years.										
Procedures	Roles and Responsibilities - Course Instructor: Conducts initial marking; provides marking rubric; submits moderation sample to the moderator. - Moderator: Reviews the moderation sample; completes the Moderation Record Form; raises concerns with the Program Director if a significant inconsistency is found. - Program Director: Designates the moderator for each course at the beginning of the assessment period; oversees moderation compliance within the department; reviews escalated cases; signs off on the Moderation Record Form. - College Dean: Receives moderation records from Program Director; reviews overall compliance; reports to QAIRC at the end of each semester. - QAIRC: Maintains institutional oversight of moderation compliance; conducts annual audit; reports findings to the University Council. Moderation Sample Requirements The minimum moderation sample size is determined by cohort size as follows: <table border="1"> <thead> <tr> <th>Cohort Size</th><th>Minimum Sample</th></tr> </thead> <tbody> <tr> <td>Up to 20 students</td><td>5 scripts or 25%, whichever is greater</td></tr> <tr> <td>21 – 50 students</td><td>10 scripts minimum</td></tr> <tr> <td>51 – 100 students</td><td>15 scripts minimum</td></tr> <tr> <td>Over 100 students</td><td>20 scripts minimum or 15%, whichever is greater</td></tr> </tbody> </table> The sample must represent the full range of student performance and must include: high-performing scripts, low-performing scripts (including failures), borderline passes, and a random selection of scripts from the middle performance range. A sample drawn exclusively from one grade band is not acceptable. Moderation Process - The course instructor completes the initial marking of all student work within the published timeline. - The Program Director designates the moderator for each course at the beginning of the assessment period, ensuring the selected moderator has no conflict of interest in relation to the assessment concerned. - The instructor selects the moderation sample in accordance with the Moderation Sample Requirements set out in this policy and shares it with the designated moderator, along with the marking rubric and model answers. - The moderator reviews the sample independently and completes the AAU Moderation Record Form.	Cohort Size	Minimum Sample	Up to 20 students	5 scripts or 25%, whichever is greater	21 – 50 students	10 scripts minimum	51 – 100 students	15 scripts minimum	Over 100 students	20 scripts minimum or 15%, whichever is greater
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	5. If no significant inconsistency is found, the moderator signs the form and submits it to the Program Director for countersignature. 6. If a significant inconsistency is identified (defined as a systematic marking difference of more than 10 percentage points of the total assessment mark on three or more scripts), the moderator escalates the matter to the Program Director, who will convene a moderation panel. 7. The completed and signed Moderation Record Form is submitted to the College Dean at the end of each assessment period. 8. The College Dean compiles all forms and submits a Moderation Compliance Report to QAIRC at the end of each semester. Timeline <table border="1"> <thead> <tr> <th>Stage</th><th>Deadline</th></tr> </thead> <tbody> <tr> <td>Moderation sample reviewed by moderator</td><td>Within 5 working days of initial marking completion</td></tr> <tr> <td>Moderation Record Form submitted to Program Director</td><td>Within 7 working days of initial marking completion</td></tr> <tr> <td>College Dean submits compliance report to QAIRC</td><td>Within 2 weeks of the grade submission deadline</td></tr> <tr> <td>QAIRC annual moderation audit report</td><td>End of each academic year</td></tr> </tbody> </table>	Stage	Deadline	Moderation sample reviewed by moderator	Within 5 working days of initial marking completion	Moderation Record Form submitted to Program Director	Within 7 working days of initial marking completion	College Dean submits compliance report to QAIRC	Within 2 weeks of the grade submission deadline	QAIRC annual moderation audit report	End of each academic year
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QAIRC annual moderation audit report	End of each academic year										
Recent Changes	December 2024 — Policy first issued in response to QAA IQR Recommendation 3 (ESG Standard 1.3) The following changes were made (Dec 2025): • Moderation Sample Requirements: Wording updated to explicitly require inclusion of failures, borderline passes, and a random middle-range selection. • Moderation Process: New step 2 added, Program Director designates the moderator at the beginning of the assessment period, addressing a gap regarding moderator assignment. • Moderation Record Form: Comments column updated to be mandatory for any criterion rated 3 or below.										

AAU POST-ASSESSMENT MODERATION RECORD FORM

A. Course and Assessment Information

Course Name		Course Code	
College / Department		Academic Year	
Semester	☐ Fall ☐ Spring ☐ Summer		
Assessment Type	☐ Midterm ☐ Final Exam ☐ Assignment ☐ Project ☐ Practical ☐ Other: _____		
Total Enrolled Students		Sample Size Reviewed	
Course Instructor		Moderator Name	
Designated by Program Director on		Date of Moderation	

B. Moderation Findings

Rate each criterion: 1 = Strongly Disagree 2 = Disagree 3 = Neutral 4 = Agree 5 = Strongly Agree

A written comment is required for any criterion rated 3 or below.

Criterion	1	2	3	4	5	Comments (required if ≤ 3)
Marking is consistent with the published marking rubric and criteria.	☐	☐	☐	☐	☐	
Grades are applied equitably across the sample (no systematic bias observed).	☐	☐	☐	☐	☐	
The marking standard is appropriate for the course level and aligned with the intended learning outcomes.	☐	☐	☐	☐	☐	
Feedback provided to students (where applicable) is constructive and aligned with the grade awarded.	☐	☐	☐	☐	☐	
The marking rubric is fit for purpose and clearly differentiates between grade bands.	☐	☐	☐	☐	☐	

C. Grade Distribution Review

Grade Band	A 90–100%	B+ 85–89%	B 80–84%	C+ 75–79%	C 70–74%	D+ 65–69%	D/Fail Below 64%
Scripts in sample							
Sample includes	☐ High-performing scripts ☐ Failures ☐ Borderline passes ☐ Random middle-range selection						
Marking consistent?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
<i>If "No" above, identify the grade band and describe the concern:</i>							

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D. Overall Moderation Outcome

☐ SATISFACTORY — Marking is consistent and meets the required standard. No further action required.
☐ MINOR CONCERNS — Some inconsistency noted. Instructor has been advised. No re-marking required.
☐ SIGNIFICANT CONCERNS — Systematic inconsistency identified. Escalated to Program Director. Moderation panel to be convened.

E. Moderator Comments and Recommendations

Summary of findings and recommendations for the instructor or department:

F. Signatures

Role	Name & Signature	Date
Moderator		
Program Director		
College Dean (for records)		

This completed form must be submitted to the Program Director within 7 working days of initial marking completion, forwarded to the College Dean at the end of the assessment period, and retained by the College for a minimum of 5 years in accordance with the AAU Post-Assessment Moderation Policy (3.k.1).