



INDUSTRY TRAINING ORGANISATION

**POLICY AND CODE OF PRACTICE  
FOR ASSESSMENT**

JANUARY 2010

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## **1. INTRODUCTION**

This Code of Practice makes provision for assessment activities and responsibilities administered by EXITO. It covers the procedures and responsibilities to be followed by persons and organisations undertaking assessment activities related to unit standards, qualifications and programmes administered by or on behalf of EXITO.

Assessment undertaken by registered workplace assessors and NZQA Accredited Training Providers (ATP) must abide by this system for ensuring that assessment is fair, valid, and consistent and is meeting national standards in assessment.

EXITO is required to register assessors under its accreditation and moderate assessments for all unit standards contained in the domains specified in the EXITO Accreditation and Moderation Action Plans [AMAPs 0114 & 0079].

## **2. DEFINITIONS**

*Provider assessment:* Assessment undertaken by NZQA Accredited Training Providers (ATP) against EXITO unit standards. Assessors must comply with the QMS of that ATP.

*Workplace assessment:* Assessment undertaken by EXITO registered workplace assessors.

*Workplace Assessor Register:* A register of workplace assessors containing all information which is relevant to individual assessors within the EXITO sectors. All workplace assessors must be registered with EXITO.

*Accreditation of assessors:* All registered workplace assessors must hold a defined accreditation scope.

*Specialist and high risk assessment:* This outlines the special conditions that an EXITO Registered Assessor must comply with when assessing EXITO high risk unit standards, RCC and/or APC assessment, and/or other Standard Setting Body/ITO's unit standards.

*Moderation and Assessment Manager:* Person employed or contracted to manage the moderation and assessment systems on behalf of EXITO.

## **3. RESPONSIBILITIES**

***EXITO is responsible for:***

- a) Appointing a person as Moderation and Assessment Manager who manages EXITO's assessment and moderation systems and resources.
- b) Maintaining a current and accurate register of assessors.
- c) Ensuring assessment follows Best Practice principles and provides continuous improvement to assessment tools, materials and processes.
- d) Ensuring policies within this code of practice are adhered to.
- e) Providing adequate funding for assessment quality assurance activities.
- f) Moderating assessment activity.

## **4. ASSESSOR REGISTRATION**

EXITO will implement and maintain a current register of workplace assessors that contains all information which is relevant to each individual assessor. EXITO will conduct all assessment activities in order to fulfill its obligations as an Industry Training Organisation (ITO) accredited to register workplace assessors.

The Moderation and Assessment Manager is responsible for registering EXITO's workplace assessors and ensuring they hold the appropriate accreditation / scope.

EXITO will ensure that sufficient resources are provided to register its workplace assessors for all sectors and keep the register current and accurate.

## 5. **ASSESSOR REGISTRATION CRITERIA**

Applicants must meet criteria as stated on the application form available from the EXITO website [www.exito.org.nz](http://www.exito.org.nz), and provide relevant supporting documents. The Moderation and Assessment Manager will check the application and may refer to technical experts for final verification and approval before registration.

EXITO will:

- a) Provide an application form and information on assessment procedures to the assessor applicant.
- b) Review the application against required criteria.
- c) Ensure the register holds all necessary information including:
  - Approved application form
  - Full CV and practicing certificates and/or qualifications if applicable
  - Scope of registration
  - Holds required unit standard 4098
  - Has completed a Practical Assessment Training workshop. New Assessors successfully completing training and successfully gaining registration will be reimbursed attendance costs.
  - Has industry and/or employer endorsement
  - Any past assessing history
  - References to supporting documents
  - Adheres to specialist assessment criteria if applicable.
- d) Approve application and continue; or decline application and notify.
- e) Request the applicant to complete two (2) assessments for post assessment moderation and provide feedback on assessment practice, and note results on the assessor's record prior to full registration through Moderation and Assessment Manager.
- f) Request more samples if required.
- g) Register assessor for a three (3) year term. Within the three year period, the assessor will be required to undertake professional development annually. A calendar of provisions will be published in February of each year.
- h) Initiate a probationary scope [units **restricted** to levels 1-3].
- i) Notify the assessor of registration status.
- j) Issue an assessor's stamp and registration certificate.
- k) Provide an induction package.
- l) Reimburse actual and reasonable travel costs for attendance at the Practical Assessment Training workshop up to an amount of \$500 (exclusive of GST) on request, within three months from date of registration. Reimbursement requests must be accompanied by receipts.
- m) Schedule training.
- n) Finalise scope after probationary period of compliance with first moderation round.
- o) Increase scope when a proven record of best practice assessment occurs and all assessments comply with moderation requirements.
- p) Provide support to a new assessor by:
  - provision of resources
  - coaching
  - feedback on initial assessments
  - support networks

- participation in moderation and peer assessment activities
- on-site support by EXITO staff

## **6. RECOGNITION OF AUSTRALIAN WORKPLACE ASSESSOR STANDARDS**

EXITO will recognise assessment standards gained in Australia to unit standard 4098 'Use standards to assess candidate performance' providing the following criteria has been met:

- a) The applicant meets additional criteria required as per the application form.
- b) The applicant assessor holds both Australian Standards TAAASS402C 'Assess Competence' and TAAASS401C 'Plan and Organise Assessment'.
- c) Assessors must supply certified copies of these qualifications with their application, and where assessor activities have been applied outside of New Zealand, then verification will be required. This may be a letter from an organisation or individual that can provide attestation of the assessment practices. Specific interest will be areas of assessment and any aspects relating to moderation of the assessment activities.
- d) Australian applicant assessors will need to show that they are fully conversant with NZQA moderation practices.

## **7. ASSESSOR RE-REGISTRATION CRITERIA**

At least two months prior to the end of the three year term, written notice will be sent to the assessor regarding the review of their registration status. This will include a re-registration form that the assessor must complete.

EXITO will:

- a) Review the assessment activity undertaken by the assessor and consider the quantity, quality and level of assessment performance undertaken by the assessor over the registration period.
- b) Review report/s from on site moderation visit/s
- c) Consider all outcomes and feedback from moderation reports.
- d) Consider all action plans that may have been initiated by the moderation process.
- e) Review the current role and relationships held within the industry or industry's sectors.
- f) Consider extensions or reductions on the assessor's scope.
- g) Consider any and all professional development, forums and training undertaken over the past three (3) years.
- h) Notify assessor of result of re-registration.

## **8. LAPSED REGISTRATION**

Registered assessors, who no longer wish to act for EXITO after their three (3) year term, may notify the Moderation and Assessment Manager in writing and/or allow their registration to lapse. Assessors may also cancel their registration at any time by written notice to the Moderation and Assessment Manager. Lapsing or withdrawing from assessment will promote an “inactive” status on the assessor records. An assessor may also be deemed inactive if no assessment has been evident for one calendar year, however, a notice will be sent in this case. If this is the case, an inactive assessor will be required to contact EXITO and seek re-approval prior to undertaking any assessment practice and will be required to submit an assessment for moderation prior to full registration being granted.

EXITO will:

- a) Accept written notice from an assessor not wishing to re-new their registration and lapse registration.
- b) Accept written notice of an assessor wishing to withdraw from assessing and cancel their registration.
- c) Send a reply letter to the assessor
- d) Amend registration records to show “inactive” status and retrieve assessor stamp.
- e) On re-instatement, request a sample of assessment to be sent in for post assessment moderation purposes.

## **9. REMOVAL OF REGISTERED ASSESSOR STATUS**

EXITO reserves the right to revoke or suspend an assessor’s registration on the grounds of non-performance, non-compliance (see points 15 – 18 on pages 11 - 13), complaints or significant concerns, and moderation issues against quality of assessment practices. Assessors may use the appeal process available from EXITO.

EXITO will:

- a) Follow up on any complaints against assessment practice or assessor conduct.
- b) Follow up on any non-performance issues.
- c) Follow up on any non-compliance issues.
- d) Follow up on assessment issues highlighted using moderation action plans.
- e) Attempt to resolve and/or mediate issues for a satisfactory outcome.
- f) Make available the appeals and complaints policy and forms.
- g) Collect the assessor’s stamp and amend the registration records if required.

## 10. **ASSESSMENT METHODS**

EXITO supports the use of a number of approved assessment methods and tools for assessment activities. These methods are aligned with the EXITO AMAPs and best practice assessment principles.

### Workplace Assessment

When conducting assessment the assessor must:

- a) Ensure approved assessment materials are used, and the unit standards being assessed are in the assessor's scope.
- b) Evaluate evidence submitted for assessment. This may include assignments, worksheets, projects, tests and other acceptable forms of evidence.
- c) Make decisions on competency and record findings.
- d) Complete assessment results deeming the candidate competent and forward for credit registration on the *Assessment Results Reporting Form*
- e) Ensure that completed assessments [both competent and re-assessed] are held for 12 months for moderation purposes.

When conducting site assessment by observation and verification the assessor will:

- a) Validate all documentation and third party evidence submitted.
- b) Observe practical tasks (unless undertaken by a registered technical verifier)
- c) Test knowledge.
- d) Record verbal responses.
- e) Ensure practical tasks in the assessment tools are completed.
- f) Make decisions on competency and record findings.

When conducting professional conversations for assessment the assessor must:

- a) Ensure the focus of the conversation is at levels four and above.
- b) Depict what the candidate wants to say about their learning experience in their current and previous job roles.
- c) Evaluate how these experiences meet some or all of the assessment requirements for the unit standards.
- d) Ensure the critical competencies aligned within each unit standard are met.

## **11. ACCREDITED PROVIDER ASSESSMENT**

EXITO does not undertake assessment for its accredited providers. EXITO may provide contract workplace assessors under a strict MoU agreement.

- a) An accredited provider must adhere to the AMAP requirements for assessors and assessment practice.
- b) An accredited provider using a registered workplace assessor must:
  - inform EXITO
  - ensure any assessment undertaken is not outside the workplace assessor's registered scope.
- c) Accredited provider's assessors must adhere to the policy and code of practice for assessors, as outlined in AMAP 0114 and 0079.

## **12. TECHNICAL VERIFIERS**

EXITO will implement and maintain a current register of workplace technical verifiers that contains all information which is relevant to each individual verifier.

The Moderation and Assessment Manager is responsible for registering EXITO technical verifiers.

EXITO will ensure that sufficient resources are provided to register its workplace verifiers for all sectors and keep the register current and accurate.

EXITO assessors may engage registered technical verifiers to assist them with the collection of evidence for assessment. This involves practical components of unit standards only and must comply with the relevant clauses of EXITO's AMAPS. The assessor must have the unit standards on their scope to engage a technical verifier to assist with evidence collection.

EXITO will:

- a) Provide the applicant with information about training in unit standard 18203.
- b) Provide an application form and information to verifier applicant.
- c) Review application against required criteria.
- d) Ensure the applicant holds unit standard 18203.
- e) Ensure the company or industry recognises the technical verifier as an expert in their field.
- f) Ensure technical verifiers hold a high level of knowledge and skill within their specific workplaces and some understanding of the assessment process.
- g) Ensure the applicant meets the clauses of the AMAP for their sector.
- h) Approve application; or decline application and notify applicant.
- i) Notify verifier and register status.
- j) Ensure the Moderation and Assessment Manager holds all necessary information including:
  - approved application details
  - full CV and practicing certificates and/or qualifications if applicable
  - industry and/or employer endorsement and references.
- k) Issue verifiers stamp.

### 13. VERIFIER DE- REGISTRATION CRITERIA

EXITO reserves the right to revoke or suspend a verifier's registration on the grounds of non-performance, non-compliance, complaints or significant concerns, and assessment issues against the quality of evidence being submitted by verification.

EXITO will:

- a) Follow up on any complaints against verifiers practice or conduct.
- b) Follow up on any non-performance issues.
- c) Follow up on any non-compliance issues.
- d) Follow up on assessment issues relating to verification of evidence as highlighted in moderation action plans
- e) Collect the verifier's stamp and amend the registration records if required.

### 14. SPECIALIST ASSESSMENT

EXITO acknowledge the special conditions that an EXITO Registered Assessor must comply with when assessing other Standard Setting Bodies (SSB) or ITO's unit standards, or EXITO's own high risk unit standards.

EXITO assessors will comply with all requirements for specialist assessment and high risk unit standards. Only approved, competent and qualified individuals are accredited to assess in these areas. All safety requirements must be adhered to.

The Moderation and Assessment Manager is responsible for EXITO's compliance with the additional requirements from other assessment systems, and/or high risk unit standards and/or processes which involve specialist assessment practice i.e. RCC/APC/Joint assessment.

EXITO will ensure that sufficient resources are provided to comply with all specialist assessment for all relevant sectors and other SSB's.

#### Electro Technology Unit Standards

Coverage of **Industrial Measurement and Control [IMC]**, requires an assessor to meet the following criteria as set by ETITO: Standard Setting Body: ETITO AMAP Ref: 0003.

EXITO assessors will comply with:

- a) Unit standard 4098 and 4099 or 11552;
- b) Hold the National Qualification in Industrial Measurement & Control or Trade Certificate in Industrial Instrumentation or equivalent;
- c) EST A & B or Electrical registration **including** evidence of applicant holding a current practicing licence (*criteria clarified and confirmed with ETITO November 2003*);
- d) Be a "Supervisor of electrical work" – refer Electricity Act 1992 – (3 years experience since registration);
- e) Refer to ETITO AMAP 0003 Appendix 1 - Guidelines for Competency-based Training and Assessment of Electricians.

## **Steam and Hazardous Gases Unit Standards**

Coverage of steam and hazardous gases unit standards requires an assessor to meet the following criteria as set by EXITO: Standard Setting Body: EXITO AMAP Ref: 0079.

EXITO assessors will comply with:

- a) The Energy Chemical qualifications are operations based qualifications, therefore a key criteria for any assessor is that they have operational experience in the unit standards they assess in. For assessors registered to assess whole qualifications the assessor will hold a **National Certificate in Energy Chemical Operations Level 4** with the appropriate strand as required, an equivalent qualification, or demonstrates equivalent skills and knowledge.
- b) Equivalent qualifications would include: a First Class Engine Drivers Certificate, Marine qualifications including Third Class Marine Certificate, and the National Certificate in Electrical Supply (Thermal Generation) Level 4 managed by the Electrical Supply ITO. Equivalent skills and knowledge would be evidenced against critical competencies within the specified unit standards.
- c) Assessors to be registered to assess in specific unit standards must demonstrate expertise and experience in the area related to the unit standard. For example, in safety the assessor may hold equivalent unit standards, and or qualifications that are relevant to the unit standards in the energy chemical domain. Similarly an assessor may be registered to assess individual energy chemical unit standards, where the assessor can show the same or higher level of knowledge and skills.

## **Adult Education And Training Unit Standards**

Coverage of adult education and training unit standards requires an assessor to meet the following criteria as set by NZQA: Standard Setting Body: NZQA AMAP Ref: 0045.

EXITO assessors will comply with:

- a) The AMAP ref.0045 (e.g. industry-specific requirements) criteria, states that staff are appropriately qualified at a **level above** the adult education and training subject areas of the unit standards they intend to assess. Furthermore, the requirement is that staff/assessors will also either have obtained credit for the unit standards they will assess against, or will be able to demonstrate equivalent skills and knowledge.
- b) EXITO will work with a representative of NZQA to ensure this requirement is maintained. If any clarification is required regarding equivalent skills and knowledge, this section of an assessor's application will be reviewed by the appropriate personnel at NZQA Adult Education and Training. Generally this will be the appointed Moderation and Assessment Manager.

## **Specialist Criteria for Assessing Unit Standard 17699: *Plan layouts, assemble, place and fire shots for snow control***

Standard Setting Body: EXITO AMAP Ref: 0114.

EXITO assessors will comply with:

- a) Conditions - Assessors wishing to assess this unit standard must be registered specifically by the Snow Control Expert Panel.

## 15. SPECIALIST CRITERIA FOR EXITO HIGH RISK UNIT STANDARDS

Standard Setting Body: EXITO AMAP Ref: 0114.

EXITO assessors will comply with:

- a) Joint assessment is required for the EXITO units listed below which have been considered as critical by EXITO because of the degree of risk.
- b) Failure to comply with this requirement will result in de-registration of an EXITO registered assessor, even if the results were registered via an Accredited Training Provider.
- c) Two EXITO Registered Assessors, or one EXITO registered assessor and one EXITO registered technical verifier, must have taken an active part in the assessment and have come to the same conclusion in regards to competent or not yet competent. An active part in the assessment means that both assessors, or the assessor and technical verifier must have witnessed the candidate undertaking the tasks required in the unit standard.
- d) Both assessor stamps, or the assessor and technical verifier stamp must appear on the EXITO reporting form where at least one of the stamp holders must hold the unit standard they are assessing
- e) The unit standards requiring joint assessment are:
  - 7145 Design, establish and maintain an effective ventilation system in an underground mine.
  - 21280 Demonstrate knowledge of and design an effective ventilation system in an underground mine
  - 8918 Carry out shotfiring operations
  - 8920 Design blasting layouts and carry out shotfiring in underground metalliferous mines.
  - 8921 Design blasting layouts and carry out shotfiring in underground coal mines.
  - 21281 Interpret and test for gases in an underground extraction site
  - 15662 Investigate and design a roof support system for underground mines and tunnels.
  - 17697 Design blasting layouts and carry out blasting operations for construction work.
  - 17705 Develop and maintain basic ventilation systems in underground mines and tunnels.

**16. ADDITIONAL CRITERIA FOR UNIT STANDARDS BELONGING TO ANOTHER ITO/SSB**

EXITO assessors will comply with:

- a) The specific conditions of the relevant SSB's **must be complied with**. Assessors must use a pre moderated assessment guide and ensure currency and fitness for purpose prior to use.
- b) Assessors also need to be aware that any assessment carried out for these unit standards are subject to moderation practices of their 'owner' i.e. the relevant SSB.
- c) Failure to comply with the requirements of other SSB's/ITO's can put EXITO's accreditation at risk, and doing so will be a serious breach of assessment practice.
- d) Failure to comply with this requirement will result in de-registration of an EXITO registered assessor, even if the results were registered via an Accredited Training Provider.

**17. RECOGNITION OF CURRENT COMPETENCE (RCC) AND ASSESSMENT VIA PROFESSIONAL CONVERSATION (APC) ASSESSMENT**

EXITO acknowledge candidates' rights to apply for assessment via the recognition of current competence or assessment by Professional Conversation. Only competent, qualified and EXITO approved individuals are accredited to assess in these areas.

The Moderation and Assessment Manager is responsible for EXITO's compliance with the requirements applicable to an RCC or APC assessment system and practices.

EXITO will ensure that sufficient resources are provided to address all or any RCC and APC assessment applications across all relevant sectors.

EXITO assessors wishing to conduct RCC and/or APC assessments must hold a Level 4 Adult Education Qualification or be progressing towards a qualification, have proven best practice assessment history, and be approved by EXITO.

**RECOGNITION OF CURRENT COMPETENCY**

- a) Assessors wishing to assess via RCC must be endorsed by the Moderation and Assessment Manager at EXITO.
- b) Assessment tools used for RCC assessment must be provided or approved by EXITO.
- c) Some unit standards are unable to be assessed via RCC. A list of these unit standards is available from the Moderation and Assessment Manager at EXITO.
- d) Candidates must be fully informed of processes through candidate guides which outline in detail the requirements that are expected to be met.
- e) Assessor's assessment must link the submitted evidence to the requirements of the unit standards.
- f) Candidates' evidence collection must show validity, currency, sufficiency and authenticity.
- g) RCC needs to be considered differently to train and assess, and the assessor must show what this would entail.
- h) All assessor's judgments and decisions on competency must be in accordance with the requirements of the unit standards, and be robust and recorded
- i) Assessment outcomes must meet requirements of moderation.

## ASSESSMENT VIA PROFESSIONAL CONVERSATION

- a) Assessors and candidates wishing to assess via APC must be approved by the Moderation and Assessment Manager at EXITO.
- b) Assessment tools used for APC must be provided or approved by EXITO.
- c) For unit standards and qualifications belonging to the Sub Fields 'Extractive Industries' and 'Metalliferous Mining', assessment by professional conversation must only be used in the following situations:
  - i. Where the candidate has qualifications that they have achieved overseas (Australian, South African and United Kingdom). In this case, qualifications must be referenced to the EXITO benchmarking process.
  - ii. For New Zealand Certificates of Competence (Extractive) which have expired and need to be upgraded.
  - iii. For Lifetime CoC holders who choose to be upgraded.
  - iv. For Degrees containing elements of Unit Standards in these Sub Fields.
- d) Candidates preparing for an assessment via professional conversation must be supplied with a candidate pack that outlines the requirements in full. A facilitator must be appointed at this time.
- e) Assessor's assessment must link the submitted evidence to the requirements of the unit standards.
- f) Candidates' evidence collection must show past performance, current expertise, validity, sufficiency and authenticity.
- g) APC needs to be considered differently to train and assess, and the assessor must show what this would entail.
- h) All assessor's judgments and decisions on competency must be in accordance with the requirements of the unit standards, and be robust and recorded.
- i) Additional competencies required must be identified and only proven competencies awarded achievement of credit.
- j) Assessment outcomes must meet requirements of moderation. EXITO may require a moderator to be present during any assessments.

## **18. PROFESSIONAL DEVELOPMENT EXPECTATIONS**

EXITO requires ALL active assessors to undertake professional development activities to enhance their assessment techniques and practices on an annual basis.

Assessors are required to record professional development on the "Professional Development Log – refer to [www.exito.org.nz](http://www.exito.org.nz).

EXITO will offer opportunities to allow this to occur. Agreeing to go to workshops on assessment best practice, principles and procedures requires a commitment to attend. Assessors reneging within two weeks of a set workshop date may be charged a cost recovery fee.

An assessor choosing to decline such an invitation may jeopardize their assessor status.

## **19. ASSESSMENT OF OVERSEAS EVIDENCE**

Assessment evidence submitted for credit from an overseas source must meet the following conditions:

- a) The evidence supplied must be aligned to the EXITO benchmarking requirements for that country.
- b) Candidates preparing for an assessment of overseas evidence must be supplied with a candidate pack that outlines the requirements in full. A facilitator must be appointed at this time.
- c) Be jointly assessed by an EXITO registered RCC assessor and a technical industry expert or an OSH inspector if relevant.
- d) Evidence of past performance must be verified with the overseas issuing agency and/or past employers. Evidence of this verification must be supplied.
- e) All assessor's judgments and decisions on competency must be in accordance with the requirements of the unit standards, and be robust and recorded.
- f) Both the registered assessor and the technical industry expert must sign the credit reporting form.
- g) Evidence must be submitted and meet moderation requirements.

## **20. MODERATION**

EXITO is responsible for maintaining consistency between all organisations accredited to assess their unit standards.

EXITO will:

- a) Conduct moderation activities up to four times a year.
- b) Comply with the AMAP requirements in AMAP 0014 and 0079.
- c) Send a sample request letter to assessors, or Accredited Training Providers requesting samples with notification of a three weeks submission date.
- d) Provide a moderation result report on assessment practice to the assessor within four weeks of the sample being received.
- e) Provide on-going training and support for assessors requiring coaching on best practice principles of assessment.

EXITO assessors will:

- a) Meet EXITO's requirements for all moderation activities.
- b) Keep completed assessments for a period of twelve months from the date of registration.
- c) Submit the samples to EXITO by the date stated to ensure timely turn around of moderation.
- d) Attend further training as directed by the Moderation and Assessment Manager.

## **21. APPEALS AND COMPLAINTS**

Should a candidate or an industry stakeholder be dissatisfied with an assessment practice or an assessor's conduct and a formal complaint is lodged, the assessor has a right of appeal. The appeal process is set out in the EXITO Code of Practice for Appeals and Complaints.