



# Careerforce Assessment Procedures Manual

February 2022

## **Document control**

Document control applies to this material.

This manual, its contents and specified processes are not to be altered. Official updates will be provided by Careerforce.

Recommendations for change to contents should notify:

Manager Moderation and Assessment Practice

Careerforce

PO Box 2637

WELLINGTON 6140

Ph: 0800 277 486

Email: [Assessor-Admin@careerforce.org.nz](mailto:Assessor-Admin@careerforce.org.nz)

# Contents

Contents .....	3
Introduction.....	5
Who are these procedures for?.....	5
Definitions .....	5
Assessor registration.....	6
Careerforce Registered Assessors .....	6
Registration criteria .....	7
Assessor scope.....	7
Applying to become an assessor .....	7
Initial Assessor Training (IAT) .....	8
How long am I registered for? .....	9
Annual re-registration.....	9
Inactive status .....	9
Changing assessor scope.....	10
Assessing units outside of scope .....	10
Updating of assessor details .....	10
Assessment practice .....	11
Trainee’s rights in assessment.....	11
Specific individual trainee needs.....	11
Language.....	11
Literacy .....	12
Cultural needs.....	12
Use of a reader and writer.....	12
Who may not be a reader or a writer?.....	12
Use of an observer or verifier .....	12
CRAVES .....	13
REAL.....	13
Academic dishonesty .....	13
Plagiarism/copying.....	14
Sharing of marked assessments with other trainees.....	14

Conflict of interest as an assessor .....	15
Ethical issues about safety and disclosure.....	15
Steps in the assessment process .....	15
Prepare the trainee for the assessment .....	15
Conduct the assessment .....	16
Give feedback and enter results .....	16
Assessor guides.....	17
Assessment methods.....	17
Written assessment .....	17
Observation .....	17
Oral assessment.....	17
Oral questioning.....	18
Professional conversation (kōrero mātanga) .....	18
Electronic evidence.....	19
Retaining completed assessments and evidence .....	19
Reassessment .....	20
Obtaining feedback about the assessment process.....	20
Maintaining assessment records.....	20
Maintaining assessment confidentiality.....	20
Assessments .....	20
Results.....	21
Reporting faults with assessments or assessment schedules .....	21
Definitions.....	22
Appendices.....	24
Appendix 1 – Criteria for appointment of assessors.....	24
Equivalent knowledge and skills .....	24
Qualities of a workplace assessor.....	25
Appendix 2 – CMR requirements .....	25
CMR 0024 Toitū te Waiora, Ringa Hora .....	26
CMR 0113 Ringa Hora.....	26

# Introduction

Assessment is a process that systematically measures a trainee's performance against learning outcomes prescribed in unit standards and the graduate profile of a qualification.

These procedures ensure consistent and compliant assessment is performed by Careerforce registered assessors. This manual has three sections:

- 1 Assessor registration
- 2 Assessment practice
- 3 Appendices: Supporting documentation and industry specific information

## Who are these procedures for?

These procedures apply to all persons registered as an assessor by Careerforce.

- Workplace assessors.
- Contracted assessors.
- Careerforce Staff Assessors and Learning Engagement Advisors.
- Careerforce Apprenticeship Advisors.

## Definitions

A list of [definitions](#) is provided to help you to understand some of the terms used in assessment practice.

# Assessor registration

## Careerforce Registered Assessors

Careerforce has a statutory role as a Transitional Industry Training Organisation (TITO) under the Industry Training Act (1992). Careerforce operates under rules set by the Government through the New Zealand Qualifications Authority (NZQA), Workforce Development Councils (WDCs) and the Tertiary Education Commission (TEC).

The rules that guide Careerforce are contained in the [Consent and Moderation Requirements \(CMR 0024\)](#).

The CMR defines the conditions under which Careerforce may approve and register workplace assessors.

Specifically:

*Applicant organisations must have policies and procedures to ensure that staff engaged in training and assessment:*

- *are appropriately qualified to assess against assessment standards. To meet this requirement assessors must hold unit standard 4098 or 30421, or can demonstrate equivalent knowledge and skills*
- *hold an adult education qualification or can demonstrate equivalent knowledge and skills*
- *either hold a qualification relevant to the content of the standards being assessed, at one level or more above the level of the standard(s) they assess, or have held the standards being assessed for a minimum of 6 months, or can demonstrate equivalent knowledge and skills to those standards including evidence of applied practice*
- *keep up to date with legislative and technical requirements and best industry practice relevant to the scope of consent to assess*
- *undertake relevant training or professional development to remain current in their specialist or technical subjects relevant to their sector*
- *attend training or professional development to remain current in assessment practice*
- *where relevant, hold professional registration*

Under the registration process, assessors must meet the requirements of the CMR and must always comply with these procedures to keep their assessor registration.

Assessors are only allowed to assess trainees for their own workplace or for their employer (covering trainees at that employer's multiple sites). Assessor applications must have the agreement of the employer.

Assessors are only allowed to assess the unit standards on their scope as approved by Careerforce.

Assessors are not allowed to charge for assessment services to any party other than Careerforce and may only do so through a contract for service with Careerforce.

## Registration criteria

Before applying, applicants must have:

- the support and approval of their employer
- trainees enrolled at their workplace with Careerforce, or soon to be enrolled trainees
- relevant experience, skills and knowledge for the qualification and units that they need to assess

To become registered, applicants must:

- meet all Consent and Moderation Requirements (CMR) for the unit standards they will assess against
- have sufficient qualifications and/or experience within the industry relevant to their application
- submit an *Assessor Application form* (containing all required details and supporting information attached)
- complete and pass a Careerforce Initial Training Course (IAT) to gain an appropriate understanding of assessment practice and be awarded unit standard 30421
- gain successful outcomes from post-assessment moderation of the first 3 assessments within 3 months of completing the IAT course

## Assessor scope

Assessor scope states what qualification or unit standards an assessor is approved to assess against. Assessing units outside this scope is not allowed and results will not be entered. The approved assessor scope reflects both the qualifications and experience of the registered assessor.

Assessors can check their assessor scope through iportal or by requesting a report from Careerforce.

## Applying to become an assessor

To become a Careerforce registered assessor, an *Assessor Application form* must be fully completed on the Careerforce website with copies of the applicant's relevant qualifications, certificates, registrations, NZQA Record of Achievement, current Curriculum Vitae (CV) detailing work experience, current job description, evidence of achieving unit standard 4098/30421 where already held and the employer's endorsement. The application form can be found at this web address: <https://www.careerforce.org.nz/registered-assessor-application/>

The applicant must list the qualification/s or unit standards they are seeking to assess as agreed by their employer. An assessor can only get scope relevant to the qualification/s that trainees at their workplace are enrolled in.

Applicants will be notified of the outcome and unsuccessful applicants told of the reasons for being declined within 10 working days.

The Careerforce database will generate a unique registration number for each assessor. Assessors must record their registration number on all assessments when signing off results. Assessors will also be provided login details for Aka Toi (Careerforce's online learning platform) where appropriate.

## Initial Assessor Training (IAT)

All Careerforce Registered Assessors must hold unit standard 4098: *Use standards to assess candidate performance*, or unit standard 30421: *Carry out assessments against standards to make judgements of learner performance*. This is a CMR requirement.

Assessors must complete a Careerforce Initial Assessor Training course and all associated moderation requirements relating to registration once their application is approved. This course is free to successful applicants.

On a case-by-case basis, applicants already holding unit standard 4098 or 30421 and who can show evidence of current practice in conducting assessments, including evidence of moderation outcomes during the previous 12 months, may not be required to complete a Careerforce IAT course. These applicants will be vetted and supported on an individual basis to ensure they have appropriate skills and knowledge to become a Careerforce registered assessor.

Careerforce does not reimburse fees for 4098 or 30421 courses attended with external training providers.

### Sequence of course requirements:

- 1 Approval of the assessor application (10 working days) allows entry into this course.
- 2 Completion of online learning and assessment (2 weeks given to complete).
- 3 Marking and feedback by the course trainer (2 weeks).
- 4 Once passed, the trainee assessor will be approved and scheduled to attend a workshop.
- 5 Attendance at a two-day workshop for a standard course, with practical assessments. For some groups who are training to assess a specific programme, a third day may be required to cover an induction into the specific content and to cover specialist assessment methods.
- 6 Conducting of one further assessment in the workplace (which is assessed by the course tutor) to gain the unit standard. This must be completed within 30 working days of attending the workshop.
- 7 Once awarded the unit standard, assessor registration is completed and scope granted.
- 8 Three assessments must be completed and submitted to the course trainer for moderation within 3 months of attending the workshop.
- 9 Assessors must have three (3) samples of their assessments moderated every year thereafter by the Careerforce National Moderators as an ongoing requirement for their continuing registration.

**Please note: failure to meet the above timeframes may result in a charge for the assessor training of \$400.00.**



## How long am I registered for?

Careerforce assessor registration is valid for one (1) year from the date of approval. It is not for life.

To remain registered assessors must:

- continue to meet all Consent and Moderation Requirements (CMR) specific to their assessor scope
- have trainees enrolled in a Careerforce programme that they can assess
- be actively assessing and reporting credits within the registration period and completing a minimum of 3 assessments per year to meet moderation requirements
- demonstrate consistent and fair assessment practices through the post-assessment moderation process
- comply with all instructions and requirements of Careerforce

Failure to comply or failure to achieve successful moderation outcomes will initiate a review of the assessor's assessment practices and performance. A corrective action plan will be implemented with appropriate support being provided. Where improvement is not seen, an assessor may be deregistered.

## Annual re-registration

Careerforce Registered Assessors are automatically re-registered if all annual registration requirements have been met. Careerforce will notify registered assessors three (3) months prior to their registration expiry date to enable them to comply with any outstanding annual registration requirements.

Assessors who do not meet requirements by the expiry date of their registration will not be able to report results or continue assessing until they meet requirements unless they have made arrangements with the Assessment Operations Team to extend their registration period to achieve compliance. Extensions may be granted for a maximum of three months only.

## Inactive status

Reasons for being made 'inactive' include but are not limited to:

- not meeting annual registration requirements, including moderation requirements
- not complying with instructions or requests made by Careerforce
- failing to conduct themselves in a professional or ethical manner
- ceasing to work for or have the continuing endorsement of their employer
- request for deregistration by the assessor (e.g. moving employment or having no trainees etc)

Advice about a change of registration status will be sent by email to the assessor, their employer and to the Careerforce Workplace Advisor.

## Changing assessor scope

Careerforce registered assessors can request an extension of scope by using the [Scope Extension Application](https://www.careerforce.org.nz/scope-extension-application/) form (found at this URL: <https://www.careerforce.org.nz/scope-extension-application/>) and attaching supporting evidence of skills and knowledge relevant to the application. Assessors will be granted a scope extension if they meet the registration requirements and Consent and Moderation Requirements (CMR) specific to the scope extension application. They must have trainees enrolled in the subjects for which they are seeking scope extension.

Successful applicants are notified of an approved assessor scope extension within 10 working days and must have their first three (3) scope extension assessments moderated to be allowed to continue assessing units in the new scope.

## Assessing units outside of scope

Assessors should review their own scope regularly to know what unit standards they are allowed to assess before assessing a trainee. Registered assessors may only assess and report credits within their scope. Assessors operating outside of their approved scope risk having their registration suspended. It is not possible to register credits without appropriate scope.

## Updating of assessor details

Assessors must notify Careerforce of any change of personal contact details or change of employment. This may be done by phone: 0800 277 486, or by email: [assessor-admin@careerforce.org.nz](mailto:assessor-admin@careerforce.org.nz)

# Assessment practice

The purpose of the assessment practice section is to clarify expectations for providing and conducting assessment of trainee knowledge, skills and competencies against unit standards and qualifications.

## Trainee's rights in assessment

Trainees must be informed about:

- The training plan, i.e. what modules that they must complete and any cross-crediting awarded and the supports and guidance available to get them through the programme.
- What unit standards and qualification they will gain from their programme.
- The process for disputing an assessor decision.
- The review and appeal procedures available to them if they do not meet the required standard.
- Their options for completing their assessments in any of the three official languages of New Zealand, i.e. English, Te Reo or NZ Sign Language.
- Their options for addressing particular needs of Māori, Pacific people and other Tauwiwi.
- consumers/ tangata whai ora, including alternative assessment options.

The responsibility for ensuring the rights of trainees sits primarily with the assessor, and can be supported by other Careerforce representatives (e.g. Careerforce Workplace Advisor).

Trainees are entitled to:

- Timely assessment and feedback. Assessments should be marked within 10 working days of being submitted to an assessor and the trainee should receive feedback within 5 working days of the marking being completed.
- Guidance about what the assessment requires them to do.
- Support from their workplace to build sufficient knowledge and practical skills through on-job training and coaching in preparation for assessment.

## Specific individual trainee needs

There may be times when a trainee may not have equity with regards to learning and assessment.

### Language

Te Reo and Sign are official languages and trainees can be assisted to complete assessments in these when requested. Contact [assessor-admin@careerforce.org.nz](mailto:assessor-admin@careerforce.org.nz) for assistance so assessors can get the necessary help for their trainees.

## Literacy

All learners who have not previously achieved a Level 3 qualification, that was assessed in English, have their literacy and numeracy skills assessed at enrolment to help identify areas of support. Advice and support for trainees with literacy challenges is available through the Literacy and Numeracy Advisor at Careerforce.

Information is also on the Careerforce website <https://www.careerforce.org.nz/training/train-my-staff/literacy-numeracy/>

## Cultural needs

Support and assistance can be arranged for Māori and Pacific trainees to ensure they have access to learning and assessment in ways that best align with cultural practices. Contact [assessor-admin@careerforce.org.nz](mailto:assessor-admin@careerforce.org.nz) to request assistance so assessors can get the necessary help for their trainees.

## Use of a reader and writer

The assessor must approve the use of a reader/writer before any work is commenced. Approval must meet the requirements below.

Careerforce adopts the guidance provided by NZQA as its procedure when using readers and writers: <https://www.nzqa.govt.nz/providers-partners/assessment-and-moderation-of-standards/managing-national-assessment-in-schools/special-assessment-conditions/role-of-the-reader-and-writer/>

## Who may not be a reader or a writer?

To avoid conflict of interest, the role of a reader or writer or reader/writer cannot be undertaken by someone who is one of the following:

- a teacher of the subject
- a relative of the trainee
- a friend of the trainee
- a fellow trainee on the same programme
- another trainee on any programme
- a tutor
- a close family friend
- anyone else with a reasonably close personal relationship to either the candidate or their family

## Use of an observer or verifier

The assessor can use an observer from the workplace. Observers act as the eyes and ears of the assessor when the assessor is unable to observe the learner directly. People who may be appropriate to provide observation, verification or attestation are:

- team leaders, supervisors, managers
- health professionals, social workers, youth leaders, cleaners
- members of a multi-disciplinary team

- senior staff members
- coordinators, administrators
- clients, whānau, people being supported
- educators, trainers

Ideally, they have undertaken observer training with a Careerforce Learning Engagement Advisor. Learn more here: <https://www.careerforce.org.nz/assessment-moderation-2/workplace-assessors/observers/>

## CRAVES

CRAVES underpins robust assessor judgements. CRAVES stands for:

- **Current/consistent** – Is the learner’s evidence less than 12 months old? Is the evidence provided now equivalent to what has been presented by other learners at other times?
- **Reliable** – Does the evidence presented by the learner indicate that this can be repeated?
- **Authentic** – Is the learner’s evidence their own?
- **Valid** – Does the learner’s evidence meet all requirements of the standard being assessed?
- **Equitable** – Is the learner given a fair opportunity to meet the requirements of the standard?
- **Sufficient** – Is there enough evidence to allow for judgement of the learner’s competence as defined by the unit standard and supported by the assessor guide?

If the evidence presented to the assessor does not meet all the principles of CRAVES then the assessor should seek further evidence to satisfy CRAVES.

## REAL

REAL supports assessors to demonstrate good assessor practice. REAL stands for:

- **Respectful** – Assessors should recognise experience and competencies, if skills are readily demonstrated and documented within the workplace assessors can use this as evidence in assessment.
- **Efficient** – Assessors should seek to capture evidence of competence from day-to-day work, learners should demonstrate their competence against their knowledge gaps – not what they already know and do.
- **Applied** – Assessors should encourage reflection on the learners’ role and encourage learners to provide examples of what they have done on the job as evidence of competence.
- **Living** – Assessment is a learning journey. Assessors should provide feedback from assessment which encourages further development.

## Academic dishonesty

Academic dishonesty goes beyond simple plagiarism and includes the use of contracted assignment services and other attempts at deceiving assessors to be judged competent through the use of inauthentic evidence.

Careerforce notes that the provision or advertisement of cheating services is an offence under the Education Act (1989) and any detection of use of a service like this should be notified to [moderation@careerforce.org.nz](mailto:moderation@careerforce.org.nz).

## Plagiarism/copying

As with all education providers in New Zealand, Careerforce does not allow copying or plagiarism. Copying answers from the learning material does not demonstrate knowledge or understanding and is not valid or authentic evidence.

Plagiarism is the presentation of someone else's work as your own. In assessments, this is seen as answers that have been copied in part, or in full, from the learning material. For assessment to be authentic, the trainees must show their own knowledge and skills. While Careerforce assessments are open book, trainees are not allowed to copy information from the learning material as their answers.

To avoid plagiarism, trainees must provide examples from their own work practice. When trainees provide an example of their practice, assessors can see them applying what they have learned. This can be an acceptable demonstration of knowledge.

If the assessment asks for a definition, assessors may accept a direct quote if this is referenced. An appropriate reference allows the assessor (or anyone else) to find exactly where that information came from.

When marking and assessing, assessors should always use the assessor guide. The assessor guides typically use the same wording as the learning material. As part of good practice, assessors should also be familiar with the learning material. If the trainee has copied an answer it should be easily detected when using the assessor guide.

**Assessors must not mark plagiarised work as correct.** Seek more information from the trainee. This can be by having a conversation and noting down the key points of the discussion on the assessment. The assessor and trainee should both sign the notes to confirm that the notes are a correct record of a face-to-face discussion. Where an assessor holds a discussion by phone, just the assessor's signature and date are sufficient.

## Sharing of marked assessments with other trainees

Assessors must watch for work that is similar to that of trainees they have already assessed in workplaces with a number of trainees on the same programme. NZQA rules state that:

*Transitional Industry Training Organisations are to keep full copies of all assessment materials (including those used by sub-contractors) generated from education or training in which students are enrolled, for at least 12 months from the date of completion of that education or training.*

Assessors must follow the rule outlined above and so should be able to detect plagiarism within a workplace by referring to previously completed assessments.

If assessors identify sharing or selling of marked assessments among trainees, they must immediately advise Careerforce via [moderation@careerforce.org.nz](mailto:moderation@careerforce.org.nz) and should raise the matter with their management. Careerforce will escalate to NZQA and will request removal of unit standards or qualifications from any trainee who is found to be 'cheating'.

Where Careerforce identifies any trainee who is sharing or selling completed assessments, a formal complaint will be made to the employer and NZQA.

## Conflict of interest as an assessor

Assessors may not assess trainees if they are:

- a relative of the trainee
- a close personal friend of the trainee
- a fellow trainee on the same programme
- a close family friend
- anyone else with a reasonably close personal relationship to either the assessor or their family

## Ethical issues about safety and disclosure

### What are the confidentiality issues I need to consider if I am concerned about a trainee's practice?

All training agreements require the trainee and the trainee's manager to accept the Careerforce Privacy Section (pages 5 and 6 of the training agreement). The Privacy Section states that Careerforce will share trainee information with the trainee's employer and any other organisations as required by law.

New Zealand law protects anyone who shares confidential information about another person in the following circumstances:

- Any person who believes that another person has been, or is likely to be, harmed (whether physically, emotionally or sexually), ill-treated, abused, neglected or deprived may report the matter to Police.
- If you have made a report under these conditions, you are protected against any civil, criminal, or disciplinary proceedings as a result – as long as you have made the report in good faith.
- The Privacy Act also allows agencies (including individuals) to pass on this type of information (for instance where it is necessary from the purposes of law enforcement, or to prevent or lessen a serious threat to any individual's safety).

If an assessor identifies a potential risk disclosed through a trainee's work or an assessment, they must follow the policies and procedures for their organisation. First talk with your manager and seek guidance from them.

## Steps in the assessment process

There are three steps in the assessment process that should be followed to ensure the trainee has the best chance to succeed and the assessor minimises the risk of an appeal against their decisions.

### Prepare the trainee for the assessment

An assessor must do the following:

- Contact the trainee to discuss assessment readiness and produce a pre-assessment plan.
- Check that the on-job learning has occurred and that the trainee has successfully applied the skills sufficiently to do the job and to understand the 'why and the how.'
- Not allow trainees to attempt the assessment until they are sufficiently proficient at the tasks required.
- Explain the tasks so the trainee is clear about what is being asked and what they must do.

- Think about the trainee’s best learning style and consider oral assessment rather than written where this will put the trainee at ease and get the best performance from them.
- Consider the individual needs of the trainee and arrange relevant support, e.g. Te Reo or NZ Sign interpreter, reader/writer, support person etc.
- Coordinate with any workplace observers that might contribute toward the assessment process and brief them about the expectations of the observer within the assessment process.
- Have the trainee collect and collate any evidence of competency that might already exist within the workplace. This can be done in conjunction with an observer.
- Give the trainee direction about areas of the assessment that are not covered by existing evidence.

NB: Apprenticeship Advisors may undertake this phase where a Staff Assessor may conduct some of the assessments. The important aspect is that the trainee is given guidance about the assessment before starting.

## **Conduct the assessment**

- The trainee completes theory assessments and the assessor marks them within 10 working days of receipt.
- The assessor applies the assessor guide by checking the evidence submitted against the evidence required and judgement statements.
- The trainee works with workplace supports (observer, manager, learning and development) to collect and collate evidence of competency.
- The trainee performs tasks on the job and is observed by a trained observer who records the performance for the assessor, or the assessor observes the trainee directly.
- The trainee has performed tasks that can be verified, e.g. communicating handover information.
- The trainee completes in-service training requirements that can be verified where these meet some or all of the requirements of the unit standard.
- The assessor makes a decision on achievement.
- The assessor checks that all recording requirements are completed.

## **Give feedback and enter results**

- On completion of assessing all parts of the assessment, the assessor informs the trainee of the assessment result and provides feedback to the trainee. The assessor should include any relevant information on the assessments that contributed to their judgement decision.
- Reassessment is offered where appropriate.
- If using a paper-based assessment, results must be entered in iportal within five (5) working days of the sign-off date of completion of the assessment.
- Assessments must be retained by the assessor in secure storage, either hard-copy or scanned and stored electronically. One-year programme assessments must be kept for one (1) year following sign-off. Other longer programme assessments must be kept for two (2) years.
- The assessor must submit a minimum of three assessments for moderation each year and any additional samples as requested by Careerforce.



## Assessor guides

Assessor guides are supporting documents for the assessor to use with every assessment to ensure they assess consistently and correctly. These inform the assessor about how to conduct the assessment and how to judge a trainee's performance. Assessor guides contain model answers, evidence and judgement statements which are privileged information.

**Assessor guides must not be shared by assessors with trainees or any other person.**

Model answers give an example of expected responses by a trainee. Unless otherwise stated, model answers are **indicative** and should be used as a guide. Assessors must be experienced in the subject areas for which they have been given scope to assess and are expected to use professional judgement when considering trainee evidence, especially valid and relevant evidence that is not covered in a guide.

Evidence statements identify the kinds of evidence that could be used to support achievement of the unit standard, e.g. theory questions, observation evidence, company documents, attestations, certificates, etc.

Judgement statements describe acceptable performance levels, i.e. they define the standard (How much? How many? How well?) expected for the task in relation to the outcome(s) being assessed.

## Assessment methods

### Written assessment

Written assessment/theory questions are a valid form of assessment of unit standards requiring 'describe' and 'explain' type responses.

Theory questions should be marked in accordance with the judgement statements or model answers in the assessor guide.

Assessors must not assess the trainee's spelling or writing in the trainee's script unless this is a specific requirement of the unit standard or if the written work is illegible and the assessor needs to seek clarification from the trainee.

### Observation

Observation of a trainee's performance is a valid assessment method and should be carried out by the assessor or someone who works closely with the trainee and who ought to have completed a Careerforce Observer Workshop run by a Learning Engagement Advisor. Observers operate under the guidance of the assessor and support them by gathering evidence of a trainee's performance that occurs naturally within the workplace.

The assessor is responsible for ensuring that the observer has been trained by Careerforce and is a suitable person to perform observations. The assessor must ensure the observer completes all parts of the observation and notes specific examples of what the trainee actually did.

### Oral assessment

A trainee may request that an entire assessment is conducted orally rather than using written work. Evidence for oral assessment may be in writing where the assessor will note the trainee's responses using the trainee's own words. The assessor may record the conversation, e.g. audio or video taping so that they can replay and review the evidence as needed.

Protocols for electronically recording oral evidence include the following:

- Seek trainee’s permission to electronically record oral conversations.
- Electronic files should be submitted to Careerforce in an agreed digital format.
- Assessors should retain the recording, but moderation only requires the trainee’s responses written on the assessment following the discussion which are then signed and dated by the assessor.

Where the assessor writes for the trainee, the trainee must sign and date a statement on the assessment that they confirm *that the assessor has written their words for them and that they agree the answers are what they told the assessor.*

## Oral questioning

Oral questioning uses a question-and-answer format and is commonly used to clarify or gain extra evidence to that already provided. It is most often used to gain a little more information from a trainee to ensure their answers are robust and sufficient for the level and task being assessed.

When using oral questioning, assessors must avoid directing and/or leading the trainee.

It is used as follow up to a written or practical assessment activity, for example:

- to ask supplementary questions in a practical observation assessment to clarify trainee understanding and common practice
- to confirm a trainee’s underpinning knowledge of practical or written tasks, particularly if a trainee has copied written answers from the learning resources

The assessor must make notes of the additional evidence gained from the discussion and clearly note using a different colour pen from the trainee’s script (ideally NOT red):

- what task or question they relate to
- key points of the additional information provided by the trainee (in the words of the trainee)
- initial and date each piece of additional work if added throughout the assessment

Evidence may include assessor checklists or notes; these should be written up as soon as possible following the assessment and signed and dated by the assessor. The discussion may be electronically recorded as per protocols in oral assessment.

Assessors should retain the recording, however moderation only requires the written assessment notes of the trainee’s responses completed as a result of the discussion, signed and dated by the assessor.

## Professional conversation (kōrero mātanga)

Kōrero mātanga is a planned specialist assessment method. It is a structured conversation rather than a question-and-answer format. Kōrero mātanga is typically used in the assessment of higher-level unit standards and for recognition of current competency.

Assessors must undertake specific training by a Learning Engagement Advisor before using this assessment method.

It is a structured interview prior to which a trainee is expected to provide the evidence required for assessment as detailed in the Careerforce Trainee Assessment.

It is led by the trainee whose role is to clearly establish their skill level and experience. The assessor's role is to guide the discussion.

Kōrero mātanga is useful in assessing analytical and decision-making abilities.

For example, to demonstrate evidence of their ability to analyse:

- unusual or rarely occurring situations or scenarios
- the reasons for specific actions and alternatives considered by the trainee
- factors taken into consideration for a particular action
- critical analysis/reflection about successes and failures to establish learning points for the future

Kōrero mātanga should not be used in isolation but as part of a planned assessment event. Evidence of performance must always be supplied as required by the graduate profile outcome statement.

The kōrero mātanga process may be applied to formalise non-framework-based qualifications, practising licenses or experience within a workplace where skills and knowledge may meet the requirements of a New Zealand Diploma, New Zealand Certificate or unit standard(s).

Assessors must be clear about the purpose of using kōrero mātanga and agree to a list of areas/points to be covered. A written copy must be supplied to the trainee. The assessor must inform the trainee how the main points of the discussion will be assessed and recorded. A record of the discussion must be produced. This recording is necessary to demonstrate that the assessment criteria have been met and must be adequately documented.

During the discussion, the assessor may use a range of techniques to ensure the discussion remains focused and effective i.e. periodically summarising points covered, questioning to probe for more information or to clarify certain points of the discussion. Assessors must avoid directing and leading the conversation.

There should be a gradual 'handing over' to allow the trainee to enter into a full discussion where they have the opportunity of doing most of the talking.

## Electronic evidence

Electronic evidence of trainee performance must be clearly referenced with the trainee name, unit standard (title, level, credit, version and relative outcome or evidence requirement).

Assessors and moderators must be able to identify the trainee and evidence relative to the unit standard.

## Retaining completed assessments and evidence

NZQA requires that Careerforce keep full copies of **all** assessment materials (including those used by sub-contractors) generated from education or training in which students are enrolled, for **at least 12 months** from the date of completion of that education or training. Materials may be scanned and held electronically rather than paper based.

## Reassessment

In the event of a trainee failing to meet the criteria for an 'achieved' result, a maximum of **two** reassessment opportunities will be offered for the outstanding parts of the assessment. Assessors may use their discretion where the trainee only needs to provide a small amount of more evidence to complete. Trainees will be informed of this provision by the assessor when reporting the assessment decision to the trainee. The trainee and assessor will work through any resubmissions.

Where a trainee is unable to meet requirements after the second reassessment, the matter is to be referred back to the employer to deal with as a performance issue. Once the employer has completed any remedial training or actions, the trainee must re-do the whole assessment.

## Obtaining feedback about the assessment process

Evaluation feedback about the assessment process is to be sought from trainees and assessors by the Moderation Team on a regular basis to promote consistency of assessment practice and continuous improvement within Careerforce. Feedback is collated by the Moderation Team for discussion at moderation meetings and for recording within the Careerforce Evaluation Framework.

## Maintaining assessment records

Assessment records need to be created and maintained to ensure the following:

- Careerforce procedures are met
- Clear audit trails of assessment activities are available for external moderation requirements (when applicable)
- Trainees are formally acknowledged for the achievement of competencies through assessment
- Results are recorded and transferred to trainees' records of achievement
- Requirements of privacy legislation are complied with

## Maintaining assessment confidentiality

### Assessments

Provisions of the Privacy Act (2020) apply to trainee assessments.

Assessments must be held in secure manual or electronic storage. Assessments are legally disclosable documents but which are normally confidential to the following:

- The trainee
- The assessor
- Training staff and employer
- Moderators
- Standard Setting Bodies
- NZQA

Trainees must not disclose real names or personal identification of any person in their assessments except to their assessor during verbal discussions. Assessor notes about discussions will also protect the details of any person.

Similarly, confidential details about the employer, other staff or the workplace must be protected.

## Results

Assessment results are not to be publicly displayed. Assessment results are sensitive for trainees, particularly those requiring more than one attempt at assessment. Assessment results are only to be made available to the following:

- The trainee
- Supervisors
- Training staff
- Moderators
- Supporting Careerforce staff
- NZQA

**They are not to be discussed or displayed in public or informal arenas.**

## Reporting faults with assessments or assessment schedules

Assessors may find the occasional problem with the wording of an assessment or the content of an assessment schedule.

Problems encountered with assessments or assessment schedule should be reported through the [Careerforce website](#) with a suggested solution.

# Definitions

- **Accreditation** – A quality management process administered by the New Zealand Qualifications Authority (NZQA). All organisations seeking to offer unit standards or qualifications registered on the National Qualifications Framework (NQF) must be accredited to do so.
- **CMR** – Consent and Moderation Requirements: a plan devised by a Standard Setting Body (SSB) and registered with NZQA, which outlines the criteria used for accreditation of providers that seek to deliver and assess against unit standards. Every unit standard registered on the National Qualifications Framework (NQF) cites the number of the [CMR](#) that applies to that unit standard.
- **Authenticity** – Describes assessment evidence that is produced by a student/trainee without assistance from others.
- **Consistent** – Assessment is consistent where, given similar circumstances the Careerforce registered workplace assessor would make the same judgement again, and the judgement will be similar to judgements to other Careerforce registered assessors.
- **Education provider** – Inclusive name for a school, Private Training Establishment (PTE), Government Training Establishment (GTE), Institute of Technology and Polytechnic (ITP), College of Education or wānanga.
- **Evidence** – Information or objects that demonstrate a learner’s performance.
- **Integrated assessment** – An approach to assessment that collects evidence of skills, knowledge and attitude simultaneously, utilising whole activities that test a range of outcomes and performance criteria across a group of unit standards.
- **Judgement statements** – Judgement statements in an assessment schedule further define the meaning of an element/performance criterion in terms of quality or quantity.
- **Moderator’s interpretation** – A directive giving assessors consistent guidance about how to assess if issues in a unit standard prevent understanding, prevent the ability to assess or have become out of alignment with industry practices. This is a temporary measure until the unit standard can be formally reviewed.
- **Records** – Any of: minutes, annotated changes, file notes, written communication and correspondence (paper and electronic), documented feedback and evaluative data.
- **Reliable** – How well the assessment method will result in consistent, dependable outcomes. Also refers to the ability of the Careerforce registered workplace assessor to judge accurately between competent and not yet competent learners.
- **Standard setting body (SSB)** – A collective term that covers Workforce Development Councils and advisory groups that are recognised by NZQA as nationally representative of specialists in a particular field, for the purposes of establishing standards for national qualifications.
- **Sufficiency of evidence** – Evidence that establishes with confidence that all assessment criteria have been met, and that the learner’s performance to the required standard could be repeated with consistency.
- **Systematic** – Planning and recording of process that is ordered, well-documented and rigorous, and promotes sufficiency and fairness of assessment.

- **TEOs** – Tertiary education organisations including universities, Institutes of Technology and Polytechnics (ITPs, and collectively operating as Te Pūkenga), colleges of education, wānanga, private tertiary education providers, ITOs, government training organisations and other providers. N.B. Schools are education providers, but not TEOs.
- **Valid assessment** – Assessment that achieves fitness for purpose by requiring evidence directly related to the specified requirements of unit standards.
- **Workplace assessment** – Assessments carried out mainly in the context of the trainee’s everyday activities (job requirements) in the workplace. Workplace assessment relies on evidence produced in actual work situations.

# Appendices

## Appendix 1 – Criteria for appointment of assessors

The criteria that assessors must meet to gain registration and scope to assess unit standards are prescribed in the Consent and Moderation Requirements (CMR) of the relevant Standard Setting Bodies (such as Careerforce).

CMRs are legal documents and are approved for use by NZQA. Criterion 3 in each CMR prescribes the requirements for assessment of unit standards covered by each CMR.

Careerforce registers workplace assessors to work with unit standards covered by 9 different CMRs. Where scope is granted, both CMR 24 and the other relevant CMR must be met.

### Equivalent knowledge and skills

Careerforce recognises that new assessor applicants in our sectors bring valuable, relevant life and work experience with skills aligned to the assessor role and their assessor scope. Compliance with the relevant CMRs is an NZQA requirement that must be evidenced and must be defensible under external scrutiny.

When a new assessor application is received that does not have evidence of a clear or direct alignment with the relevant CMR, the Manager of Moderation and Assessment Practice may review and approve the appointment after ensuring there is sufficient relevant evidence and basis for the approval.

For non-standard applications (such as a new qualification, e.g. Health and Wellbeing Level 5 where there is currently no higher qualification that could be held by an applicant, or for which there are no assessors yet appointed), applicants should include information such as their CV, job description, or supporting documents that show the similar or relevant experience they have, either in the workplace or through other volunteer activities, committees etc, or hold a qualification relevant to the content of the standards being assessed, at or above the level of the standards.

A workplace assessor must have the endorsement of their employer confirming their suitability for the role and their relevant experience and capabilities in the sector. Such endorsement is also an indicator that the applicant has the capability to gain the qualification or unit standards if they were to pursue that pathway.

Relevant supporting evidence may include:

- qualifications in a similar or related field at a level above that being assessed
- significant practitioner experience in the sector, particularly in a role that is senior to the trainee's
- experience as a teacher, trainer, coach or adult educator in sector-relevant subjects
- experience in auditing, quality management or evaluation
- experience in sector supervisory roles including conducting staff performance appraisals
- previous experience and/or registration as an assessor



## Qualities of a workplace assessor

### Knowledge

- Has substantial subject expertise.
- Has in-depth knowledge of workplace requirements and models the application of these.
- Has knowledge of the roles of trainees and the requirements of those roles.
- Considers different sources of evidence within the workplace.

### Skills

- Has applied practical experience at a level above that being assessed.
- Is an effective communicator and is highly proficient in written and oral English.
- Must be computer literate, have access to a computer and uses email in the workplace environment.
- Meets timeframes and deadlines for completing assessments and entering results.
- Is proficient at setting timeframes and ensuring trainees meet these.
- Applies best practice in assessment processes.
- Is proficient in administration requirements and accurate recording.
- Has coaching and mentoring skills.
- Applies safe practices in diversity awareness and cultural awareness.
- Is skilled at self-reflection and is open to feedback.

### Attributes

- Has the time to allocate to assessment of trainees.
- Relates well to others, specifically with a coaching/educator approach.
- Has credibility and trust within workplace with trainees, peer staff and management.
- Is a role-model of desired skills, attitudes and behaviours in the workplace.
- Demonstrates patience, empathy and respect.
- Has a desire to support the upskilling of fellow workers.

## Appendix 2 – CMR requirements

Consent and Moderation Requirements of other Standard Setting Bodies must be met in addition to CMR 0024 for Careerforce assessors relative to the unit standards on the assessor's scope.

## CMR 0024 Toitū te Waiora, Ringa Hora

<https://www.nzqa.govt.nz/nqfdocs/maps/pdf/0024.pdf>

Applicant organisations must have policies and procedures to ensure that staff engaged in training and assessment:

- are appropriately qualified to assess against assessment standards. To meet this requirement assessors must hold unit standard 4098 or 30421, or are able to demonstrate equivalent knowledge and skills.
- hold an adult education qualification or can demonstrate equivalent knowledge and skills.
- either hold a qualification relevant to the content of the standards being assessed, at one level or more above the level of the standard(s) they assess, or have held the standards being assessed for a minimum of 6 months, or are able to demonstrate equivalent knowledge and skills to those standards including evidence of applied practice.
- keep up to date with legislative and technological requirements and best industry practice relevant to the scope of consent to assess.
- undertake relevant training or professional development to remain current in their sector; where relevant, hold professional registration.

## CMR 0113 Ringa Hora

<https://www.nzqa.govt.nz/nqfdocs/maps/pdf/0113.pdf>

The applicant organisation must have policies and procedures to ensure that:

- staff assessing against standards are qualified to at least one level higher than the level of the standard(s) they assess against. They must also either have obtained credit for the standards they will assess against, or can demonstrate equivalent knowledge and skills.
- staff involved in assessing against standards are trained in standards-based assessment. They must either have obtained credit for Assessment of Learning: Unit 4098, *Use standards to assess candidate performance*, Unit 11551, *Moderate assessment*, and Unit 11552, *Design and evaluate assessment materials*; or can demonstrate equivalent knowledge and skills.
- teaching staff hold a qualification in adult education and training (or working towards one), a teaching qualification or can demonstrate equivalent knowledge and skills.
- staff involved in assessment are involved in ongoing professional development related to the scope of their assessment.
- all staff are educated in the implications of having students with learning difficulties and that support for teachers, such as supervision, is adequate.

Providers wishing to assess against unit standards in the domains within the Māori Business and Management subfield must have policies and procedures to ensure that the selection process for staff recognises culturally appropriate protocols. Teaching staff and assessors working with unit standards in these domains must have practical and theoretical knowledge of tikanga Māori.

Where functional relationships with local iwi and hapū need to be established for the development of programmes, and workplace assessment within Māori organisations, policies and procedures should be in place for the selection of staff with the skills and knowledge to develop and maintain these relationships.

**NB:** Careerforce has exemption from 11551 and 11552 for some units.