



Assessment Procedures

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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:

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Introduction

Assessment is a process that systematically measures learning and development by assessing a trainee’s performance against learning outcomes expressed in unit standard outcomes and the graduate profile.

0.1 Purpose of Assessment procedures manual

The guidelines contained in this manual have been developed to ensure consistent and compliant assessment is performed by Careerforce registered assessors. This manual has three (3) sections:

1. Assessor registration procedures
2. Assessment procedures
3. Appendixes: Supporting documentation and industry specific information

1. Assessor Registration Procedures

1.1. Purpose

The purpose of the Assessor Registration Procedures section is to provide clarity for anyone applying to become and/or remain a Careerforce Registered Assessor.

1.2. Scope

This section details the requirements for the registration of a Careerforce assessor. An Assessor can be:

- A workplace assessor
- A contracted assessor

1.3. Definitions

A full glossary of [definitions](#) is available.

1.4. Careerforce Registered Assessors

Careerforce Registered Assessors conduct assessment and report credit for unit standards within Careerforce's consent to assess, and the assessors designated scope of assessment.

They must comply with all consent, moderation and assessment policies and procedures. Failure to comply with these can result in a suspension, supervision or termination of their registration.

1.4.1. Careerforce Assessor Registration Criteria

Assessor applications must show evidence of demonstrated skill and knowledge within the applicants intended scope.

Careerforce assessor's registration approval requirements:

- Meets all Consent and Moderation Requirements (CMR) for the unit standards specific to the scope of application
- Experience within the industry specific to scope application
- Completion of an Assessor Application form
- Attend a REAL Assessment workshop (all new assessors)

- Assessment decisions supported in Careerforce post assessment moderation for three (3) assessments within assessor's scope of application

1.4.2. Assessor Registration Application

To register as a Careerforce assessor, the *Assessor Application Form* must be fully completed and returned. The application should include copies of relevant qualifications, certificates, registrations; NZQA Record of Achievement; current Curriculum Vitae (CV) detailing work experience, evidence of achieving unit standard 4098, and workplace endorsement.

The applicant is required to list requested scope by qualification or unit standard and be supported by the applicant's employer.

Applications will be reviewed by Careerforce staff.

Successful applicants are notified of approved assessor scope (*Scope of Registration*) within 10 working days.

The Careerforce database will generate a unique registration number for each assessor. Assessors must annotate their registration number on all assessments as required

Unsuccessful applicants are notified of the reasons why the application is declined within 10 working days. Assessors may terminate registration at any time by [notifying Careerforce](#).

1.4.3. Registration Period

The registration period for a Careerforce assessor is for one (1) year from the date of approval.

To maintain registration assessors must:

- Continue to meet all Consent and Moderation Requirements (CMR) specific to the scope of registration
- Be actively assessing and reporting credits within the assessor registration period
- Demonstrate consistent and fair assessment practices through moderator-supported decisions in the post-assessment moderation process.

More than one unsupported decision in any given 12-month period will initiate a review of the assessor's assessment practices and may include a mentor being assigned.

1.4.4. Re-Registration

Careerforce Registered Assessors are automatically re-registered if all annual registration requirements continue to be met.

Careerforce will notify registered assessors within two (2) months prior to the registration expiry date to enable assessors to comply with any outstanding annual registration requirements.

Assessors that do not re-register within 6 months of their registration expiring will be de-registered.

1.4.5. De-registration

Grounds for de-registration include but are not limited to:

- Failing to meet annual registration requirements, including any moderation requirements
- Failing to conduct themselves in a professional manner
- Ceasing to work for or have the endorsement of the employer
- Request for de-registration by the assessor

Notification of de-registration will be sent to the email account provided by the assessor.

De-registered assessors can re-apply using the *Careerforce Assessor Registration Application Form*.

1.5. Assessor Scope

The *Assessor Scope* identifies the qualification or unit standards on the *National Qualifications Framework* (NQF) that assessor is registered to assess against.

The approved assessor scope reflects both the qualifications, and experience of the registered assessor.

Access of an assessor Scope of Registration is through the I-Portal or by requesting a report from Careerforce.

1.5.1. Scope extension requests

Careerforce registered assessors can request for an extension of *Scope of Registration* by using the *Careerforce Registered Assessor Scope Extension Application Form* and attaching all supportive evidence of skill and knowledge to the application.

Assessors will be granted a scope of assessment extension if they meet the registration requirements and Consent and Moderation Requirements (CMR) specific to the scope extension application.

Unsuccessful applicants are notified of the reasons why the application is declined within 10 working days.

Successful applicants are notified of approved assessor scope (Scope of Registration) within 10 working days and must pass moderation of their first three (3) scope extension assessments to be allowed to continue with the new *Scope of Registration*.

1.5.2. Subject Matter Expert Assisted Scope

A Careerforce Registered Assessor may be granted scope to assess outside their area of expertise provided that a “suitably qualified” *Subject Matter Expert* (SME) is formally assigned to the assessor.

A suitably qualified SME must either hold a qualification relevant to the content of the standards being assessed, at or above the level of the standards, 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.

Where an organisation uses Subject Matter Expert Assisted Scope, they must have procedures to record relevant SME details (which need to include: name, position, evidence of relevant and current subject matter expertise – including relevant qualifications) and report on the assessment result when joint assessor/SME arrangements have been utilised.

Subject Matter Expert Assisted Scope Process:

1. A Careerforce representative and employer identify the need of an SME to meet assessment requirements and identifies an appropriate SME candidate.
2. The Careerforce registered Assessor pre-screens suitability of nominated SME candidate against the training programme and confirms/denies that the SME is “suitably qualified” to support their assessment.
3. The SME candidate completes (application/registration) form and provides supporting documentation.
4. Careerforce Support Services review the application and approves/denies that the SME is suitably qualified against the subject matter requirements.
5. The assessor coaches the approved SME on assessment expectations and defines the evidence requirements.
6. The SME completes written attestations on observed evidence which can then be considered by the assessor.
7. The assessor completes assessment procedures and documents all SME contributions.

1.5.3. Assessing out of Scope of Registration

Assessors should review their scope to identify what unit standards they have scope to assess prior to assessment occurring. Registered assessors may only report credits within their registered scope. Assessors reporting credit out of scope are in breach of their registration.

1.6. Assessor Details

Assessors are obligated to notify Careerforce of any change of details by phone: 0800 277 486; or email: assessor-admin@careerforce.org.nz

1.7. 4098 Training

To meet registration requirements, all *Careerforce Registered Assessors* must hold the unit standard 4098: *Use standards to assess candidate performance*.

Careerforce may reimburse the cost of undertaking training toward the 4098 unit standard to a maximum value of \$340.00 + GST.

This reimbursement is conditional on at least one (1) credit being reported by the Careerforce Registered Assessor.

2. Assessment Procedures

2.1. Purpose

The purpose of the Assessment Procedures section is to clarify expectations for providing and conducting assessment of trainee knowledge, skills and competencies against established unit standards and qualifications by Careerforce Registered Assessors.

2.2. Scope

This section covers:

- Assessing procedures and methods of assessing

2.3. Definitions

A full glossary of [definitions](#) is available.

2.4. Assessor Guides

Assessor Guides are supporting documents specific to the qualifications/programmes/unit standards being assessed and detail the assessment event and assessment decision parameters.

Assessor Guides contain model answers, evidence and judgement statements which is privileged information and must not be shared by assessors.

Model answers give an example of expected answers. Unless otherwise stated, model answers are indicative and should be used as a guide and the assessor should use professional judgement when considering trainee evidence.

Evidence statements detail the evidence used to support achievement, e.g. theory questions, observation evidence, company documents, attestations, certificates, etc.

Judgement statements describe acceptable performance levels, i.e. they define the standard (quantitative and qualitative) expected for the task in relation to the outcome(s) being assessed.

2.5. Assessing

Assessments will be assessed by a Careerforce registered assessor against the criteria of assessment detailed in model answers and/or an assessor guide designed specifically for the unit standard.

The process of post-assessment moderation will ensure that marking is fair, consistent and meets the national standard.

Assessors will ensure that the assessments are assessed and returned to trainees within the time-frame specified in the pre-assessment plan which is usually upon completion of the programme.

Careerforce has an expectation that assessments will be assessed, returned and reported within 5 working days.

Assessing should include feedback to the trainee which adds value to the assessment process.

In cases of a 'not achieved' result, trainees will be given suggestions about how their performance may be strengthened.

2.5.1. 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 within the assessment guide or model answer sheet within the assessor guide.

Assessors may not consider the trainee's spelling or writing in the trainee's script unless this is a specific criterion of the unit standard.

2.5.2. Observation

Observation of trainees' performance is a valid assessment method and should be carried out by someone whom works closely with the trainee. Observers operate under the guidance of the assessor and support them by gathering evidence of a trainee's competence that occurs naturally within the workplace.

Assessment decisions are made by the assessor against the evidence requirements expressed in the unit standard and performance levels described within the assessor guide.

The assessor is responsible for ensuring the observer is suitable for providing evidence through observation and must agree to the person providing the observation.

2.5.3. Oral Assessment

Evidence for oral assessment may be in writing or by capturing the conversation in an electronic format (e.g. audio or video taping).

Protocols for electronically recording oral evidence include:

- Seek trainee's permission to electronically record oral conversations.
- Electronic files should be submitted to Careerforce in an agreed digital format.

- The recorded evidence must be submitted with the assessment resource for any post-assessment moderation requests enabling moderation to take place and verify the assessor decision of the trainee's competence.

2.5.3.1. Oral questioning

Oral questioning uses a question and answer format (particularly for lower level unit standards) and is commonly used to clarify or supplement evidence already provided.

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.

Oral questioning is also used when a trainee requests oral assessment in place of written questions and answers and, where appropriate, the assessor will arrange for this form of assessment to take place.

The trainee's oral answers must be recorded either in writing or with an audio recording device. The assessor must write what the trainee says and not put it into their own words.

Evidence may include assessor checklists or notes; these should be written up as soon as possible following the assessment and signed off by the Assessor. Where the assessor writes for the trainee, the trainee must sign and date the written responses to authenticate. This recording is necessary to demonstrate that the assessment criteria have been met and must be adequately documented.

Assessors should retain the recording themselves but moderation should just receive the written assessment completed as a result of the discussion and the assessor recording the trainee's responses.

2.5.3.2. Kōrero mātanga (Professional conversation)

Kōrero mātanga is a planned assessment method and is a conversation rather than a question and answer format.

It is a structured interview in which a trainee is expected to provide the evidence required for 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.
- Evaluation of successes and failures to establish learning points for the future.

Kōrero mātanga is commonly used in the assessment of higher level unit standards and for Recognition of Current Competencies.

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 number 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.

2.5.4. Conducting workplace assessment

Workplace assessment should reflect the workplace environment and will be different across industries and organisations, however, assessment will follow three distinct stages:

1. Pre-assessment activity
2. Assessment
3. Post-assessment activity

Pre- assessment activity

1. The trainee and assessor meet to discuss assessment readiness and produce a pre-assessment plan.
2. The assessor coordinates with any workplace observers that might contribute toward the assessment process and orientates them to the expectations of the observer within the assessment process.
3. The trainee collects and collates any evidence of competency that might already exist within the workplace. This can be done in conjunction with an observer.

Assessment

4. The assessor applies the Assessment Guide by checking the evidence submitted against the evidence required and judgement statements. Where necessary, the assessor directs the trainee toward areas of the assessment that is not covered by existing evidence.
5. The trainee works with workplace supports (observer, manager, learning and development) to collect and collate evidence of competency.
6. The assessor makes a decision on achievement.
7. 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.
8. Reassessment is offered where appropriate.

Post- assessment activity

9. The assessor reports the credit of unit(s) to Careerforce, using the standard Careerforce process.
10. For moderation purposes the assessor files the assessment documentation for up to 12 months.
11. The assessor provides formal notification of the assessment result to the trainee.

2.5.5. Subject Matter Experts (SMEs)

A Subject Matter Expert (SME) has a qualification at or above the standards being assessed or equivalent knowledge and skills.

SMEs must be approved by the assessor, be recorded by Careerforce and meet the conditions specified in Careerforce's Consent and Moderation Requirements (CMR 24). A SME attests to the trainee's competency in writing and the assessor has the final decision

2.5.6. 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.

2.5.7. Retaining Completed Assessment Resources and Evidence

All completed assessment resources and evidence must be retained for a period of 12 months.

2.6. Reassessment

In the event of a trainee failing to meet the criteria for an 'Achieved' result, at least one reassessment opportunity will be offered. Trainees will be informed of this provision by the Assessor when reporting the assessment decision to the trainee. Trainee and assessor will work through any resubmissions.

2.7 Processing a “Meets Standard” Result

Meets Standard results are achieved when trainees have successfully completed all components of the assessment.

Trainees are to be informed when they have met the standard immediately following the assessment during the feedback stage. This ensures that the participatory nature of the assessment is maintained.

Trainees are provided with detailed feedback about all aspects of the assessment with emphasis on the positive aspects of the event.

2.8 Processing a "Standard Not Yet Met" Result

A **Standard Not Yet Met** result occurs when trainees have not successfully completed all components of the assessment.

Reasons for a *Standard Not Yet Met* result during assessment could include:

- Language, literacy, and numeracy issues emerged that assessors were not aware of prior to the assessment;
- Trainees extremely nervous regardless of assessor encouragement and support;
- Assessment tools were inappropriate – unclear instructions, ambiguous, not related to job being assessed;
- Trainees not prepared for assessment;
- Trainees not given sufficient time or warning to prepare for assessment; and/or
- Trainees may have had personal issues that impacted on assessment performance.

Assessors are to provide detailed feedback about the *Standard Not Yet Met* status and must ensure that trainees are:

- Treated with patience and respect during the detailed debrief;
- Encouraged to evaluate their own performance;
- Provided with constructive feedback on assessment performance;
- Provided with reassessment options;
- Directed for further training as required; and
- Assured their results will not be communicated to anyone other than their trainer or supervisor/employer.

2.9 Obtaining Feedback about the Assessment Process

Evaluation feedback about the assessment process is to be sought from trainees and assessors by the National Moderator on a regular basis to promote consistency of assessment practice and continuous improvement within Careerforce.

Feedback is collated by the National Moderator for discussion at National Moderation meetings and reporting to Quality Management Advisory Group.

2.10 Maintaining Assessment Records

Assessment records need to be created and maintained to ensure that:

- 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'
- Requirements of Privacy legislation are complied with.

A completed package of assessment records should consist of the following:

- Pre-assessment checklist completed;
- Copy of the Course descriptor and learning outcomes being assessed;
- Copy of the Assessment Schedule/s and Marking Guide/s, including any assessment commentary/notes recorded where relevant
- Assessment materials, including written or oral tests with trainee answers and marked by the assessor, and written record of verification of attestation
- Practical assessment descriptors which outline the nature of any practical assessment tasks, and completed check sheets used to record trainee performance
- Supplementary evidence material (photos, videos, files, etc.)
- Completed Assessment Results
- Any trainee feedback recorded, including Trainee Feedback Form where *Standard Not Yet Met* result

The materials listed above should be forwarded to the National Moderator for all samples requested for moderation. Email moderation@careerforce.org.nz

2.11 Maintaining assessment confidentiality

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

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

2.12 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 Careerforce and registered with NZQA, which outlines the criteria the Careerforce is using for accreditation of providers that seek to deliver and assess against unit standards for which Careerforce is the standard setting body (SSB). The CMR also includes information on how Careerforce will implement quality controlled, external moderation processes to ensure that local, regional and/or national consistency is achieved across 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 that other Careerforce registered workplace assessors would make.
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 student/trainee'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 given to give 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.
Non-Careerforce unit standards	Unit standards for which Careerforce is not the SSB. The SSB for non-Careerforce unit standards will be NZQA or another ITO.
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 students/trainees.
Standard setting body (SSB)	A collective term that covers ITOs 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 student's/trainee's performance to the required standard could be repeated with consistency.
Systematic	Planning and recording of process this 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), 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 that is 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) carried out in the workplace. Workplace assessment relies on evidence produced in actual work situations.