

Assessor Guidelines

**A Good Practice Guide
for Assessors**

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Te Pūkenga

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About EarnLearn Te Pūkenga

EarnLearn Te Pūkenga offers apprenticeships in various trades-based industries, as well as programmes to upskill in Government Regulations, Business Management, Project Management, Financial Services and Security.

Assessment:

- ▀ Involves the collection and recording of evidence, demonstrating a person's competence in each unit standard for which they are seeking credit

What is “assessment”?

Assessment methods

EarnLearn Te Pūkenga assess using a variety of assessment methods.

Standalone assessments	Individual unit standards with an assessment resource that is used to assess that unit standard.
Integrated Assessments	One assessment resource covering several unit standards.
Alignment assessment	An assessment model that maps evidence of workplace competency and training against a qualification. It is only offered if there is robust training within the workplace, where learners are assessed in the scope of their everyday jobs by using observation of tasks, verification and verbal assessment.
EarnLearn Te Pūkenga Recognition (Recognition of Current Competency)	A learner who is experienced, currently competent and working at the level of a programme can be considered for being awarded that qualification. They are assessed for the whole programme, not individual unit standards.
Competency Discussion	An assessor can have a discussion with a candidate to assess their competency and make an assessment decision. This discussion needs to be triangulated by other types of evidence (e.g. evidence portfolio and verification). This is pre-approved by EarnLearn Te Pūkenga on a case-by-case basis.
Verification	Verifiers may <ul style="list-style-type: none"> • Observe a learner performing a task(s) • Confirm the learner is operating at a level of competence • Verify the evidence submitted as part of an assessment is authentic and matches that learner • Confirm that the learner is meeting organisational requirements

Assessor Registration

Types of Assessors

- **Workplace Assessors** – can only assess learners from your elected workplace.
- **Contract Assessors** – can assess learners outside your place of employment. It is preferred that you have assessor experience.

Getting started

Resources

Once you are registered you will receive:

- An electronic Assessor Certificate
 - This will include your review date (how long your registration will last for before we review). This can be 2-3 years, depending on the industry.
- Access to assessment resources on eLearning Hub or through an EarnLearn Te Pūkenga staff member.
- An Assessor Scope (the unit standards you can assess and report). Please take special note of these as any unit reported out of scope will not be sent to NZQA for final reporting.
- An induction from a Quality Assurance Advisor.

Review

Your registration is reviewed prior to extending your registration. Whether you remain a registered assessor depends on:

- Previous moderation results.
- Completion of at least three assessments per 12 months.
- Having management endorsement.
- Participating in continuing professional development (CPD).
- Compliance with **Assessor Responsibilities** (see pg 7).

Assessor Forums/Webinars

We aim to hold these annually. You need to participate in at least one Assessor Forum during your registration period as part of your ongoing professional development. Forum details will be emailed and also advertised on the EarnLearn Te Pūkenga website.

Assessment Preparation

Learner Preparation

It is your responsibility as an assessor to ensure your learner is ready for an assessment. Where there is any doubt, it is best to delay the assessment.

Think about how you will prepare your learners for assessment.

- Consider the number of learners needing assessment.
- Are they being assessed as a group or individually?
- Plan out your assessment schedule.

Before the assessment

- Ensure the learner understands what is expected of them and that they are not disadvantaged in any way. Check if they have any LLANT (Language, Literacy and Numeracy Training) or other difficulties that may affect them during the assessment.
- It is your responsibility to ensure you are using the current version of assessment resources. Avoid downloading a copy and keeping it on file and instead access it directly from EarnLearn each time. This process will be covered in your induction.
- Ensure all pre-assessment processes are conducted as applicable.

During the assessment

- **Plagiarism** – the learner is expected to answer all questions in their own words where applicable to show they fully understand what’s being assessed. Copying directly from any learning resource is considered plagiarism.
- **Assessor Guide** – There is an Assessor Guide for each unit standard. These must be used to assess the learner against.
- **Electronic Signatures** – a simple typed name in the box is not enough on its own as it is too easy to copy. It would be preferable to have a proper electronic signature that has a time/date on it. Alternatively, an email confirming authenticity can be attached to verify.
- **Competency** – if the learner is not competent you do not have to assess them – ask them to submit a new assessment after further training.
- **Verbal confirmation** – If you need to clarify a learner’s answer, this can be done verbally. Just ensure the discussion is written down and that the learner signs the notation as their work.
- **Re-assessment** – Communicate clearly that re-assessments are not an endless, ongoing opportunity.
- **Health & Safety** – Pay attention to the Health and Safety of the environment the assessment is conducted in and those involved.
- **Working together** – sometimes learners will work together to complete an assessment, however it is important to note that answers must be in their own words. If in a group assessment environment, ensure participants are clearly identified.
- **Evidence** – learners may use the same piece of evidence for:
 - more than one unit standard
 - more than one part of the assessment
 However, this needs to be clearly labelled in the assessment so you know where to look to find the evidence quickly and easily. You can instruct a learner to re-label evidence if their labels are insufficient.

After the assessment

After the assessment you need to complete the Assessment Results sections which is found in each assessment.

- **Not yet competent** – If the assessment requirements have not been met, you enter “Not Achieved”. If the learner is being re-assessed, you may agree on a re-assessment date with the learner and make note of this on the assessment.
- **Achieved** – If the assessment requirements have been met, then you enter “Achieved” in the assessment.

Feedback

You should give the learner their assessment result and provide feedback on their assessment. All feedback should be positive in tone and constructive. Ensure that the final assessment result is clearly indicated on the assessment.

Feedback you should give

- What the learner did well
- What they can improve on
- What the next steps are



Assessment Materials

IMPORTANT: For moderation and assessments appeals purposes, you must keep all assessment materials in a secure place (e.g. electronically or in a locked filing cabinet) for at least 12 months.

Assessment appeals

All learners have the right to appeal your decision. The Assessment Appeal Form can be found on the EarnLearn Te Pūkenga EarnLearn website ([Assessment Appeal Form](#)).

Appeals process

1. A learner may express they are unhappy with your decision.
2. Firstly, talk it through with them.
3. If they are still unhappy, they must complete an assessment appeal form and lodge it with EarnLearn Te Pūkenga to resolve the situation.
4. The appeal is processed by the Quality Assurance Advisor.
5. If it cannot be resolved by the Quality Assurance Advisor, it is forwarded to the Head of Quality and Programmes for a final EarnLearn Te Pūkenga decision.

Credit Reporting

Once the assessments have been marked, the credits need to be reported as per your agreement with EarnLearn Te Pūkenga. You will be given a Credit Reporting Spreadsheet template at your induction if applicable. Please contact your Quality Assurance Advisor if you are unsure of the process.

- Credit Reporting Spreadsheets must be sent to credits@earnlearn-tepukenga.ac.nz within five days of the learner completing the assessment.
- It will then take up to another ten working days for credits to show on the learners' NZQA Record of Learning. Encourage your learners to check on NZQA but please advise them of processing times.

Moderation

Moderation is a quality management system designed to achieve fair, valid and consistent assessment decisions that meet the national standard.

- Moderation is an important part of best practice assessment.
- The moderation process is undertaken by the Quality Assurance Team within EarnLearn Te Pūkenga.
- All assessors must participate in moderation when requested.
- Can be an internal EarnLearn request, or external (from WDCs or NZQA).

Moderators

A moderator is a subject matter specialist who is responsible for ensuring assessments are fair and valid. EarnLearn Te Pūkenga contracts moderators who will review assessment samples to ensure fair, valid and consistent assessment decisions that meet the national standard.

Internal Moderation Process

1. A written (or emailed) request for moderation samples will be sent to you by EarnLearn. It will include:
 - The unit standard(s) required
 - That the sample requested must be no more than 12 months old
 - How many samples are required
 - How to submit the samples
 - A due date for the samples to be returned to EarnLearn (usually two weeks)
2. Assessment samples submitted will be sent to the Moderator. They are usually required to complete the process within three weeks.
3. The moderator will send the results to the Quality Assurance Advisor.
4. The Quality Assurance Advisor will then provide you a report with the moderation results. This report will provide meaningful feedback for the outcome, including the reasons for the moderator's decision.
5. If there are any concerns raised by the Moderator, the Quality Assurance Advisor will contact you to discuss.

Moderation Appeal Process

In the instance that you as an assessor disagree with the outcome of moderation, there is a process to appeal the moderator's decision. Contact the Quality Assurance Team if you wish to discuss this process.

Non-Compliance

EarnLearn Te Pūkenga is responsible for ensuring that registered assessors comply with NZQA and WDC (Consent & Moderation – CMR) requirements.

Non-compliance activities:

- Not responding to moderation requests. If this occurs you will be tracked on the EarnLearn Te Pūkenga Non-Compliance Tracker.
- Assessment against resources that have not been pre-approved (self-developed assessments that are not moderated by EarnLearn Te Pūkenga).
- Continuously assessing outside of your assessment Scope.

The Improvement Plan Process

If you do not meet moderation requirements you will go onto an Improvement Plan. While you are on an Improvement Plan you can still report results.

1. The moderation process identifies that you need to go on an Improvement Plan.
2. You will be informed of concerns and areas for improvement. The Quality Assurance team will send you an Improvement Plan template which you will complete and return.
3. A second round of moderation takes place.
4. If at this stage you pass moderation, you will be removed from the Improvement Plan. However, if you fail moderation for a second time, you will remain on the Improvement Plan
5. A third round of moderation takes place.

6. If at this stage you pass moderation, you will be removed from the Improvement Plan.
7. If you fail the third round of moderation, you will be contacted, and this may result in de-registration.

Confidentiality

As part of your assessing activities with EarnLearn Te Pūkenga, you will view assessment documentation which includes EarnLearn and workplace developed materials, candidate evidence, as well as confidential business information. All materials are EarnLearn Te Pūkenga or the workplace's intellectual property and is confidential. All information obtained is to be used for moderation and managing consistency purposes only. It is important that you respect all intellectual property rights, confidentiality, and non-public information received during your time assessing with EarnLearn Te Pūkenga.



Where to go for more information

Please contact us should you have any questions about assessment. You can contact us via our toll-free number – 0800 327 648 (0800 EARN IT) or you can email our Quality Assurance team qa@earnlearn-tepukenga.ac.nz

Guidelines for Promoting Training and Assessment Services

Legislation

Under section 391 of the Education and Training Act 2020, trainees may only be assessed by Tertiary Education Organisations registered with NZQA, who have been granted consent to assess against those standards by NZQA.

391 Offences relating to false representations

- (1) A person commits an offence if the person falsely represents, expressly or by implication, that—
 - (a) a qualification, credential, or micro-credential is listed on the Qualifications and Credentials Framework; or
 - (b) a programme or micro-credential—
 - (i) is an approved programme or training scheme; or
 - (ii) leads to a qualification or micro-credential listed on the Qualifications and Credentials Framework; or
 - (iii) a curriculum is a national curriculum recognised under [section 438B](#); or
 - (c) a body—
 - (i) is a registered establishment; or
 - (ii) has accreditation to provide an approved programme or micro-credential; or
 - (iii) is providing or purports to provide an approved programme or micro-credential; or
 - (iv) has consent to assess against standards; or
 - (d) a standard is in the Directory of Assessment and Skill Standards; or
 - (e) the person is an agent of an institution, a government training establishment, a registered establishment, or a relevant school when the person is not.
- (2) A person who commits an offence against subsection (1) is liable on conviction to a fine not exceeding \$10,000.

NZQA proactively monitors the way training provision is advertised to ensure compliance with the Education and Training Act 2020. The penalty for such a breach can be up to \$10,000 fine for each offence.

Advertising Guidelines

If you are an approved training organisation or a registered assessor with EarnLearn-Te Pūkenga, and you want to advertise the unit standards that you assess, then your promotional material (either physical or online), must meet the requirements of the Education and Training Act 2020.

It must clearly state:

- That you are an approved organisation or have assessors registered with EarnLearn-Te Pūkenga and that learners are assessed by EarnLearn Te Pūkenga registered assessors (you do not need to name the assessors)
- That learners are enrolled with EarnLearn-Te Pūkenga
- That results are reported to NZQA by EarnLearn-Te Pūkenga and recorded on learners' New Zealand Record of Achievement (NZROA)

When promoting courses, you must not:

- Make any reference to National Certificates, NZ Certificates or Micro-credentials unless all the above guidelines are clearly stated
- Reference “Nationally recognised qualification” or “Training Programme” unless all the above guidelines are clearly stated
- State that you are a “training provider” when you are not registered with NZQA as such
- State you or your organisation is NZQA approved
- State you are a “NZQA qualified Operator” or “NZQA Assessor”
- Imply that a group of unit standards can meet qualification requirements

General

- As an EarnLearn-Te Pūkenga approved organisation or assessor you must only assess learners employed in the industries related to your assessor scope. Learners who are not working in the industry and would like to achieve industry specific unit standards should be referred to a registered training provider.
- As an EarnLearn-Te Pūkenga approved organisation or assessor you cannot issue certificates or badges (e.g. ID cards) without prior written consent from EarnLearn-Te Pūkenga. This is to ensure that all wording complies with Education and Training Act 2020.

Support

Organisations that want to register as a Private Training Establishment (PTE) with NZQA can find more information on the NZQA website at [PTE Registration - NZQA](#).

Assessor Responsibilities

Your Responsibilities

- Provide fair valid assessment of trainees that is consistent with the national standard. This is to be applied by following Best Practice in Assessment.
- Conduct Health and Safety site induction to trainees while undertaking Training or Assessment on a third-party site, that is not the assessor's or trainees' workplace, if applicable.
- Ensure Health and Safety is maintained throughout the assessment process. If during the assessment you believe that anyone's safety, plant or property is at risk, you MUST stop the assessment immediately.
- Provide results of assessment to Te Pūkenga within agreed timeframes (or per industry

requirement).

- Complete at least 3 assessments per year of registration.
- Encourage and support the on-going learning of trainees.
- Ensure that the current versions of assessment resources are used.
- Ensure you assess to your allocated assessor scope.
- Any personal information obtained from Te Pūkenga may only be collected, held, used and distributed in accordance with the Privacy Act 2020. This includes protecting and safely storing any assessment resources.
- Do not disclose any model answers and/or assessor guides of assessment to those that are not permitted to access them.
- Take part in assessor forums, moderation activities, workshops or webinars as requested by Te Pūkenga during your registration as an assessor.
- Keep completed assessment documents for at least 12 months for moderation purposes.
- Tell Te Pūkenga when employment or contact details change, or you are no longer available to assess.
- Not to take part in any assessment until your assessor registration is approved.
- Declare any potential conflict of interest prior to assessment taking place
- You agree to exercise reasonable skill and care in providing the Services, and always act in an ethical and professional manner, and in accordance with applicable legislation, regulations, and generally accepted practice within your profession or area of expertise.

EarnLearn Te Pūkenga's Responsibilities

- Provide contact details for assigned trainees and access to their training and assessment records.
- Provide access to EarnLearn pre-moderated assessments, resources, and assessor guides.
- Provide credit reporting templates (if applicable).
- Provide Assessment and assessor support as required.
- Collate assessment results and report trainee credits to NZQA.
- Provide details of assessment appeals processes in EarnLearn resources and/or assessment appeals policy (as required).
- Conduct moderation to ensure assessments are fair and valid and that assessors are making consistent judgements about trainee performance.
- Conduct moderation of the first 3 assessments per key personnel in the first year and every 2 years thereafter.

Glossary

Assessor Scope – The unit standards EarnLearn Te Pūkenga have deemed you can assess. This will be based on you meeting the CMR (Consent & Moderation Requirements) for those unit standards. This will be determined and provided on your application outcome.

EarnLearn Te Pūkenga – EarnLearn Te Pūkenga offers apprenticeships in various trades-based industries, as well as courses to upskill in Government Regulations, Business Management, Project Management, Financial Services and Security. It is a part of Te Pūkenga – NZ Institute of Skills and Technology.

TEO – Tertiary Education Organisation of which EarnLearn Te Pūkenga EarnLearn is one.

Plagiarism – the act of submitting another's work as your own, whether intentional or unintentional.

Quality Assurance Advisor – A member of the Quality Assurance team at EarnLearn Te Pūkenga, responsible for managing compliance within Te Pūkenga EarnLearn Te Pūkenga

Quality Assurance Team – the team that manages compliance within EarnLearn Te Pūkenga.

CMR – Consent and Moderation Requirements. These are the requirements NZQA deems necessary to assess a unit standard. For example, to assess unit 12345 you may need to have five years' industry experience in making coffees. A Quality Assurance Advisor will review your experience and education against these requirements before assigning your Assessor Scope.

NZQA – the New Zealand Qualifications Authority. This is the body that registers EarnLearn Te Pūkenga to offer the unit standards and qualifications they award.

WDCs – Workforce Development Councils ensure the vocational education system meets industry needs.