Connexis Quality Assurances

Consent, Moderation and Assessment Policies and Procedures (CMAPP)

giving effect to the Connexis Governance Policy

(Consent Moderation Requirements (CMR)

Document Type	Policy Document: Version 5.0
Last Revision Date:	21 September 2021
This document is not controlled if printed.	

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1. Document Control Policy

1.1. Purpose

The purpose of the Document Control Policy (the 'Policy') is to provide a policy that establishes the process for change relating to the Consent Moderation and Assessment Policy and Procedures document (CMAPP).

1.2. Scope

This policy covers:

- Reviewing process of this document
- Change process to this document
- Development of new policies for this document

1.3. Definitions

Changes are defined by the extent to which the whole document is altered.

New policy	Policy developed to document a procedure that has not formerly been in practice or for which there has not formerly been a policy document.
Revision	Alterations that change the character of specific policy.
Review	Process conducted annually to ensure relevance of policy and procedures.

1.4. New Policy

A new policy will be developed on request of the Quality Assurance (QA) Manager and/or the Group Manager (GM) Learning Solutions when procedural changes are required. Policy will be accepted and ratified by the QA Manager and GM Learning Solutions.

1.5. Review

Review will be conducted by the QA Manager to ensure the policies, procedures and forms within the CMAPP are reviewed and relevant to practice.

1.6. Revision

Revision of the CMAPP that changes the character of the document or any part thereof will be undertaken only on direction of the QA Manager or GM Learning Solutions.

All document changes will be managed through the Connexis document management system.

Revision that involves only minor change will be undertaken in consultation with the QA Manager.

1.7. Change Process

Changing detail within a procedure or form will be managed as follows:

- A request for change may result from consultation with industry, trainees, assessors, moderators or Connexis staff.

- Requests may be emailed to the Quality Inbox and the QA staff member responsible for the management of the document will review the request for insertion into the document and approved by QA Manager.

- Drafted changes will be circulated to interested parties for feedback and comment.

- The Document Control Record will be updated with all amendments and additions.

- On completion of this process the changes will be saved as the 'Published Document' in the Connexis document management system, this is the master copy and may not be used as a working file.

- Previous revisions of the CMAPP will be located in the document management system in accordance with Connexis document management procedures.

- Assessors, moderators and Connexis staff will be notified of changes and new document publication.

- A 'change alert' will be communicated when the change process is completed, and the CMAPP is updated as above.

1.8. Publication

A current copy of the CMAPP will be available on the Connexis website. The Quality Assurance Manager is responsible for the management of the document to ensure the document is current.

All printed copies of this document will be deemed out of date. Only the web version can be guaranteed current.

1.9. Associated Forms

1.9.1. No forms associated with this section

2. Assessor Registration Policy

2.1. Purpose

The purpose of the Assessor Registration Policy is to provide a clear policy for all Connexis Assessors.

2.2. Scope

This policy details the requirements for the registration of a Connexis assessor. An Assessor can be:

- A workplace assessor;
- A provider assessor.

2.3. Definitions

Casual Credits	Credits that are assessed, achieved and reported outside of a training agreement (TAG). The assessor will be directly invoiced for the cost of reporting any casual credits at the Connexis published rate. Where an assessor is an employee of the company in which the casual assessments are completed, they may make arrangements for the company to be invoiced directly. This fee does not apply to WRT and TTM Assessments.
CMAPP	Connexis Consent, Moderation and Accreditation Policies and Procedures
CMR	Consent and Moderation Requirements A CMR is associated to each unit standard on the NZQA Framework and identifies requirements for assessment and moderations by a Standard Setting Body (SSB).
Connexis Contracted Workplace Assessor	A registered workplace assessor who has been contracted by Connexis to provide assessment of units for part or a whole programme leading towards a qualification for specified trainees or employers in a TAG, for an agreed fee.
CSAM	Connexis Customer Service Account Manager
EngNZ	Engineering NZ
ESI	Electricity Supply Industries
EWRB	Electrical Workers Registration Board
Industry Coverage	Any assessment completed by a Connexis registered assessor must be carried out within the Infrastructure Industry, as gazetted by government (Civil Construction, Electricity Supply and Transmission, water and Telecommunications).
NZDEP	New Zealand Diploma in Engineering Practices

NZQA	New Zealand Qualifications Authority
Off Job Assessment	Assessment conducted 'off job' through a training provider.
On Job Assessment	Assessments conducted at trainee's workplace 'on job'. May include practical and theory assessment.
Provider Assessor	Assessor who is employed or contracted by an NZQA recognised training organisation and reports assessment results through that training organisation and complies with the training organisations Quality Management System (QMS). Does not have a Connexis Assessment Scope.
QMS	Quality Management System
SSB	Standard Setting Body
STMS	Site Traffic Management Supervisor
TAG	A Training Agreement signed by a trainee and company before they commence their study programme with Connexis.
Temporary Traffic Management (TTM) Assessors	Waka Kotahi NZ Transport Agency registered assessors who train and assess the Temporary Traffic Management (TTM) unit standards leading towards completion of the TTM Programme and leading towards completion of the qualification.
TEO	Tertiary Education Organisation – e.g., Private Training Enterprise, Industry Training Provider
Waka Kotahi	Waka Kotahi NZ Transport Agency
Workplace Assessor	A registered assessor with Connexis who has an approved scope of assessment and meets the registration criteria. Reports assessment results through Connexis and comply with the polices in this document.
WRT	Wheels Rollers Tracks
WRT Assessors	WRT Assessor may be either workplace or provider assessors and must be approved by Waka Kotahi NZ Transport Agency prior to completing Endorsements.

2.4. Connexis Assessor

Workplace Assessor

Connexis Workplace Assessors conduct assessment and report credit for unit standards within Connexis' consent to assess, and the assessors designated Assessment scope, and for trainees in Connexis TAGs. Assessors must comply with this Consent, Moderation and Assessment Policies and Procedures (CMAPP).

Provider Assessor

Connexis Provider Assessors conduct training and/or assessment, and report credits for unit standards within a provider's consent to assess. They must meet the requirements of the providers Quality Management System (QMS). Connexis recommends that Provider

assessors working within TEO's apply to be a Connexis Provider Assessor. The advantage of being registered with Connexis is the receiving of communications, including quarterly newsletter and invitations to Connexis Assessor Forums.

Provider assessors are not able to register credits through Connexis.

2.5.   Assessor Training Courses

Connexis may arrange opportunities for prospective Connexis assessors to attend Assessor Training workshops to outline the Connexis assessment and moderation process which will include NZQA 4098 *Use standards to assess candidate performance* and 11281 *Prepare candidate(s) for assessment against standards*, or other similar unit standards.

2.6.   Assessor Registration Application

To register as a Connexis workplace assessor the Assessor Application form must be fully completed and returned. The application identifies what supporting evidence must be included as part of the application: copies of relevant qualifications, certificates, registrations; current Work History detailing work experience, drivers licence for WRT applications only, evidence of achieving unit standard 4098 or, or other similar unit standards, and an industry endorsement.

The applicant is required to identify requested scope by qualifications and be supported by the applicant's employer or industry representative. Applications will be reviewed by Connexis QA Team, and where appropriate a technical advisor.

The absolute/final rights of registering and/or deregistering of assessors remains the sole responsibility of Connexis.

2.6.1.   Connexis Workplace Assessor Selection Criteria

Applications must show evidence of demonstrated skill and knowledge within the applicant's intended scope.

Connexis workplace/independent assessor registration approval requirements are:

- Nomination by employer or industry representative

- Operational experience within the industry specific to scope application

- Evidence of holding the appropriate qualification and unit standard to assess candidate performance or be able to demonstrate equivalent knowledge.

- Prior to registration a minimum of two (2) assessment decisions to be supported through Connexis post-assessment moderation process and from within assessor Scope of Registration.

- EWRB registration for ESI applications

NZ Diploma in Engineering Practices (NZDEP) Assessor Applications

Applicants applying to become an NZDEP assessor must complete the application form and :

- Be a current member of Engineering NZ (EngNZ)
- Be a current EngNZ Practice Area Assessor

prior to applying to Connexis to become an NZDEP assessor within their field of expertise. EngNZ will be approached to confirm the status of each applicant.

Temporary Traffic Management (TTM) Assessor Applications

Applicants applying to assess the TTM Programme must complete the application form and provide proof of:

- Current Site Traffic Management Supervisor (STMS) Warrant
- WAKA KOTAHI TTM Approved Assessor

WAKA KOTAHI will be contacted to confirm the status of each applicant.

Wheels Rollers Tracks (WRT) Assessor

Assessors undertaking Wheels, Rollers or Tracks assessments are registered as a Connexis WRT Assessor and must then apply for registration to Waka Kotahi NZ Transport Agency) as a course provider.

Registering as a WRT assessor with Connexis requires a valid Driver's Licence, and the assessor must inform Connexis if it expires during the assessor registration period or notify Connexis on disqualification of driving licence or endorsements. Connexis assessor registration will be placed on hold until a copy of a valid Driver's Licence is provided.

If Waka Kotahi NZ Transport Agency provider registration is not obtained or is withdrawn Connexis WRT assessor registration will also be withdrawn. If registration is placed on hold or cancelled, Connexis will advise Waka Kotahi NZ Transport Agency.

2.6.2. Assessor Assessment Scope

The scope identifies the unit standards associated with requested programmes leading to qualifications the assessor is registered to assess; and reflects both their achieved qualifications, and experience of the assessor.

Connexis will focus on Programmes and their unit standards, and not the assigning of individual unit standards when awarding Assessment Scopes.

Scope requests

Assessors will attain Assessment scopes if they:

- Have achieved the qualification relating to the unit standard, hold EWRB or industry trade registration

- hold the qualification or unit standard

- can provide evidence of skill and/or knowledge to at least the level of the qualification and/or unit standard

- Unit standards are to be assessed within Connexis' gazetted industry fields.

Access to an assessors Assessment Scope is by emailing a request to the QA team.

2.6.3. Application Completion

When an applicant has completed the application and post-assessment moderation process they will be notified if they are:

- Successful and notified of their approved Scope of Registration

- Unsuccessful and notified reasons why their application was declined

2.6.4. Unique Identifier

The Connexis database will generate a unique registration number for each assessor. Assessors must note their Registration number on all completed assessments.

2.7. Assessors Assessment Scope

Assessors can apply to extend their scope of assessment through the standard application form located on the Connexis Website and attach all supportive evidence of skill and knowledge to the application.

Applications will be reviewed by Connexis staff, and where appropriate a technical advisor.

Assessors must review their Assessment Scope to identify what programme or unit standards they have scope to assess, prior to assessment occurring. Registered assessors can only report credits within their registered scope.

Assessors must not assess outside of their scope, and then apply for an extension of scope, as the scope extension application may not be approved, and the trainee may then be negatively affected. Any assessments completed out of scope may incur financial implications for the assessor.

2.8. Assessor Professional Development

2.8.1. General Assessor Forums

Connexis will arrange professional development forums or training on an annual basis for all industry assessors. Assessors must attend one professional development forum or training event biennially.

Assessors are responsible for any charges incurred in attending assessor forums or training event.

2.8.2. Peer Review and Moderation Forums

Peer Review and Moderation forums incorporate Connexis professional development forums content and includes a peer review and moderation of assessment(s) completed by the assessor during the previous year.

Assessors attending a peer review and moderation forum must attend one on an annual basis and are not required to attend a general assessor's forum as well.

Assessors who are associated with more than one qualification where moderation is completed through a peer review and moderation must attend at least one of these meetings each year, and for all additional qualification peer reviews and moderation forums where they are will not be attending, must supply assessment samples for peer review and moderation to the quality assurance team for moderation during the forum.

2.9. Registration Period

The registration period for a Connexis workplace or provider registration is 3 years.

To maintain registration assessors must:

- Attend a Connexis Assessor Professional Development workshop at least biennially, or annually for peer review and moderation programmes

- Be actively assessing and reporting credits annually

- 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 process of the assessor's registration and may, as a minimum, include a mentor being assigned to the assessor

- Be assessing within Connexis' industry fields as Gazetted coverage

If above requirements are not met, the assessor will be notified and may be de-registered.

2.9.1. Re-Registration

Connexis will notify registered assessors to re-register two (2) months prior to the expiry date. To be re-registered the assessor must meet the requirements in point 2.9. Assessors that do not re-register within 2 months of their registration expiring will be de-registered. De-registered assessors are required to reapply as a new applicant and meet the current registration requirements.

Assessors may terminate registration by notifying Connexis in writing. Assessors who have applied to terminate their registration may reapply.

2.10. Assessor Details

Assessor are required to notify Connexis of change of details. Assessors can update their details by completing and returning an Assessors Application form with updated contact details.

2.11. Reporting Assessment Results

All assessment results are to be reported through the Connexis Assessment Results Reporting Workbook within 10 working days of assessment completion. Any exceptions will be at discretion of the QA team.

2.12. Associated Forms

2.12.1. Connexis Assessor Registration Application

2.12.2. Assessor Training Course Enrolment Form

2.12.3. Connexis Assessment Results Report Workbook

3. Recognition of Current Competency (RCC) Assessor Endorsement Policy

3.1. Purpose

The purpose of the Recognition of Current Competency (RCC) Assessor Endorsement Policy is to provide a clear process and pathway for an assessor to become an RCC Endorsed assessor formally contracted to Connexis.

RCC assessment awards unit standards based on an applicant providing evidence of current competency. Evidence includes but is not limited to formal training, attestations, current involvement in industry, professional discussion, a current practising licence from within the industry where appropriate and includes management and referee support contact details.

3.2. Scope

Connexis RCC Endorsed assessors may, within assessor scope and the parameters of this policy, apply RCC assessment to evidence against Connexis programmes that have RCC approved resources based on a qualification registered on the New Zealand Qualifications Framework (NZQF).

Individual unit standards cannot be completed using an RCC process.

3.3. Definition

CSAM	Customer Service Area/Account Manager
QA Team	Connexis Quality Assurance Team
NZQF	New Zealand Qualifications Framework
RCC	Recognition of Current Competency
RoA	Record of Achievement
RPL	Recognition of prior learning
Contract	A formal Contract for Services between Connexis and the RCC Endorsed assessor
DAS	Directory of Assessment Standards

3.4. RCC Endorsed Assessors

Connexis has developed and approved integrated assessment resources for selected programmes to be completed through an RCC assessment process. CSAM's will arrange for the RCC assessment resources to be provided to an RCC Endorsed assessor and the trainee.

Registration as an RCC Endorsed assessor requires assessor to:

- be experienced as an assessor for a period of no less than two years
- hold the relevant qualification(s) or provide evidence of equivalent knowledge and skills
- skills, and experience within the elected field and level of expertise
- hold registration (specific to industry if required)

- have a good moderation history
- have attended, and satisfactorily completed, RCC training conducted by a Connexis approved trainer, including the ability to conduct quality professional discussions and
- have a formal Contract for Services with Connexis for RCC assessment.

On successful completion of the RCC training the assessor will be invited to sign a formal contract with Connexis to be an RCC endorsed assessor and their assessor's scope will be extended, as required, to allow all assessor related unit standard results to be reported towards the programme being completed through the RCC process. This extension will not include any exclusions e.g., unit standards designated off-job or Capstone.

RCC assessment can only be conducted using Connexis approved pre-assessment moderated resources. The assessor must submit their completed initial RCC assessments for post-assessment moderation, and thereafter two RCC assessments per year.

An RCC assessor will receive an RCC Endorsement certificate with their current registration expiry date, if the initial RCC assessments are supported through the moderation process.

RCC endorsement is contingent on post-assessment moderation being supported by the moderator. Unsupported moderation decisions may require the assessor to submit further completed RCC assessments for post-assessment moderation and/or undertake further training, directed by Connexis. If still unsupported, RCC Endorsement registration will be removed.

RCC Endorsed Assessor registration will run concurrently with assessor registration with continued endorsement at the discretion of Connexis.

RCC endorsed assessors may be required to complete RCC refresher courses as scheduled by Connexis.

Provider assessment resources for programmes to be awarded using RCC assessment must be developed collaboratively with, and pre-moderated by, Connexis and will remain the intellectual property of the provider.

3.5. RCC Assessment

RCC is assessment of a candidate with existing industry experience against current skills and knowledge set out in the requirements of a programme of learning outcomes and focuses on the graduate profile outlined in the qualification and programme.

RCC endorsed assessors can only use the approved pre-assessment moderated Connexis resources. Where RCC assessment is completed, reimbursement for the RCC assessment will be at the agreed rate by invoicing Connexis with full details of the assessment.

Each RCC package allows for holistic assessment of evidence to meet the programme learning outcomes and focuses on these through a professional discussion.

RCC assessment process cannot be utilised for individual unit standards.

3.6. Associated Forms

- 3.6.01 - RCC Endorsement Application
- 3.6.02 - RCC Moderation Cover Sheet

4. Capstone Assessor Endorsement Policy

4.1. Purpose

The purpose of the Capstone Assessor Endorsement Policy is to provide a clear process and pathway for nominated assessors to become a Capstone Endorsed assessor formally contracted to Connexis.

These assessors will be the consortium of assessors, which may be a combination of independent and provider assessors, available to be utilised by industry solely for the assessment of Capstone unit standards.

4.2. Scope and Management

Capstone unit standards have been agreed between Connexis and the Electrical Workers Registration Board (EWRB) as the final assessment for several electrical qualifications. To maintain the robustness of the agreed unit standards there will be a pool of Capstone Endorsed Assessors who have been nominated to apply for this endorsement.

Approved Capstone Endorsed assessors may, within the parameters of this policy, complete Capstone unit standard assessments approved on their Assessment Scope for the agreed period.

Connexis will, with the approval of the Capstone Reference Group, register and maintain a pool of Approved Capstone Endorsed assessors. Assessors will be assigned assessment scopes according to their area of expertise.

Connexis will provide an activity report for each Capstone Reference Group meeting outlining full details of the assessments completed and the results of any internal moderation activity completed.

Assessments and moderation activities will also be required for moderation purposes by Waihanga Ara Rau WDC.

4.3. Definition

EWRB	Electrical Workers Registration Board
WDC	Workforce Development Council

4.4. Applying for Capstone Endorsement

Assessors can apply to the Capstone Reference Group to become a Capstone Endorsed Assessor. The applicant must:

- Complete the Capstone Assessor Application form
- Have an industry nominator

To apply to become a Capstone Endorsed assessor the applicant must:

- be experienced as an assessor for a period of no less than 10 years relevant operational industry experience, including:
  - 3 years as a registered assessor to apply to become a capstone assessor and be approved by the Capstone Reference Group

- o Registered within their field only
        - o They must be actively assessing
        - o Attended Continued Professional Development
        - o Supported Moderation History
    - hold EWRB registration specific to industry
    - Cannot assess what or who you have trained undertaking the Capstone US
    - have a formal Contract for Services with Connexis for Capstone assessment.

4.5. Nomination Process for Capstone Assessor

There will be a formal application process, including nomination from industry, for capstone assessor. The applicants will be reviewed and approved by the Capstone Reference Group. The decision of the Capstone Reference Group will be final.

4.6. Capstone Endorsed Assessors Contract and Renewal

All Capstone Endorsed Assessors will have a formal Contract for Services with Connexis for RCC assessment. The contract will be for a three-year period or expire at the same time as the assessors Registration Expiry.

Connexis is to provide a list of Capstone Endorsed assessors to the Waihanga Ara Rau Capstone Reference Group for review before their contracts expire. Waihanga Ara Rau will confirm those that are to be renewed as Capstone Endorsed assessors.

4.7. Maintaining Capstone Endorsed Assessor Registration

Capstone Endorsed Assessors must be actively assessing capstone unit standards and participate in a minimum of two postal moderations per year and a peer review moderation.

The assessor must achieve Supported in post-assessment moderation to maintain their Capstone Endorsed status. Should an assessor not be supported in moderation, the Capstone Reference Group will review continued Capstone Assessor status.

4.8. Resignation or Removal of Capstone Unit Standards

Capstone Endorsed Assessors will have Capstone unit standard approved on their Assessment Scope for the agreed period of tenure. On completion of this tenure, if not renewed, or if the assessor resigns from being a Capstone Endorsed Assessor, the capstone unit standards will be immediately removed from their scopes.

4.9. Associated Documents

4.9.1. Capstone Endorsed Assessor Application Form

5. Assessment Policy

5.1. Purpose

The purpose of the Assessment Policy is to clarify the procedure for providing and conducting assessment of trainee knowledge, skills and competencies against established unit standards and qualifications for Connexis Registered Workplace Assessors.

5.2. Scope

This policy covers:

- Development of Assessments and requirement for pre-assessment moderation
- Assessment Resources both for Trainees and Assessors
- Assessing procedure and methods of assessing

5.3. Definitions

Assessment	A process that measures learning and development by assessing a trainee's performance against learning outcomes expressed in unit standard outcomes and the graduate profile using Connexis developed resources.
Assessment method	A particular technique used to gather evidence to demonstrate the trainee's knowledge and skills, i.e. observation of practical skills, theory questions, collection of naturally occurring evidence, evaluation of a product.
Competence	The ability to apply particular knowledge, skills, attitudes and values to the standard of performance required in specified contexts.
Fair assessment	Assessment that avoids contamination from influences unrelated to the matters being assessed; emphasis is placed on avoiding effects arising from differences related to, race, gender, and assessment mode.
Graduate profile	A target statement of the knowledge and skills the trainee will have to demonstrate
Outcomes	The outcomes achieved from the learning process of a qualification and the knowledge skills and attributes of a graduate. Each outcome statement must include information on graduate profiles, education and employment pathways.
Peer assessment	Assessment of individual performance undertaken by peers.
Electronic evidence	Evidence that is produced in an electronic format i.e. photographs, videos, audio tapes, or any other audio or visual record of trainee performance.
Evidence requirements	Specifies the quality of the evidence required to meet the outcomes of the unit standard. Associated with these may be range statements where specific criterion needs to be considered.

Portfolio of Evidence	A trainee's personal collection of evidence submitted for assessment of achievement.
Re-assessment	An opportunity to re-do part or all of an assessment. A new result may be the outcome.
Assessment standards	These are nationally registered and are listed on the Directory of Assessment Standards (DAS). Each assessment standard shows what a trainee must know and can do in order to achieve the unit standard.
Valid assessment	Assessment that achieves fitness for purpose by using evidence directly related to the type and level of performance required in a specified unit standard, valid assessment is fair and consistent.
WRT	Wheels Rollers Tracks

5.4. Assessments

Assessments will be developed by developed, and approved, by Connexis in accordance with the requirements of the graduate profile outcomes expressed in unit standards.

Robust pre-assessment moderation will ensure that the assessment is fair, and at a level appropriate to the unit standard and outcomes.

All assessment resources and revisions of assessment resources will have the process of pre-assessment moderation applied. No assessment or revision will be used in assessment of a trainee that has not been pre-assessment moderated by a Connexis moderator.

WRT assessors must use latest Edition of WRT resources when assessing candidates, as specified by Connexis and WAKA KOTAHI.

All Registered assessors will use Connexis approved assessment materials. In special circumstances assessors may develop their own resources which musts be pre-assessment moderated, and for their personal use only.

5.5. Assessment Resources

These contain the tasks required to produce the evidence to establish trainee achievement. The Trainee Resources will contain a combination of:

- Theory questions – this will contain theory questions covering the unit standard requirements for demonstration of knowledge

- Practical observation sheets – these contain the practical skill requirements of the unit standard

- Letter of Attestation – This letter underwrites the trainee's readiness to undertake assessment by their employer. The document is signed by an employer representative that holds any required Legislative Qualification and/or company authority for undertaking supervision of the trainee

- Supporting evidence – the trainee is required to produce documentation as evidence of having been involved in the required tasks within the workplace. Such evidence must be attributable to the trainee

5.6. Assessor Guides

These guides detail the assessment event and assessment decision parameters. Assessor Guides contain model answers, evidence and judgement statements.

Model answers give an example of expected answers. Unless otherwise stated model answers are indicative and should be used as a guide, 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.

Unless otherwise stated model answers are indicative and should be used as a guide, the assessor should use professional.

5.7. Assessing

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

Connexis assessors may assess a trainee for a specific unit standard using the approved Connexis Assessment Resource. They may not conduct assessment and training, and it is expected that Connexis assessors should be participating in the assessment process of trainees only. This is considered best practice.

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 agreed timeframe, or within the timeframe specified in the pre-assessment plan.

Connexis has an expectation that assessments will be assessed, returned and reported within a maximum of 10 working days.

Assessing may include feedback to the trainee; this 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.

Any trainee/candidate's personal information obtained from Connexis may only be collected, held, and distributed in accordance with the Privacy Act 1993. This includes protecting, safely storing, and safe destruction, if required, of any completed assessments.

Assessors are responsible for not disclosing any model answers and/or assessor guidelines of assessment to those who are not permitted access.

5.8. 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.

5.8.1. Oral Assessment

Oral assessment may take two (2) distinctly different forms, i.e. oral questioning and professional discussion.

Oral questioning	Professional discussion
Oral questioning is generally unplanned.	Professional discussion is a planned assessment method commonly used in the assessment of higher-level unit standards and for RCC. The assessor's role is to guide the discussion and the trainee's role is to clearly establish their skill level and experience. (The trainee should lead the discussion).
Oral questioning is commonly used to clarify or supplement evidence already provided. It is used as follow up to a written or practical assessment activity, for example: To ask supplementary questions in practical observation assessment to clarify trainee understanding and common practice. To confirm trainee underpinning knowledge of practical or written tasks.	Professional discussion is a structured interview in which a trainee is expected to provide the evidence required for assessment e.g.: 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.
Oral questioning often uses a question and answer format (particularly for lower level unit standards).	Professional discussion is a conversation rather than a question and answer format and is trainee led.
Oral questioning is also used when a trainee requests oral assessment of a questionnaire in place of written questions and answers.	Professional discussion is useful in assessing analytical and decision-making abilities.

5.8.2. Oral Questioning

Trainees may request oral assessment of theory questions. This might be requested by trainees who have learning disabilities. 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. This is necessary to demonstrate that the assessment criteria have been met. 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.

Assessors must avoid directing and leading the trainee.

5.8.3. Professional Discussion

Professional discussion 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 professional discussion 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 Diploma, New Zealand Certificate or unit standard(s).

Planning

The process must be part of the assessment plan. The assessor must arrange a meeting with the trainee to determine the experience the trainee has gained equivalent to the unit standard and/or qualification and identify any gaps.

Assessors must be clear about the purpose of using professional discussion 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.

Facilitation

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.

5.8.4. Recording Oral Assessment Evidence

Evidence for either method i.e., oral questioning and professional discussion 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:

- Seek trainee's permission to electronically record oral conversations.

- Electronic files should be submitted to Connexis in a 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.

5.8.5. Written Assessment

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.

Written assessment/theory questions are a valid form of assessment of unit standards requiring 'Demonstrate knowledge of' (DKO) or unit standards that have a DKO component.

Theory questions should be marked in accordance with the judgement statements within the assessment guide or model answer sheet within the assessor guide.

5.8.6. Observation

Observation of trainees' performance is a valid assessment method and should be carried out by an assessor or a Technical Expert as appropriate. Assessment decisions will be made against the learning outcomes expressed in the unit standard and performance levels described within the assessor guide judgement and evidence statements.

5.8.7. On–Job Assessment

To maintain the national standard, Connexis develops Assessment Resources for the trainees as a guide to evidence required for achievement in a particular unit standard.

These are all pre-assessment moderated prior to use.

Model Answers within Assessment Guides are developed to provide guidance to assessors of evidence required for achievement and describe the quality and quantity of the evidence to be submitted by the trainee.

Civil Assessor Guides are available on the Connexis website.

All Electrical assessment tools and resources are available on the Connexis website.

5.8.8. Technical Expert

Where the assessor is required to assess outside of their field of expertise or qualification, provision will be made for Technical Experts to assist the assessor. (Technical Expert procedure page 41).

5.8.9. Electronic Evidence

Electronic evidence of trainee performance must be clearly referenced with the trainee's 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.

5.9. Retaining of Completed Assessment Resources and Evidence

NZQA requires industry training organisations 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 retain either the original, or a copy, of all completed assessment resources and evidence for a period of 12 months with the exception of WRT assessment resources and evidence which must be kept for 18 months as required by Waka Kotahi.

After moderation occurs or on expiry of the 12- or 18-month retention of material, all assessment materials, including any supporting evidence, must be destroyed in accordance with the Privacy Act 1993, or returned to the trainee, and no part retained. This includes electronic copies via email, USB sticks, Online Storage, or hard copies.

The exception to this is for RCC assessors who must submit two completed RCC assessments for post-assessment moderation each year, on completion.

5.10. Reporting Assessment Results

All assessment results are to be reported through the Connexis Assessment Results Reporting Workbook within 10 days of the assessment completion date.

Any exceptions will be at discretion of the QA team.

5.11. On-Job Assessment Process

Step	PRE- ASSESSMENT ACTIVITY
1	The trainee and Connexis representative (may be assessor) meet to discuss assessment readiness and produce a pre-assessment plan.
2	Pre-moderated assessment resource packs for Electrical can be accessed on the Connexis website. Civil Assessor Guides can be accessed on the Connexis website.
	The assessor/CSAM will meet the trainee and explain the assessment plan and the evidence that is required to demonstrate achievement.
	The Assessor will obtain a copy of the appropriate Trainee Assessment for the unit standard being assessed and will provide this to the trainee.
3	The assessor and trainee both sign the assessment pack in their designated places.
4	The trainee ensures that evidence of the appropriate amount of exposures relative to the assessment tool have been recorded for practical tasks where required.
5	The trainee completes remaining tasks e.g. theory questions and compiles the documentation required in support of the assessment and presents all documentation to the assessor.
ASSESSMENT	
6	The assessor applies the Assessment Guide by checking the evidence submitted against the evidence required and judgement statements.
7	The assessor makes a decision on achievement.
	The assessor informs the trainee of the assessment result and provides feedback to the trainee and any relevant comments for the moderator.
	Reassessment is offered where appropriate.
POST- ASSESSMENT ACTIVITY	
8	The assessor reports the credit of unit(s) to Connexis, using standard Connexis process.
9	For moderation purposes the assessor files the assessment documentation for up to 12 months unless the assessment relates to WAKA KOTAHI (New Zealand Transport Agency) unit standards, where the requirement is up to 18 months.
10	The assessor sends formal notification of the assessment result to the trainee.

5.12. Associated Forms

5.12.1. Connexis Assessment Results Reporting Workbook

6.   Training Provider Consent to Assess Policy

6.1.   Purpose

This policy outlines how training providers may apply to Connexis to gain a Letter of Support for Connexis gazetted unit standards to support their NZQA Consent to Assess application.

6.2.   Definitions

CMR	Consent and Moderation Requirements associated with each unit standard identifying the WDC responsible for it.
EER	External Evaluation and Review by NZQA
NZQA	New Zealand Qualifications Authority

6.3.   Scope

Connexis will support consent to assess for providers that demonstrate the ability to meet and maintain the conditions within the Consent and Moderation Requirements 0120 (CMR), the Consent and Moderation Requirements 0101 (CMR) and the Consent and Moderation Requirements 0234 (CMR).

NZQA registered providers must meet the following requirements:

- must be accredited by the New Zealand Qualifications Authority (NZQA) or an equivalent overseas organisation.

- will agree to comply with the standards set by Connexis for training, assessment, moderation, reporting and documentation.

- has an established documented Quality Management System (QMS)

- submit training and assessment resources for pre-assessment moderation prior to use, and post assessment moderation on request by the identified due date.

- training meets the training and development needs of Connexis' member companies and industry stakeholders.

- must have appropriately qualified trainers and assessors.

- Have achieved an EER rating of Confident in both areas as a Minimum standard.

6.4.   Evaluation visits

On achieving Consent to Assess through an NZQA application, Connexis will visit providers one year after consent to assess is granted. Thereafter visits will be cyclical. Connexis reserves the right to conduct site visits when deemed necessary to ensure industry and national standards are met.

The objective of the quality assurance evaluation visit is to enhance relationships and communication with our providers and to promote good practice. A visit to the provider site will be made by a Connexis Quality Team staff member and may be assisted by an Connexis Moderator or SME (Subject Matter Expert).

6.5. Associated Forms

6.5.1. Consent to Assess Application

6.5.2. Equipment Identification

Consent to Assess Flowchart

Provider Enquiry To Connexis

QA respond within 5 Working days

Application sent to provider to complete

Provider returns completed application

Receipt of Application Acknowledged within 5 working days

Process below is a minimum of 20 working days

Requirements Met? — No → Contact Provider for further information

Contact Provider for further information → Provider to respond within 20 working days → Further information analysed by QA team within 20 working days

Requirements Met? — Yes → Level 3 or above

Level 3 or above — No → Confirm approval by providing report, and letter of support → Provider applies to NZQA for Consent to Assess

Level 3 or above — Yes → Organise site visit → Quality team member and selected moderator visit → Visit Satisfied visit?

Visit Satisfied visit? — Yes → Confirm approval by providing report, and letter of support

Visit Satisfied visit? — 3rd attempt → Discuss with National Moderator

Discuss with National Moderator — Yes → Confirm approval by providing report, and letter of support

2nd visit → Organise site visit

7. Removing Connexis Consent to Assess

7.1. Scope

Connexis' consent to assess may be removed if an accredited Provider, Moderator or Assessor is judged to have failed to comply with the following.

- Maintaining and implementing all the consent to assess criteria detailed in the Connexis Consent and Moderation Requirements CMRs 0101, 0120 and 0234.

- Maintaining and implementing the recommendations and directions detailed in Connexis' Moderation and Audit Reports.

- Maintaining and implementing Connexis' formal reporting and documentation requirements.

- Providing training outcomes that meet the agreed expectations of the industry client.

7.2. Appeal Loss of Consent to Assess

The removal of Connexis consent to assess can be appealed by implementing the steps detailed below. The appeal decision will be made by a panel of four industry representatives plus, if appropriate, representation from the New Zealand Qualifications Authority (NZQA). This contribution will be sought for appeals concerning moderation and/or assessment.

7.2.1. Steps of Appeal

Supply formal written notification to Connexis' National Moderator requesting an appeal and detailing the rationale for the review.

The National Moderator will convene the appeal panel and in writing formally advise the appellant who is represented on the panel of the date, time and venue for the review.

A detailed submission from the Appellant must be submitted to the National Operations Manager five working days before the panel is to convene. This information will be forwarded on to the panel representatives for evaluation.

Appellants can, if they wish, present their submission to the panel during the review session.

The appellant will be formally advised in writing of the panel's final decision within five working days of the review.

8.   Sufficiency Policy - Electricity Supply Industry Assessment

8.1.   Purpose

The purpose of the Sufficiency Policy - Electricity Supply Industry Assessment applies only to the Connexis Electricity Supply Industry's practical unit standard assessments for assessors.

This policy is also imposed on all provider resources that are used in assessment of practical Electricity Supply Industry unit standard assessment as managed by Connexis.

8.2.   Scope

The scope of this policy in assessment sufficiency refers to the quality and quantity of evidence required in order to achieve fair and consistent assessment decisions across unit standards within the Connexis Electricity Supply Industry scope of consent to assess.

8.3.   Sufficiency

Sufficiency for Electrical Supply Industry unit standards has been established in the following way and must be reflected in assessment resources developed to assess Connexis managed Electricity Supply unit standards.

Three (3) observations of practical performance to standard are required, with two exceptions detailed below:

- When the unit standard has a range statement that defines the sufficiency.

- When workplace conditions dictate differing sufficiency, Connexis will determine, in consultation with industry, the acceptable number of observations e.g. differing sufficiency may be applied when involvement with a task is accrued over a period of time such as installing geothermal equipment and specific high voltage cable jointing.

It has been agreed with the EWRB that Capstone unit standards would be used as the final assessment for several ESI qualifications.

The theory Capstone unit standard will be created by Connexis through an on-line platform but does not restrict a PTE from creating their own assessment and submitting it for pre-assessment moderation prior to the first assessment.

It has been deemed acceptable for the practical Capstone unit standards that one practical demonstration is sufficient. The Capstone assessments **must** be completed and assessed and cannot be awarded by RCC or another form of credit recognition.

8.4.   Rationale

Three (3) observations are considered to provide evidence of consistency in practical performance and an indication of a practiced skill.

Practical observation

Connexis recognises that supervisor on-job observations can make a valid contribution to the assessment process in the Electrical Supply Industry. A supervisor has the skills to identify competent and repeatable trainee performance as they see it occurring naturally, on the job.

Assessors may arrange for a trainee's supervisor to make up to two of the three observations required in some practical assessment resources.

The assessor must make at least one of the observations unless they appoint a Technical Expert to complete all observations. The assessment decision remains the responsibility of the assessor.

9.   Assessment Stakeholder Evaluation Policy

9.1.   Purpose

The purpose of the Assessment Stakeholder Evaluation Policy is to enable continual improvement Connexis requires in the evaluation of assessment and the assessment process from trainees and other stakeholders.

9.2.   Scope

The scope of stakeholder evaluation is:

- Company Management
- Manager/supervisor of trainees
- Trainees

9.3.   Requirements/Procedure

Trainees are requested to complete an assessment evaluation form at the conclusion of their assessment.

This form is not required for assessment conducted by Training Providers.

Other stakeholder satisfaction is evaluated through customer surveys and provider, assessor and moderator meetings.

9.4.   Associated Forms

10. Assessment Verifier Policy

10.1. Purpose

The Assessment Verifier Policy is to provide and/or confirm evidence towards an assessment.

10.2. Scope

Assessors may use Verifiers to validate an assessment where skills or knowledge under assessment exceeds that of the assessor. Or in the event of the assessor not being on job to conduct any practical observation.

10.3. Definitions

A Verifier is defined as:

- Meeting current legislative requirements/current industry standards and practices and is deemed currently competent by the employer.

OR

- A person holding a qualification, of the same level or higher, as that being assessed and can provide evidence of current competence.

OR

- May be the trainee's supervisor or manager.

10.4. Requirements/Procedure

- The assessor must verify that the Verifier meets the definition above and can certify that the check has been carried out on the assessment evidence form.
- The assessor making judgment must be registered to assess that unit standard.

10.5. Associated Forms

10.5.1. No forms associated with this section

11. Assessment Trainee Appeal Policy

11.1. Purpose

The purpose of this policy is Appeals policy (the "Policy") is to provide trainees, modern apprentices, assessors, providers, and employers with a set of procedures to deal with concerns related to industry training and assessment.

11.2. Scope

This process is used in the event of a trainee appealing an assessment decision. Appeals may occur when a 'Not Achieved' decision is challenged, or the trainee may feel disadvantaged because of the assessment process.

11.3. Requirement

The appeal process is explained to the trainee at the time of the assessment.

11.4. Connexis Appeals Procedure

Where a trainee wishes to appeal the result of an assessment decision, the following process will apply:

- The trainee should consult the assessor, with the reasons for the appeal.
- An informal resolution may be achieved by:
  - Consultation with the trainee's employer.
  - Re-assessment.
- Gaining a second opinion e.g. Technical Expert, another assessor or moderator.
- If the appeal is not resolved, the assessor will contact Connexis to alert the ITO that the formal appeal process has begun.
- The assessor and the trainee complete the Appeal Process Form.
- The assessor will submit the form and all assessment documentation to the Connexis Quality Assurance Team.
- Connexis will arrange a moderation review panel to examine the assessment process and report on the assessor's decision. This panel must include the QA Manager and two moderators, one of which must have experience in the field being appealed.
- Connexis will notify the assessor and trainee of the result of the moderation panels outcome report.
- Connexis will intervene if the moderation does not support the assessor decision and will either credit the unit standard or arrange reassessment.
- Should this process not resolve the matter Connexis will apply to NZQA for arbitration.

11.5. Associated Form

11.5.1. Trainee Appeal Form

11.5.2. Assessor Response to Appeal Form

11.5.3. Moderation Review Panel Outcome Form

12. Removing Invalid Assessment Results

12.1. Scope

This procedure outlines the process to be followed in any incident where an Electrical Supply or Civil Infrastructure Industry unit standard is credited to a trainee(s) and registered with NZQA but is deemed to be an invalid assessment of skill and knowledge.

12.2. Identification of Invalid Unit standard

Connexis will act on any information from reliable sources e.g. Provider, Employing Company, Assessor or Moderator. Connexis will determine the validity and reliability of any complaints by interviewing of the trainee(s) and informant(s) to establish:

- Which trainees are involved?
- Where the assessment/s took place
- When the assessment/s were conducted
- Who the assessor(s) is
- How the assessment/s were conducted (RCC, on job assessment etc.).

If the interviews establish grounds for concern that the unit standards awarded are invalid the following actions will be taken:

- Connexis will conduct moderation of the evidence that was used in making the assessment decision; a site visit may be conducted.
- Connexis will convene a meeting of the moderators' panel to endorse the findings of the interviews and moderation.

12.3. Actions to resolve the risk

Any of the following actions may be employed to mitigate the risk of trainees having credits registered on the framework for a unit standard without having evidence of achieving the required level of skill or knowledge:

Trainee:

- Further training
- Re-assessment.

Provider/assessor:

- Professional development
- Consent to assess scope limitations
- Deregistration / removal of consent to assess.

Following investigation Connexis may consider the credits should be removed from the trainee's Record of Achievement. In this case Connexis will recommend to NZQA that this happen.

13. Moderator Registration

13.1. Scope

This policy details the requirements for the registration of Connexis moderators.

13.2. Definitions

Connexis Moderator	An independent person who has acknowledged expertise to confirm that assessment resources and results reflect the national standard.
Moderation	Moderation is a quality assurance process. It is the method by which the national standard is established and maintained across all providers and assessors ensuring assessment is fair, valid and consistent. The Connexis philosophy is that this process should be one of support, development and interaction.

13.3. Procedure

Connexis moderators will be selected, trained and registered by Connexis.

13.4. Connexis Moderator Selection

Connexis moderators will be selected by Connexis on the basis of:

- Their experience as an assessor.

- Their experience of specific skill areas of the industry.

- Qualifications relevant to the industry.

- An assessment of their suitability to undertake moderation activities.

- Industry requirements regarding the number of moderators and their location.

- Achievement of unit standard 11551 Moderate Assessment.

13.5. Registration

Moderators who meet the training and selection criteria may apply to become a Connexis registered moderator. The application must be made on the Connexis *Application for Moderator Registration form* and must be certified by signature from the applicant's employer.

Connexis will advise the applicant of the outcome within 7 days, unsuccessful applicants will be contacted with specific reasons.

A Connexis registration requirement is that moderators hold or are working towards NC in Adult Education level 4.

Newly registered moderators will be matched with an experienced moderator for ongoing support.

13.6. Moderator Contract

Moderators are required to sign the Connexis moderator's contract; this contract will cover tenure, protection of intellectual property, Trainee privacy as protected under the Privacy Act 1993, and other ethical considerations that reflect Connexis charter and policies.

13.7. Re-Registration

Connexis will invite moderators to re-register at the end of each registration period.

Connexis Moderators will be required to meet the following criteria to be eligible for re-registration:

- Attended at least 1 assessor forum within the year of registration
- Actively conducting moderation each year.

13.8. Associated Forms

13.8.1. Application for Moderator Registration Form

14. Moderation Procedure

14.1. Scope

Connexis implements the moderation process to ensure that assessment is fair, valid, and consistent and meets the national standard. Moderation is an integral part of effective assessment. A centrally established and directed external moderation system has been set up by Connexis.

14.2. Definitions

Pre-assessment moderation	This process checks that assessment resources are appropriate and valid and meets the requirements of the unit standard/s.
Post-assessment moderation	This process verifies that assessment decisions made about trainees achievement are consistent and at the right academic and or practical level.
CMR	Consent and Moderation Requirements outline the industry sector requirements for consent to assess (accreditation) of organisations to deliver and assess programmes registered on the National Framework by NZQA. It outlines pre-and post-assessment moderation requirements.
Moderation Plan	A planned and approved cycle of internal pre and post-assessment moderation.
Moderation sample	Trainee assessment samples will be nominated by the National Moderator in accordance with the Annual Moderation Plan.

14.3. Implementation of Moderation

The overall co-ordination of moderation is the responsibility of the Connexis Quality Team in conjunction with the National Moderator

The Quality Team are responsible for each moderation event and will be responsible for co-ordinating moderation activities and maintaining records of meetings and assessments under moderation.

14.4. Appointment of Moderators

Connexis may appoint moderators to conduct the moderation stated in the Annual Moderation Plan. Moderators are contracted to Connexis for this service and are assigned assessment samples for moderation by the Connexis National Moderator.

Selection will be based on moderation expertise and knowledge of industry training programmes.

14.5. Moderation Control Points

Connexis identifies the following points for prioritising unit standards for moderation. Samples will be called under these criteria; the following list is not in a preferential order.

- High unit standard level

- High risk – (safety/risk. within the industry)

- High usage

- Commonality i.e. the same unit assessed by providers, this aids benchmarking and achieving a national standard

- Unit standards called by other SSBs and NZQA

- Newly registered assessors

- New providers with consent to assess Connexis managed unit standards

- Industry alert (reports from other ITOs or assessors of best practice not being followed)

- Assessors reporting low numbers of assessments

- Initial RCC assessments will undergo post-assessment moderation after completion of the RCC Endorsement workshop. Subsequent post-assessment moderations are RCC assessor driven, with two required for post-assessment moderation on an annual basis.

14.6. Moderation Samples

Moderation samples are defined as follows:

- Pre-assessment – trainee assessment information, activities, theory questions etc., assessment guide with evidence and judgement statements and model answers.

- Post-assessment – trainee assessment information, activities, theory questions etc., assessment guide with evidence and judgement statements, model answers and all evidence that impacted on the assessment decision, this may include trainee work records, company forms, audio or visual recordings, check sheets etc.

Assessor and provider moderation samples will be called according to the moderation requirements stipulated in the Connexis CMR. The sampling criteria is determined by moderation requirements as follows:

- Pre-assessment moderation is required for any newly developed or modified assessment resources that relate to Connexis managed unit standards.

- Post-assessment moderation is conditioned by CMR requirements and the Connexis moderation plan.

Assessment samples moderated by Connexis will not be returned unless a self-addressed envelope or courier bag are supplied. Assessors will receive a report on completion of the moderation.

After moderation occurs or on expiry of the 12 or 18 month retention of material, all assessment materials, including any supporting evidence, must be destroyed in accordance

with the Privacy Act 1993, or returned to the trainee, and no part retained. This includes electronic copies via email, USB sticks, Online Storage, or hard copies.

All moderated assessment resources/assessment samples that are under appeal, non-compliance or resubmission will be retained until the moderation requirements are resolved.

14.7. Moderation Requests

Moderation requests are managed by the Connexis Quality Assurance Team. Electronic requests will be managed from the ITOMIC master moderation plan. The request will stipulate the unit standard/s and the trainee samples required, if applicable.

14.8. Moderation Methods

- Evaluation site visits scheduled with prior consultation – may include observation and evaluation of systems and processes
- Spot moderation of any assessor at any time
- Pre-assessment moderation
- Post-assessment moderation
- Group moderation workshops
- Peer reviews and moderation

14.9. Pre-Assessment Moderation

This moderation process is conducted by Connexis moderators to ensure assessments are fair, valid and meet the requirements of the unit standard/s.

- All assessment resources developed by assessors when assessing Connexis qualifications must be pre-assessment moderated.
- All assessments that have under gone major review will also be pre-assessment moderated.
- When submitting trainee samples/scripts for post-assessment moderation, evidence of pre-assessment moderation must be supplied.

Pre-assessment moderation reports are to be produced on the approved Connexis form when assessments have been pre-assessment moderated. The report will outline the result of the pre-assessment moderation activity i.e. meets the requirements of the unit standard/s or does not meet the requirements and a resubmission is required. A copy will be forwarded to the assessor/provider and a copy will be retained by Connexis.

14.10. Post Assessment Moderation

This moderation is conducted by Connexis moderators to ensure assessment guides have been applied fairly and consistently and that the assessment decisions are valid and meet the national standard.

Connexis encourages a mentoring process between moderators and assessor/providers to achieve assessment and assessment decisions that meet the national standard. This process

may be informal e.g. phone call or email contact. Connexis may also request the moderator visit the assessor/provider to offer support or resolve problems.

Moderators are required to check the assessment resources are current and the correct version of the unit standard.

Post-assessment moderation reports are produced on the approved Connexis post-assessment moderation form only. When complete the moderator will send the report to the Connexis Quality Assurance Team. Moderation decisions will be communicated to the assessor by Connexis.

14.11. Moderation of Registered Assessors

The first 2 assessments conducted by a newly appointed assessor are to be sent to a pre-selected Connexis Moderator for post-assessment moderation.

Evidence of assessment activity used for moderation may include a combination of:

- Examining assessment results and evidence
- Observing assessments in progress
- Discussions with assessors
- Discussions with trainees.

When moderation is due, the Connexis Quality Team will notify the assessor either in writing, or via email, detailing the specific unit standard assessment(s) required for moderation, the name of the moderator and where the samples should be sent.

It is the responsibility of the assessor to hold assessment documentation for at least 12 months unless the assessments are WAKA KOTAHI related unit standards where the requirement is at least 18 months.

The assessor is required to assemble all the relevant assessment evidence and forward it to the moderator within the specified timeframe. A Moderation Coversheet must be completed by the assessor and submitted with the assessment samples. Moderation decision will be communicated within 20 days of completion of the moderation activity.

14.12. Evaluation visits of Training Providers with Consent to Assess

Providers will be evaluated on a cyclical basis against the criterion contained in the Connexis CMR 120 or CMR 101.

- Scheduled provider visits will be identified in the Annual Moderation Plan.
- The visit may include desk top unit standard moderation.
- Trainer and assessor interviews.
- Equipment inspection
- Training environment inspection
- Documented policy review

The visit will focus on the criterion documented in the CMR and may include the following:

- Sampling of assessment evidence.

- Interviewing Assessors.

- Observation of assessment activity.

- Check of assessment equipment/assessment environments.

- Discussion with management.

- Processes for staff recruitment.

Training provider evaluation visit outcomes may be:

- All criterion requirements met.

- Minor suggestions for change.

- Changes to training provider procedures and/or activities required. An action plan to be completed and agreed timeframes to be met

- Unsatisfactory - resulting in non-compliance. An action plan is to be completed by the provider with specific timeframes to be met. Continuing concerns will be referred to the National Moderator.

-

14.13. Moderation Decision Appeal

This process is used in the event of an Assessor or training provider appealing the result of a moderation.

Where an assessor or training provider wishes to appeal the result of moderation, the following process will apply:

Stage 1 – Re-moderation of assessment samples

Re-moderation is used to maintain and strengthen the national standard and to resolve appeals against assessment or moderation decisions. Moderators are assigned to verify an assessor or moderator decision in assessment or moderation. The same assessment sample(s) may be sent a number of moderators for Re-moderation.

Considerations for Re-moderation may include any of the following:

- High risk/high usage assessments

- Appeal of assessment decisions

- Appeal of moderation decisions

- New assessment resource

Re-moderation is employed to:

- Ensure consistency and maintain the national standard:

  Re-moderation may be performed by one or more moderators for the same unit standard and assessment samples originally moderated. Connexis collates the results to gage consistency of decisions across the sample(s).

- Resolve appeal of moderation or assessment decisions:

Re-moderation will be performed by at least one other moderator. Connexis will refer to the moderation decisions in resolving the appeal.

- The provider or assessor is forwarded the Re-moderation Form and outcome decision

Stage 2 – Moderation Appeal

If the provider or assessor is still appealing the moderator's decisions, an appeal form should be sent to them, and highlight the appeal process may incur a cost of $120 per hour.

- Once form has been received, the appeal should be notified to the moderator, with the reasons for the appeal clearly stated in writing.

- The moderator comments on the appeal.

- The appeal is considered by the Connexis National Moderator who can recommend:

    o Acceptance of the moderation recommendation.

    o Further moderation by another moderator.

    o Mediation to resolve the dispute.

Stage 3

If the National Moderator is unable to satisfactorily resolve the appeal, the National Moderator will aim to resolve the appeal by forming a special appeal panel from the moderation panel.

Stage 4

If the appeal is unresolved Connexis will request arbitration from NZQA.

All appeals may incur a charge of $120 per hour.

14.14. Associated Moderation Forms

14.14.1.   Pre-assessment Moderation Report

14.14.2.   RCC Pre-assessment Moderation Report

14.14.3.   Post Assessment Moderation Report

14.14.4.   WRT Peer and Post Assessment Moderation Report

14.14.5.   RCC Post Assessment Moderation Report

14.14.6.   NZDEP Post Assessment Moderation Report

14.14.7.   Re-Moderation Post-As Form

14.14.8.   Evaluation visit report template

14.14.9.   Water Peer review and Post-assessment Moderation Report

15. Moderation Reporting Decisions

15.1. Scope

Connexis has will employ several types of moderation events to maintain quality assurance of all qualifications and assessment methods.

15.2. Moderation Types

Moderation of assessment may be conducted in the following ways:

- Paper, postal or desktop moderation. Moderation of assessment samples, and trainee scripts and or products.

- Site visits, provider evaluation visits these will be conducted by Connexis staff and an industry moderator. The criteria will be communicated prior to the visit.

- Moderation of electronic evidence may be recorded professional discussions, video record, photos.

- Peer review and moderation groups will be carried out for specific qualifications and will involve a Connexis nominated industry specialist/expert, a moderator and Connexis staff.

15.3. Moderation process

Pre and post assessment moderation will be conducted as follows:

Pre – Assessment Moderation Management

All resources used in assessment of Connexis managed unit standards, qualifications and programmes will be moderated prior to being applied in assessment.

- The assessor, provider or Qualifications and Resources Manager will submit the resource to the Connexis Quality Team.

- The Connexis Quality Team will assign and notify the moderator.

- The assessment resource is sent to the moderator.

- The moderator completes the moderation on the approved form. Moderator decisions will be 'meets the standard, or 'requires resubmission'.

- Moderators will return the assessment resource and completed report to Connexis.

- Connexis will communicate the moderator's decision to the assessor/provider.

- Resubmission requests will be time bound.

Post – Assessment Moderation Management

- Connexis will select the unit standards to be moderated and assign a moderator.

- Connexis notifies the assessor and moderator in writing the unit standards required for moderation and the due date of the submission.

- The assessor submits the assessment samples directly to the moderator.

- Moderation should be completed within 10 working days for unit standards, and 15 working days for RCC, of receiving the assessment samples.

- The moderator will complete the moderation using the Connexis approved post assessment moderation form.

- The moderator may contact the assessor for event clarification.

- The moderator may request further evidence from the assessor, this request should be time bound.

- If there is no evidence of pre-assessment moderation having taken place this will be noted on the moderation report.

- When moderation is complete the moderator will send a copy of the Post-Assessment Moderation Report and the assessment samples to Connexis.

- Connexis will communicate the moderation decisions to the assessor / provider and return the samples. This completes the process.

- Non-compliance with moderation and timeframes will be followed up by Connexis.

15.4. Timeframes

The timeframe for receiving moderation samples is 20 working days. If the assessment samples are not received the National Moderator will contact the assessor and establish the reasons why and renegotiate a due date.

If there are to be significant delays then the Connexis National Moderator is to be informed.

Pre - assessment Moderation Flowchart

Resubmission of assessment material

New assessment material

Connexis has informed author that they must resubmit material with modifications made

Connexis assigns a moderator to the material, advises author to resubmit

Author provides assessment material to Connexis

Connexis assigns moderator and sends material

Continuing

Go to **Non compliance process**

— No — Assessment material received? — Yes —

Connexis Moderation commences

Material meets the standard?

— No —

Connexis checks report, records results and files copies of moderation reports.

Moderator liaises with Connexis - requests modifications to be made

Yes

Moderator returns assessment and reporting documentation to Connexis

Connexis and author liaise

Yes

Moderator returns assessment and reporting documentation to Connexis

Moderator determines result and completes Connexis report forms

Author provides further evidence/ information?

Connexis records results and files copies of moderation reports and returns assessment material to author

Yes

No

No

Connexis officially informs author of results and sends moderation report

Is this a resubmission?

End

Post - assessment Moderation Flowchart

Start

Connexis selects units for post assessment moderation

Connexis assigns a moderator to unit(s)

Connexis officially informs Assessor/Provider of assessment documentation they are to submit

Connexis officially informs moderator of assessment documentation they are to receive

End

Connexis officially informs Assessor/Provider of results

Continuing

Connexis follows up with assessor via **Non compliance process**

Documentation receive by Due Date?

— No →

Yes

Connexis checks report, records results and files copies of moderation reports and returns assessment material.

Moderation commences, using Connexis Report forms

Moderator returns assessment and reporting documentation to Connexis

Is assessor decision supported?

— No →

Yes →

Moderator determines result and completes Connexis report forms

Connexis sends report to Assessor/Provider and flags further moderation

Moderator advises Connexis, which follows up with assessor via **Non compliance process**

Inconsistent assessing decision. Moderation decision unsupported. Appoint mentor

No improvement refer to Non Compliance policy

16. Moderation Non-Compliance

16.1. Scope

Non-Compliance with moderation occurs when assessor / providers do not participate in Connexis requested moderation.

16.2. Definitions of Non-Compliant Performance

(a)	Ignores request.	Does not contact the moderator, does not submit assessment samples.
(b)	Does not meet due dates.	Consistently delays submitting assessment samples.
(c)	Uses assessment resource that has not been pre-assessment moderated.	Uses assessment resource that does not meet the national standard.
(d)	Does not make consistent assessment decisions.	Sample does not contain sufficient evidence, does not apply the assessment schedule consistently, and does not follow best practice assessment.

16.3. Non-Compliance Process

Where there is evidence of non-compliance with the requirements of moderation Connexis will seek remedial action. The initial approach will be informal contact between the Quality Assurance Advisor and the assessor/provider.

If the issues are not resolved with the initial informal approach a formal written notification of non-compliance is sent to the provider. Actions and recommendations to resolve issues may include:

- Pre-assessment moderation.
- Provider site visit.
- Professional development.
- Request for provider to produce an action plan for remediation of the issues.
- Limitations on assessor/provider scope.

In cases where this action is ineffective and non-compliance continues, or in cases of repeated non-compliance, Connexis will take action that can ultimately lead to the withdrawal of consent to assess or scope of assessment, i.e.

- Removal of the assessor registration (consent to assess).

- Referral to the Connexis Board.
- Removal of provider consent to assess.

16.4. Associated Forms

16.4.1. Moderation Non-Compliance Notice

Moderation Non-compliance Flowchart
Assessment material requested from Assessor

(a) Ignores request Does not respond	(b) Uses own assessment material not pre assessment moderated	(c) Does not make consistent assessment decisions
Informal contact - phone / email No resolution: Connexis: formal contact - Non Compliance Policy Invoked	Connexis communicates non-compliance to assessor Pre assessment moderation conducted	Professional Development

Subsequent moderation (1)
(consequence of any of the above performance)

(a) Ignores request	(b) Uses own assessment material not pre assessment moderated	(c) Does not make consistent assessment decisions
Connexis: formal contact - non compliance No resolution: May result in DEREGISTRATION	Alerts Connexis pre assessment moderation required. Pre assessment moderation conducted Non Compliance Notification	Non Compliance Letter (may conduct on site visit)

Subsequent moderation (2)
(consequence of any of the above performance)

(a) Ignores request	(b) Uses own assessment material not pre assessment moderated	(c) Does not make consistent assessment decisions
No resolution: Results in DEREGISTRATION	No resolution: Results in DEREGISTRATION	Scope limitations agreed No resolution: May result in DEREGISTRATION

This flow chart describes non compliance and the eventual outcome. It should be noted that inaction at any stage may result in Connexis reviewing consent to assess (accreditation).

Moderation Non-compliance Flowchart
Assessment material requested from Provider

(a) Ignores request	(b) Uses own assessment material not pre assessment moderated	(c) Does not make consistent assessment decisions
Moderator: informal contact - phone / email No resolution: Connexis: formal contact -Non Compliance Letter (may conduct site visit)	Moderator: alerts Connexis pre assessment moderation required Pre assessment moderation conducted	Time bound. Request action plan submitted within Connexis timeframe

Subsequent moderation (1)
(consequence of any of the above performance)

(a) Ignores request	(b) Uses own assessment material not pre assessment moderated	(c) Does not make consistent assessment decisions
Connexis: formal contact - non compliance letter Connexis: formal contact -Non Compliance Letter (may conduct site visit)	Moderator: alerts Connexis pre assessment moderation required. Pre assessment moderation conducted Non Compliance Letter	Non Compliance Letter (may conduct on site visit)

Subsequent moderation (2)
(consequence of any of the above performance)

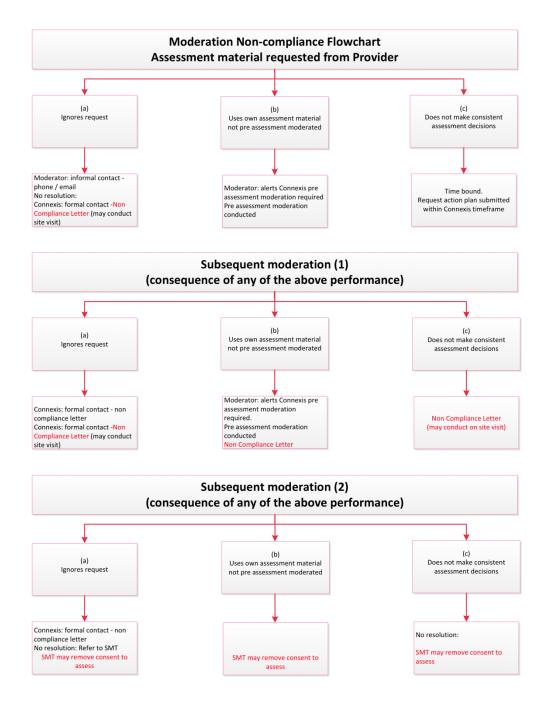| (a) Ignores request	(b) Uses own assessment material not pre assessment moderated	(c) Does not make consistent assessment decisions
Connexis: formal contact - non compliance letter No resolution: Refer to SMT SMT may remove consent to assess	SMT may remove consent to assess	No resolution: SMT may remove consent to assess

This flow chart describes non compliance and the eventual outcome. It should be noted that inaction at any stage may result in Connexis reviewing consent to assess (accreditation).

17. Assessment Reporting NZQA Unit Standards Policy

17.1. Purpose

The Assessment Reporting NZQA Unit Standards policy outlines the processes to be used for the annual reporting by Connexis of assessments planned for NZQA managed unit standards.

17.2. Scope

Connexis is required to report to NZQA annually on assessment activity of NZQA managed unit standards. This requirement precedes the request for moderation samples to be sent to NZQA for moderation processes.

17.3. Procedure

- Tertiary Assessment & Moderation (TAM) sends notification to Connexis in September requesting an intention to assess plan.

- Connexis lists the NZQA managed unit standards expected to be assessed in the following year. This must be completed and entered on line to NZQA by November.

- TAM selects the unit standards for moderation and sends the plan to Connexis March/April. This plan has submission dates, the unit standards to be moderated and the moderator's details.

- Connexis must contact TAM before the submission date if any changes to the plan are to be made.

- Connexis sends a notification to assessors to return assessment samples and resources to the Connexis who will upload them on the NZQA website for moderation

- Connexis follows-up on the moderation decisions of the reports with the assessor/provider.

-

17.4. Non-Compliance

Non-compliance occurs when moderation requirements Are Not Met (AMNR) as above. TAM will require a written action plan within a specified time frame. Ongoing unresolved non-compliance will ultimately result in the withdrawal of accreditation, a system or unit standards.

17.5. Calendar

September	November	March	April	November	December
	Assessment Plan due if sending online to NZQA	Moderation plan due back from NZQA, Connexis to request this if not received		Assessments for moderation sent to NZQA	Report on moderation activity requested by NZQA

18. Moderation of Connexis by other Standard Setting Bodies

18.1. Scope

This policy details the standard requirements for the provision of assessment samples and resources requested for moderation by other Standard Setting Bodies (SSB).

18.2. Definitions

Moderation	Moderation is a quality assurance process, it is the method by which the national standard is established and maintained across all providers and assessors ensuring assessment is fair, valid and consistent. The Connexis philosophy is that this process should be one of support, development and interaction.
Standard Setting Bodies (SSB)	Organisations that set and manage unit standards registered on the New Zealand Qualifications Framework within a specific industry scope.

18.3. Request from Standard Setting Bodies

When a moderation request is received from a SSB, Connexis will provide the requested moderation samples from assessment resources that have already been pre-assessment moderated within the Connexis moderation plan.

- Connexis will request the relevant assessment samples from the assessors or training providers that have reported credits for those unit standards within requested timeframe.

- Non-compliance with requests for SSB moderation assessment samples will follow the Connexis process of non-compliance.

- Assessors and/or training providers are required to hold assessment samples for a 12 month period unless the assessments are WAKA KOTAHI related where an 18 month period is required.

- Connexis will require the assessment samples to be submitted within a timeframe prior to the SSB's submission due date.

- Connexis will have the assessment samples moderated by a Connexis moderator prior to the assessment sample being sent to the SSB.

- Connexis will inform the assessor / provider of the moderation decisions of the SSB.

- Connexis will follow-up any modification requirements.

- Failure of the SSB moderation will follow the process of SSB failed moderation

19. NZQA Annual Moderation Activity Reporting Procedure

19.1. Purpose

This policy outlines the processes to be used for the annual reporting of Connexis moderation activity to NZQA.

19.2. Scope

Connexis is required to report to NZQA annually on moderation activity. This policy states the procedures to comply with this requirement.

19.3. Requirements/Procedure

A written report based on the template supplied by NZQA is to be completed by the 31st March and forwarded to the Tertiary Assessment and Moderation (TAM) unit of NZQA.

This report requires comment on the following areas:

- An overview of all moderation activities with reference to the Consent and Moderation Requirements (CMR).

- Details of expenditure on EXTERNAL moderation activities.

- Problem resolution in relation to the moderation system and timeframes for completion.

- Procedures used to evaluate/review moderation systems.

Summary

- The form to be used is the annual reporting for National Moderation Template supplied by NZQA

- This template is to be completed and returned to the Assessment and Moderation Unit of NZQA by March 31st.

20. Catalogue of Connexis CMAP Forms

CMAP code	Connexis Assessment Procedures Form Description	Version
3.13.1	**Registered Assessor Application Form** This form is to be completed by assessors making application for registration as a Connexis registered assessor. G:\Quality Assurance\Quality Assurance Administration\Assessor Registration Guide and Application Form	7
3.13.2	**Application for Assessor Extension of Scope** To be used by assessors when seeking extension to assessment scope. G:\Quality Assurance\Quality Assurance Administration\Assessor Registration Guide and Application Form	2
4.4.1	**SHAG Assessor Evidence Plan** This form is to be used when assessing SHAG unit standards. G:\Quality Assurance\CMAP Connexis Moderation Assessment Policy\Archive\EAMA\EAMA Ver 11\Template Forms	6
5.7.1	**RCC Candidate Assessment Pack:** This portfolio is to be used in RCC assessment of unit standards; this is not the format for qualification assessment. G:\Quality Assurance\Assessors\RCC assessors	1
5.7.2	**RCC Assessor Handbook** This is a reference guide for assessors. RCC assessors should access this handbook prior to conducting RCC assessment. G:\Quality Assurance\Assessors\RCC assessors\Handbook RCC assessors	1
5.7.3 5.7.4.	23.1.1 - RCC Line Mechanic Candidate Pack RCC Line Mechanic Assessor Pack This material is an integrated assessment pack for units toward the Line Mechanic qualifications number 0874 & 1389	1

CMAP code	Connexis Assessment Procedures Form Description	Version
6.19.1	**Credit Registration Summary** This form is to be used by assessors to report credit to Connexis.	3
6.19.2	**Assessor Pack** This pack must include an assessment schedule which describes the assessment event. It will give a clear indication of the parameters of competence and how the assessment decisions are to be made. Specific Unit standard criteria should be related to the evidence required with qualitative and quantitative judgement statements.	1
6.19.3	**Trainee Assessment Pack** This format is to be used for all Connexis assessment resources.	1
8.3.1	**Trainee Assessment Evaluation** Use this form for trainees to give an evaluation of the assessment fairness and process.	6
9.4.1	**Technical Expert Assessment Validation** When a Technical Expert is used to confirm/validate trainee competence in assessment this form is to be completed and held with the assessment resource.	3
10.4.1	**Trainee Assessment Decision Appeal** This form is used when a trainee appeal becomes a formal complaint.	7
12.12.1 12.12.2	**Pre Assessment Moderation Report** There are 2 forms 12.12.1 is to be used manually 12.12.2 is the electronic version. These forms are to be used when moderating new resources prior to assessment or in moderation of other providers assessment resources against the unit standard for suitability.	1
12.12.3 12.12.4	**Post-assessment Moderation** There are 2 forms 12.12.3 is to be used manually 12.12.4 is the electronic version. These forms are to be used when moderation of trainee scripts are being checked to ensure the assessment schedule has been applied consistently and fairly.	1
12.12.5	**Unit Standard Review Form** This form is to be used when making a submission for review of a unit standard.	7
12.16.1	**Provider Moderation Visit Forms**	7

CMAP code	Connexis Assessment Procedures Form Description	Version
	These forms are to be used to moderate providers, they cover the CMAPP criterion for evaluation visits.	
13.3.1	**Moderation Appeal Form** This form is to be used when an assessor wishes to appeal the moderators report decisions.	7
14.9.1	**Moderator Registration Application Form** This form is to be used when applying for registration as a Connexis moderator.	8
16.4.1	**Moderation Non-Compliance Notice** This form will be used to notify assessors/providers of non-compliance with moderation requirements.	6