Assessor handbook

Introduction to assessment practice

Fourth edition

Competenz
Skills for industry

"Every indivdual must be given the opportunity to unearth his or her highest potential."

Lailah Gifty Akita
Author

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01

This guide is a tool for assessor training and a reference guide for assessors.

Introduction

As an assessor you will need to:

» Know how assessment occurs in the workplace

» Learn the range of processes involved in making assessment effective

» Understand common terms, concepts and processes that are unique to your industry, profession and good assessment practice

» Apply your technical skills, knowledge and experience

» Possess a range of administration, communication and people skills.

Purpose

This guide will give you information on:

» What assessment is

» Roles and responsibilities of key stakeholders

» Guidance for assessors when preparing, conducting and completing assessments

» Other useful information.

02

Assessment overview

In this section we will cover:

» What assessment is

» Competency-based assessment, including what makes up behaviour

» Types of assessment evidence

» How workplace assessment works with workplace training

» Advantages of workplace assessment

» The typical assessment process

» Key principles of good assessment delivery.

What is assessment?

Assessment is the process of judging a candidate's performance or behaviour.

There are two types of behaviours that are commonly assessed in the workplace:

Knowledge
What do they know?

Skills
What can they do?

Competency-based assessment is a form of standards-based assessment and involves comparing a person's performance against an expected level of performance, known as a standard. The person must prove they know and/or can do what is required in the standard. Judgement outcomes are competent (achieved) or not yet competent (not yet achieved).

Competency-based assessment

Competency describes the behaviour needed to effectively perform in a task and/or role. If a candidate is competent, it means that they are capable to carry out the tasks in a repeatable consistent way.

As assessors, the industry standards you will be working with and assessing against are NZQA unit standards. These standards have been set by industry experts and include the knowledge and skill sets needed to complete certain tasks at work. They are competency-based; A process of collecting and judging evidence of a candidate's competence against set standards.

When and why is assessment used?

There are three main types of assessment, which are completed at different stages of learning, and have different purposes.

These are:

» **Diagnostic assessment** is a type of assessment which examines what a student knows and can do prior to a learning programme being implemented.

» **Formative assessment** is completed during training to check on the candidate's progress and provide feedback on areas that need more learning. It does not matter if the candidate is not yet competent and no results are recorded.

» **Summative assessment** is completed at the end of training to identify whether the candidate can demonstrate the required behaviours (for example, they know or can do a task to a set standard in a repeatable and consistent way.) Used to decide if a candidate is competent in the workplace.

NZQA unit standards and Assessment Guides describe the standards of behaviour expected in summative assessment. These standards of behaviour are expressed as elements (outcomes) and performance criteria (evidence requirements).

Behaviour, standards and conditions

When conducting an assessment, you need to know what:

» **Behaviour** needs to be demonstrated (what does the candidate need to know and/or do?)

» **Standard** the behaviour must achieve (what is the minimum level, quality or standard of behaviour that is acceptable to be judged competent? How well must the candidate achieve the behaviour?)

» **Conditions** under which the behaviour should be demonstrated.

This information is given in the NZQA unit standard and the Assessment Guides.

When you read a unit standard, you will start to see active words, that will suggest the type of behaviour to assess. Active words help make it easier to measure.

Assessment evidence

What is evidence?

Evidence is what assessors need in order to make a judgement, or decision, about whether a candidate knows and/or can do the tasks set out in the Assessment Guide.

Without evidence, it is impossible for an assessor to make a decision. If a person is judged competent then their evidence has proved that they are. They have provided information or objects that demonstrate an ability to achieve a set standard.

The more assessments you carry out and judge, the easier it gets to quickly identify types of evidence that would prove a person knows and/or can do a task. Competenz's Assessment Guides and Model Answers aim to assist you in this process.

Essentially there are three types of evidence:

A candidate's Assessment Guide may contain a combination of naturally-occurring and specially-elicited evidence:

» Naturally-occurring evidence

» Specially-elicited evidence

» Historical evidence.

Examples of behaviour include:

Behaviour	Active words as per unit standard	Possible types of evidence that could be collected
Knowledge	Examples **Describe, identify, explain, compare, list.** These words are all asking the person to show evidence of what they know. Their understanding of concepts, processes, underpinning knowledge of a skill, etc.	» Questions – written or oral » Presentation/portfolio » Narratives/personal diaries » Filling in a company form.
Skills	Examples **Complete, assemble, perform, maintain, operate.** These words are all asking the candidate to show evidence of what they can do. Typically this involves hands-on work.	Observing the candidate on the job carrying out the task(s) – possibly over a period of time. » Verification from a supervisor or manager that the candidate has carried out the task multiple times » Forms that the candidate may have completed as part of their role, for example, a completed form where they recorded their maintenance on a piece of equipment » Finished products.

Naturally-occurring evidence

This is the most direct form of evidence and is taken from real-life, or naturally occurring events that have been produced by a candidate during their normal day-to-day activities.

Examples of direct evidence may include:

» Observation on-the-job. Observing a candidate carry out the tasks in their natural environment is the most direct form of evidence

» Evidence produced during normal day-to-day activities, such as:

  » Recorded work instructions

  » Completed products or photos of completed products

  » Job cards/time sheets

  » Drawings and sketches created on-the-job

  » Completed company business documents, for example, forms, production sheets, etc

  » Company training records.

Specially-elicited evidence

This is evidence that is sought and created especially for the purpose of the assessment, and may include:

» Specific assessment tasks

» Written or oral questions or task sheets

» Simulations

» Project work

» Personal diaries/narratives in relation to the completion of the task(s).

Historical evidence

This is evidence of related activity and achievement in the past, such as:

» Previous qualifications, documentation

» References from previous managers/employers

» Third party accounts from verifiers or witnesses

» Work history.

This is used for Assessment of Prior Learning.

Recognition of Prior Learning (RPL)

Also known as RCC (Recognition of Current Competency) or APL (Assessment of Prior Learning).

RPL is a method of gathering evidence of competency-based and/or historical evidence. If you find that your candidate has existing knowledge, skills and/or qualifications that would be better assessed via RPL, contact the Quality Support team at Competenz to discuss this further.

> ▶ **Handy hint**
>
> Competenz's Assessment Guides and Model Answers aim to help you and the candidate identify the evidence to complete and collect in the workplace. If in doubt as to what evidence to collect, consider: What do I need to see, hear, feel or read, to convince me?

Workplace training and assessment

The diagram below gives a snapshot of the relationship between workplace training and workplace assessment. Both depend on each other. The quality of one affects the quality of the other.
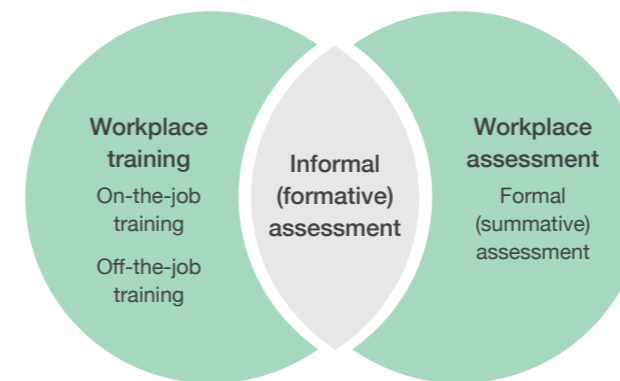
Figure 1: The relationship between workplace training and assessment

Workplace training — On-the-job training, Off-the-job training. Informal (formative) assessment. Workplace assessment — Formal (summative) assessment

On-the-job training

Is when a learner is taught while carrying out their normal day-to-day activities. This can include informal instruction given by peers/supervisor. Typically used when training skills/hands-on tasks, and does not significantly disturb the normal running of business activities.

Off-the-job training

Involves taking the learner physically away from their job to carry out training. This may include courses run by a workplace trainer/training provider (on-site or off-site). Typically used when training knowledge/theory, and/or skills that requires lots of practice before trying out back on the job.

On-the-job and off-the-job training should support each other, and help the candidate become more knowledgeable and experienced in their role.

Informal (formative) assessment

Is used to check learning progress during the training. Is the candidate on track? Can they prove that they know and/or can do during the training? Are they ready to be assessed in the workplace?

Formal (summative) assessment

Is used to check the application of learning back into the workplace. How well is the candidate applying the new knowledge and skills they have learnt? What evidence do they have in the workplace that proves that they know and/or can do the tasks, repeatedly and consistently, to the standards?

During workplace assessment the employee is known as the candidate.

Advantages of workplace assessment

There are many advantages of assessing candidates in their work environment.

This includes:

» Assessment takes place in the candidate's workplace. They are familiar with their surroundings and most of the people involved, which can help them feel more comfortable.

» Candidates are assessed on what they do every day, therefore focusing on evidence that naturally occurs during their day-to-day activities.

» Supporting on-the-job learning, and recognising the employee's existing knowledge and skills in their roles and industry.

» A focus on performance and competency, instead of pass and fail. A person is either competent (achieved) or not yet competent (not yet achieved)

» Candidates progress at their own speed within industry requirements.

Typical workplace training and assessment process
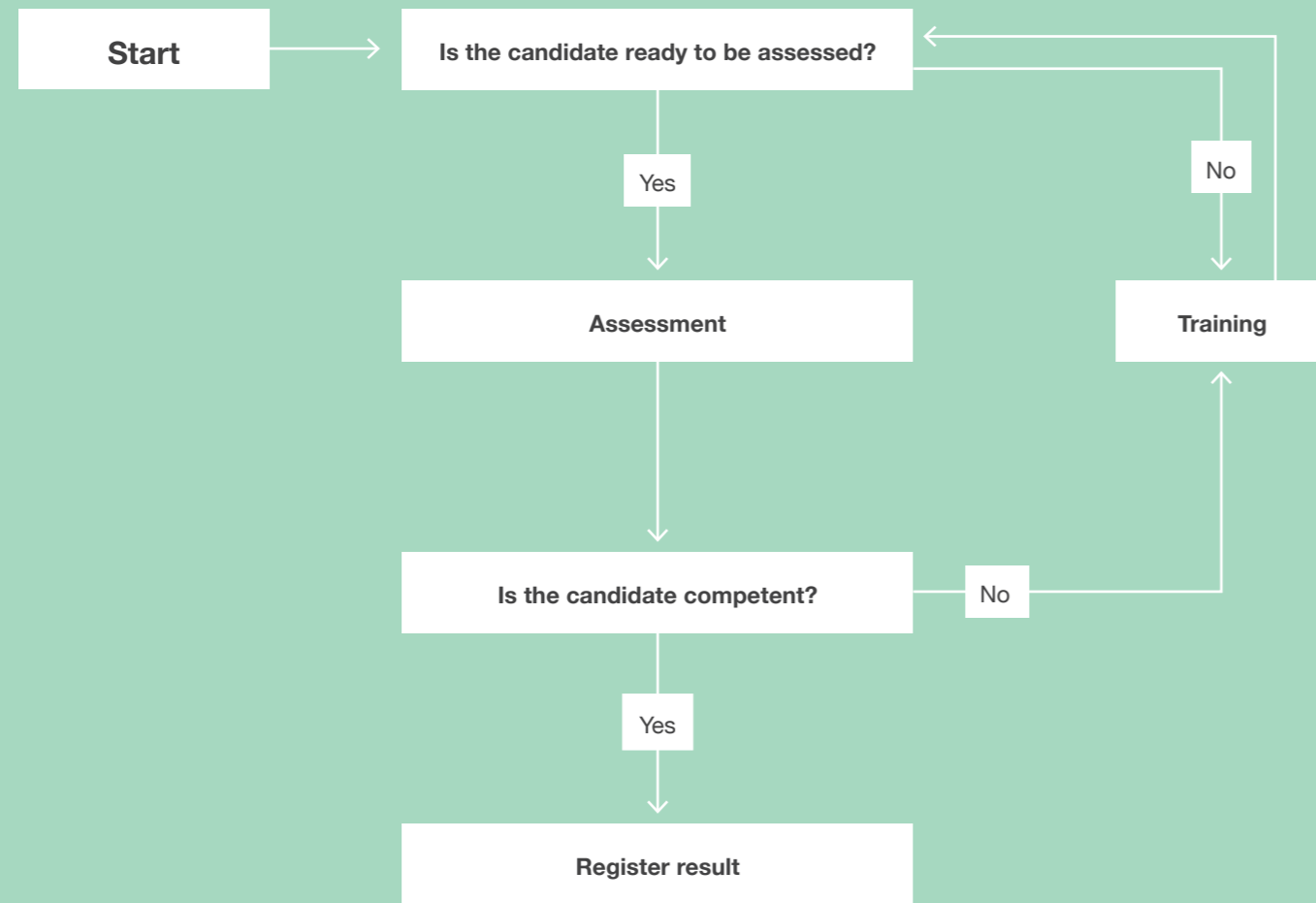
Figure 1: Workplace training and assessment process

The assessment process

As an assessor of NZQA unit standards, there are three main stages that you go through for each candidate and their assessment. Each stage has many important tasks attached to it. We will go into more detail around what each stage involves in this guide.
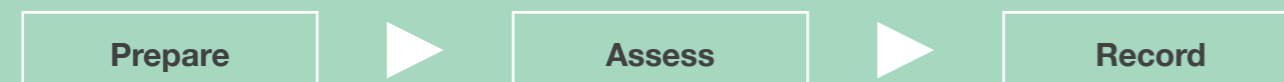
Figure 2: Assessment Process

What makes for good assessment delivery?

There are key principles that assessors need to adhere to when conducting an assessment.

Sufficiency
There is enough evidence to make a judgement on whether the candidate is competent.

Relevance
All the evidence relates back to what the unit standard is asking for.

Fairness
Assessment methods will not disadvantage individuals or groups by hindering or limiting them in ways unrelated to the evidence sought.

Assessor qualities
The assessor is technically experienced and has skills in planning, organisation and communication.

Authenticity
All of the evidence is the candidate's own work.

Resource tools
Quality, pre-moderated and approved resource tools are used.

Currency
All evidence and assessment materials are current and up-to-date.

Candidate's responsibility
The candidate takes responsibility for completing and collecting their evidence. They know who to turn to if they need help during their assessment.

Openness
Candidates understand the assessment process and the standard(s) they are being assessed against. They can contribute to the planning and collection of evidence.

Repeatable performance
All evidence proves that a candidate can carry out a task repeatedly and consistently.

Figure 3: Key principles of good assessment delivery

03

Qualifications and unit standards

In this section we will cover:

» The New Zealand Qualifications Framework (NZQF) and Directory of Assessment Standards (DAS)

» NZQF Levels in relation to what is expected of the candidate at set levels

» A breakdown of a unit standard, explaining some of its key parts.

New Zealand Qualifications Framework (NZQF) and the Directory of Assessment Standards (DAS)

The process of workplace assessment provides a hands-on approach to competency-based assessment.

A competency-based framework was originally introduced by the New Zealand Qualifications Authority in 1990 to capture and recognise knowledge, skills and experience in New Zealand industries. Industry qualifications and standards were listed on the National Qualification Framework (NQF).

As of 1 July 2010, a single unified framework was established to optimise the recognition of education achievement and its contribution to New Zealand's economic, social and cultural success. All qualifications (except those delivered by Universities) are now listed on the NZQF and unit standards on the DAS.

NZQF Levels

As an assessor, it is important to have a clear understanding of the NZQF Levels, and what each of them represents.

There are ten levels on the NZQF: L1 is the least complex and L10 the most complex. Qualifications and unit standards each have an assigned NZQF level. The levels start to paint a picture around the complexity of learning. They do not equate to years spent learning, but reflect the content of the qualification and/or unit standard.

As a guide, the following figure maps out formal learning (certificates, diplomas, etc) against each of the NZQF levels. We have also put in some of the older qualifications and the school equivalent (NCEA) against the levels they typically link to. As the NZQF level increases, so too do the requirements around a candidate's performance. Their technical skills and knowledge, as well as their responsibility for personal and/or group outcomes, grow and are challenged.

Understanding the NZQF Levels and their boundaries is important, especially when it comes to the concept of relevance. Making sure, as assessors, that you are measuring only to the standards – nothing more (over assessing) and nothing less (under assessing).

Qualifications

Standard Setting Bodies (SSB) develop unit standards and qualifications for specific industries and professions that are based on the needs of trainees and are supported by industry.

Qualifications are registered on the NZQF and details of each can be found on the NZQA website.

Competenz is an industry training organisation (ITO), which means it is also a SSB. Competenz qualifications are written with industry input and advice.

Each qualification:

» Sits at a specified level of the NZQF and is made up of a certain number of credits

» Includes any pre-requisites, and transition arrangements from prior versions

» Contains core unit standards that are compulsory, and elective unit standards which are workplace-specific.

Unit standards

Unit standards are registered on the DAS. They are developed by groups of experts in their field.

Unit standards have a basic hierarchy to manage the large volume of industries and professions.

A unit standard belongs to a domain, which belongs to a sub-field, which belongs to a field. The field is the highest level of the hierarchy. These knowledge and skill sets are expressed in the form of unit standards. They cover specific tasks in a profession or industry, and outline the behaviour and outcomes expected of someone carrying out that task, in that industry.

Core compulsory unit standards

These units form the base of the qualification and are compulsory. The candidate must be assessed as competent in these standards in order to fulfil the requirements of the qualification.

Elective unit standards

Some qualifications will have unit standards – and/or strands – that a candidate can choose from as part of fulfilling the requirements of the qualification. This gives flexibility to work towards units that relate to their current job.

▶ **Handy hint**

Full descriptions of all ten NZQF Levels can be found on the NZQA website:
www.nzqa.govt.nz/studying-in-new-zealand/understand-nz-quals/#heading2.0

It is recommended that you become familiar with the demands on the candidate for each of the levels you will predominately assess against in your workplace.

L10	Doctorates, Masters
L9	
L8	Postgraduate Diplomas, Bachelors with Honours
L7	Bachelors Degrees, Graduate Diplomas
L6	Diplomas
L5	
L4	Certificates
L3	
L2	
L1	

Advanced Trade Certificates were at this level

Trade Certificates were at this level

NCEA* School Certificates, starting from Year 11
*NCEA = National Certificate of Educational Achievement

Figure 4: NZQF Levels

As mentioned, NZQF levels give an indication of the complexity of learning and the amount of effort required by the candidate.

The following figure compares the amount of technical skill and knowledge applied by the candidate on the vertical axis, with the candidate's responsibility on the horizontal axis.

At Levels 9 and 10 the candidate demonstrates mastery of a subject area. They also provide original contribution to knowledge through research.

Starting from Level 5, the candidate builds their highly specialised technical skills. Analysis, design and evaluation of a wide range of information is expected.

At Levels 3 and 4 the candidate is building a wider range of specialised skills and knowledge.

At Levels 1 and 2 it's about basic skills and knowledge. Recall. No new ideas or problem solving.

Technical skill + knowledge applied by a candidate

Candidate responsibility

Activities carried out under supervision. Familiar processes. No responsibility of others' work.

At Level 4 it is expected that tasks are to be completed without supervision.

Self-directed activities. From Level 6 onwards, the candidate takes complete responsibility for personal and/or group outcomes.

Key
L1 refers to NZQF
E.g. L1 = NZQF Level One

Figure 5: NZQF Levels Explained

Basic hierarchy of the DAS

Field

Sub-field

Domain

Standard
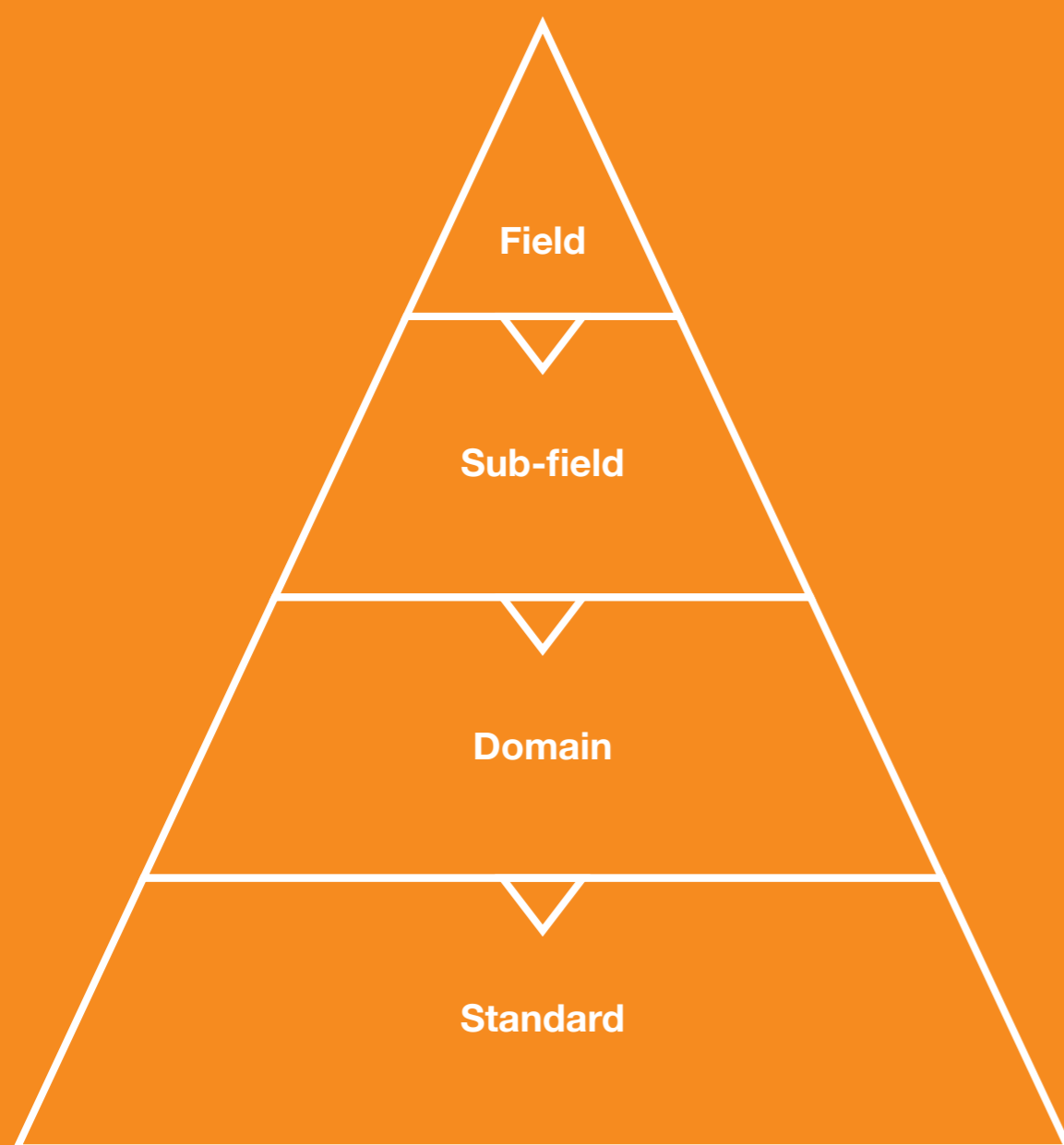
Field	Sub-field	Domain	Standard
Typically indicates an industry sector, such as engineering, technology, health, manufacturing.	Is created when the field is split out into more specialist areas or even industries within industries.	Is created when a sub-field is split out into more specialist areas. Your assessor scope is typically linked to domains.	Unit standards specify what a candidate for assessment needs to know, do and understand.

Figure 6: Basic Hierarchy of the DAS

Unit standard breakdown

Let's take a more detailed look at an NZQA unit standard.

1 Unit standard title

2 Number and version of the standard.

3 The Level indicates the level of difficulty, including how much technical knowledge and skill is to be used by the candidate.

4 The Purpose gives you a quick idea of what is involved in the standard. It is usually a combination of all the elements in the unit.

5 The available grade awarded for successful completion of this unit. Achieved (instead of Competent).

6 Explanatory notes share information that will help assessors interpret the standard. They can also indicate any special assessment requirements or conditions.

7 Credits indicate the amount of effort recommended for the achievement of the unit. Efforts may include the time taken for: training, applying the learning on-the-job, and assessment of the unit.

8 Where the unit sits on the Directory. **Subfield** Core Generic > **Domain** Work and Study Skills.

9 Highlights if a candidate needs to complete any other unit(s) before doing this one.

10 In the footer of each page of the unit is the SSB. In this example the creator/setting body for this unit is Competenz. Any queries you have about this unit can be addressed directly with the SSB. Their contact details are on the last page of the unit.

NZQA registered unit standard   2713 version 7 **2**
Page 1 of 4

Title	Set manually operated production engineering machines **1**		
Level	3 **3**	Credits	15 **7**

Purpose **4**	This unit standard covers setting of manually operated machinery in a mechanical engineering production environment. People credited with this unit standard are able to: prepare to set, and set, production engineering machine, measure sample components, and monitor production engineering machine operation.

Classification	Mechanical Engineering > Engineering Machining and Toolmaking **8**

Available grade **5**	Achieved

Entry information	
Recommended skills and knowledge	Candidates must be able to safely carry out basic machining operations. This could be evidenced by credit for standards such as Unit 21906, *Perform basic mechanical engineering machining operations under supervision*, or demonstrate equivalent knowledge and skills. **9**

Explanatory notes 6

1   References
Health and Safety in Employment Act 1992;
Occupational Safety & Health Service. *Guidelines for Guarding Principles and General Safety for Machinery*. Wellington: Department of Labour, 1995.

2   Definitions
Safe working practices – work practices designed to prevent personal injuries and damage to equipment and plant. This includes practices relating to personal attire and use of safety clothing and equipment, use of machinery and tools, and handling of materials and waste.
Worksite procedures – operational procedures put in place by the candidate's employer. These include site safety procedures, equipment operating procedures, job procedures, and procedures for the handling and disposal of materials and waste.

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1 An Outcome is a specific learning task/behaviour. A task the candidate must prove they know and/or can do.

2 Evidence requirements outline how well the candidate is able to carry out the outcome. There may be one or more evidence requirements per outcome.

3 Status information and last date for assessment for superseded versions is shown in this box.

4 CMRs are created by the SSB and give guidance around Quality Support criteria for the unit and its assessment.

5 Consent to assess is granted by NZQA and certifies education organisation to assess unit standards and award credits for them.

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1 Outcomes and evidence requirements

Outcome 1

Prepare to set production engineering machine.

2 Evidence requirements

1.1 Machine is lubricated and routine maintenance carried out in accordance with worksite procedures.

1.2 Drawings, instructions, and specifications are interpreted to establish job requirements.

1.3 Sequence of operations is planned to achieve job requirements efficiently, and verified in accordance with worksite procedures.

1.4 Accessories, work-holding fixtures, and tools are selected for efficient production and in accordance with worksite procedures.

Outcome 2

Set production engineering machine.

Evidence requirements

2.1 Machine is set up to accept work safely and without damage to workpiece or machine.

    Range   work-holding devices, accessories and tools.

2.2 Operational parameters are selected appropriate to machine, material and tooling.

2.3 Machine is set to produce specified component and operation is verified in accordance with worksite procedures.

2.4 Sample components are produced to specified standard of quality.

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3 Status information and last date for assessment for superseded versions

Revision	5	25 September 2001	31 December 2012
Review	6	20 June 2006	N/A
Rollover and Revision	7	17 November 2011	N/A

4 Consent and Moderation Requirements (CMR) reference   0013

This CMR can be accessed at http://www.nzqa.govt.nz/framework/search/index.do.

Please note

5 Providers must be granted consent to assess against standards (accredited) by NZQA, before they can report credits from assessment against unit standards or deliver courses of study leading to that assessment.

Industry Training Organisations must be granted consent to assess against standards by NZQA before they can register credits from assessment against unit standards.

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Range statements

Assessors should note where the range statement is placed on the unit standard. If written:

» **In the special notes/explanatory notes section**, the range statement applies to all outcomes (element and performance criteria) in the unit standard.

» **Immediately below an element/outcome statement**, it applies to all performance criteria/evidence requirements in that one element/outcome.

» **Immediately below a performance criterion/ evidence requirement**, it applies to that performance criteria/evidence requirement only.

Also take note of:

» The language used in the range

» If it says must include or include, or simply lists items, all of the items in the range must be assessed. The candidate must show evidence for **all** the items in the range

» If it says may include, but is not limited to, the items in the range are a guide and not all have to be assessed against. The candidate can show some of those listed in the range, along with other applicable industry/company standard items

» Evidence requirements around how many range items or tasks must be used/demonstrated by the candidate.

Terminology

Old terminology	New terminology
Accreditation/AMAP	Consent to assess/CMR
Unit Standard – Element	Unit Standard – Outcome
Unit Standard – Performance Criteria (PC)	Unit Standard – Evidence Requirements (ER)
Unit Standard – Special Notes	Unit Standard – Explanatory Notes
Competent	Achieved
National Qualifications Framework (NQF) and NZ Register of Quality Assured Qualifications/ KiwiQual	New Zealand Qualifications Framework (NZQF), and Directory of Assessment Standards (DAS)
National Diploma or National Certificate	New Zealand Diploma and New Zealand Certificate

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▶ **Handy hint**

If you have any questions about a Competenz unit standard or interpretation of it, contact your account manager or training advisor at Competenz on 0800 526 1800.

NZQA's website **(www.nzqa.govt.nz)** is a handy resource for assessors, particularly for finding unit standard and New Zealand qualification details. The most recent version of standards and qualifications are accessed on the website.

04

Roles and responsibilities

In this section we will cover:

» An introduction to who is involved in the assessment process and system, and their roles and responsibilities.

There are many people and stakeholders involved in the assessment process and system. These include candidates, assessors, verifiers, employers, training providers, Competenz and other ITOs, NZQA and more.

Candidate

Candidate is the name given to people who are being assessed.

Candidates are primarily responsible for:

» Their own learning and becoming a skilled worker

» Attending and completing courses that are part of their training agreement

» Completing and collecting evidence

» Presenting evidence to the assessor in a logical way.

Employers

Employers play an important role in the support of the training and assessment process. Their attitude and support around giving adequate time and resources to training and assessing in the workplace lays the foundation for its success.

Some of the employers' responsibilities include:

» Ensuring they have access to the right equipment and type of work needed to support the candidate in completing their training and assessment

» Making arrangements for the candidate to gain experience on any tasks that the company cannot cover in relation to their training plan

» Selecting and having adequately trained workplace assessors

» Allowing the assessor time to prepare for, and conduct, assessments when needed

» Allowing the candidate reasonable time to collect evidence as they perform their tasks

» Supporting assessors in attending regular professional development training, such as assessment related workshops.
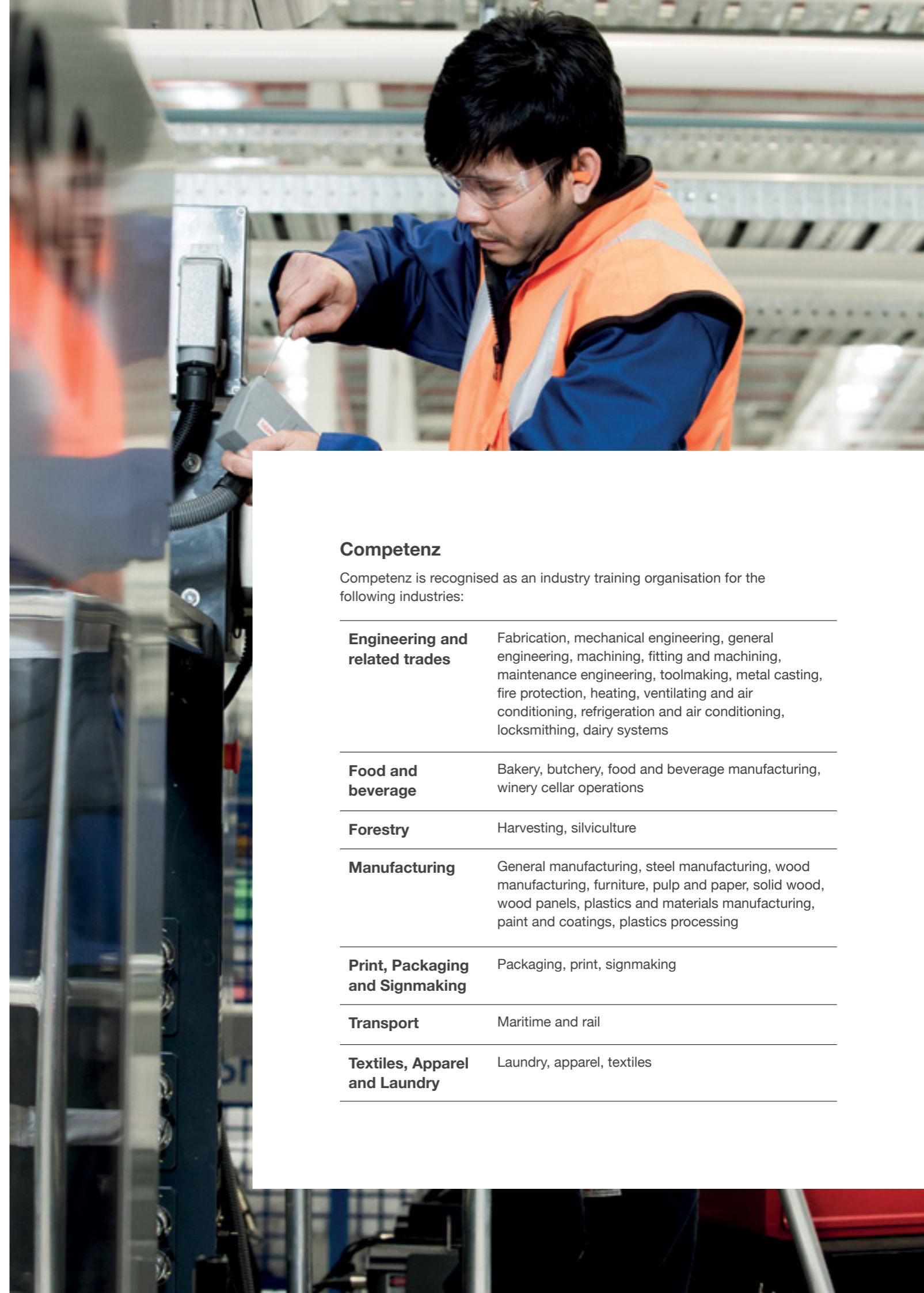
Competenz workplace assessors

The Competenz workplace assessor is a key person in the assessment process. Some of the key responsibilities of an assessor include:

» Being registered with Competenz as an assessor

» Being familiar with, and working only within, their allocated assessor scope

» Arranging Verifiers, if needed

» Planning the assessment process with the candidate. This includes providing guidance to candidates around collecting evidence to satisfy the assessment requirements and ensuring assessment resource tools are current, appropriate and pre-moderated

» Assessing the candidate's performance against the unit standard criteria given in the Competenz pre-moderated Assessment Guides

» Making a judgement – the candidate's evidence either supports that they are competent (achieved or met the unit standard) or not yet competent (not yet achieved in the unit standard)

» Providing clear and timely feedback to the candidate

» Planning re-assessment if required

» Reporting assessment results to Competenz

» Participating in Competenz Quality Support processes, such as moderation and assessor workshops.

Verifiers

There will be times when an assessor cannot directly observe the candidate performing a task to be able to make a valid judgement on a candidate's performance to help the assessor complete the assessment.

A verifier is a person selected by the assessor who is there to identify and authenticate evidence which proves a candidate's performance and ensure they meet the industry, and company standard.

The verifier must be known and trusted by the workplace assessor. They will be experts in their field(s) and have proven technical skills and knowledge in the area they are verifying.

It is important that verifiers understand the principles behind assessment, and the need for them to complete all assessment materials clearly and specifically in accordance with Competenz quality systems and assessment practices.

Training providers

Training providers are educational providers who have been accredited by NZQA to train and assess against particular fields, subfields, domains and unit standards on the NZQF.

Some of their key responsibilities in supporting the assessment process include:

» Delivering training and assessment to the apprentice/trainee which is aligned to the applicable unit standards and New Zealand qualification requirements

» Registering any competent unit standards completed by the candidate with NZQA.

Competenz

Competenz is recognised as an industry training organisation for the following industries:

Engineering and related trades	Fabrication, mechanical engineering, general engineering, machining, fitting and machining, maintenance engineering, toolmaking, metal casting, fire protection, heating, ventilating and air conditioning, refrigeration and air conditioning, locksmithing, dairy systems
Food and beverage	Bakery, butchery, food and beverage manufacturing, winery cellar operations
Forestry	Harvesting, silviculture
Manufacturing	General manufacturing, steel manufacturing, wood manufacturing, furniture, pulp and paper, solid wood, wood panels, plastics and materials manufacturing, paint and coatings, plastics processing
Print, Packaging and Signmaking	Packaging, print, signmaking
Transport	Maritime and rail
Textiles, Apparel and Laundry	Laundry, apparel, textiles

NZQA

NZQA is a crown entity that:

» Maintains the NZQF where all non-university qualifications are held

» Registers all non-university Certificates and Diplomas onto the NZQF

» Issues a unique learner identification called a 'National Student Number (NSN or NSI)

» Maintains a ROA for each NSN. This records the progress of each learner through their completion (award) of unit standards and New Zealand qualifications

» Issues qualifications to people who have successfully completed their training and assessment

» Evaluates and compares overseas qualifications to NZ qualifications for immigrants. This also includes working with other governments to achieve international recognition of NZ qualifications

» Administers the secondary school qualifications (NCEA)

» Oversees Quality Support of industry and tertiary training.

Tertiary Education Commission (TEC)

The TEC is a government body that works with NZQA. They:

» Allocate industry coverage to SSBs, including ITOs such as Competenz

» Approve and administer the distribution of government funds to education organisations, including ITOs.

New Zealand Apprenticeships

In January 2014, New Zealand Apprenticeships were introduced to provide a premier vocational pathway and quality support for all apprentices regardless of age.

NZ Apprenticeships:

» Provide an entry point into an occupation setting a person up for a career in an industry

» Meet any regulatory requirements for entry into an occupation

» Contain a strong theoretical component to support further learning, as well as a practical element.

The detailed criteria for NZ Apprenticeships are that:

» An apprentice must be employed in the occupation for which they are training

» Throughout the apprenticeship, an apprentice must be supported by a training plan agreed by the apprentice, the employer and the organisation arranging the training

» All NZ Apprenticeships will result in (at least) a Level 4 New Zealand qualification comprising a minimum of 120 credits (ensuring a strong theoretical component).

Competenz:

» Develops industry-relevant unit standards and qualifications

» Administers on-the-job and off-the-job training with industries and training providers

» Provides subsidies for on-the-job and off-the-job training

» Coaches, mentors and registers workplace assessors. This includes providing quality systems to ensure that assessment results are consistent across different workplaces

» Provides ongoing support for employers and employees in workplace training and assessment

» Sets rules and guidelines for how assessment should be conducted, and completes Quality Support checks.

Direct support Competenz offers during the assessment process includes:

» Managing the registration of workplace assessors and their scopes

» Coaching and supporting workplace assessors

» Providing Assessment Guides and Model Answers for many unit standards, and learning resource material for selected skills/knowledge

» Sending workplace assessment results to NZQA for registration onto applicable Record of Achievements (ROAs)

» Arranging and contracting off-the-job training for candidates (apprentices) as per their related training plan

» Advising off-the-job training options for candidates

» Supporting everybody involved in the training and assessment process.

05

Assessment guides

In this section we will cover:

» Competenz Assessment Guides

» Availability of Assessment Guides

» What makes good Assessment Guides?

» Breakdown of a Competenz Assessment Guide and Model Answers set.

Competenz Assessment Guides

All Assessment Guides provided by Competenz are pre-moderated.

Tool	Used by	Description
Assessment Guide (AG)	Candidate and Assessor	» Directs the candidate to complete clearly defined tasks » Provides a method of collating written answers as evidence » May have other evidence attached to it » May include an observation checklist, to be completed by the assessor (possibly with the assistance of a verifier) » Includes a cover sheet that allows for recording of personal details and assessment judgements.
Model Answers (MA)	Assessor	» Includes instructions for the assessor that explain the evidence that must be collected and the assessment requirements and conditions to be met » Includes an evidence map showing how each aspect of the unit standard(s) is covered in the required evidence » Provides clear instructions for judging competence of written answers. It may also include example answers.

Availability of Assessment Guides

Assessment Guides and Model Answers are available for the majority of Competenz unit standards.

In some cases, **Integrated Assessment Guides** have been developed. They integrate (mix together) the requirements of several unit standards. This is particularly useful when there is some overlap between unit standards, or there are a number of unit standards which cover different parts of a bigger task that would naturally be completed together. The benefit of this approach is that assessment activities are more natural and holistic, and tend to be achieved in less time.

Courses will often use integrated Assessment Guides alongside workbook training resources containing formative assessment questions. In these cases, the integrated model answers are presented within a trainer guide.

Other ITOs produce similar Assessment Guides, and some of these (where relevant to Competenz industry qualifications) are also available.
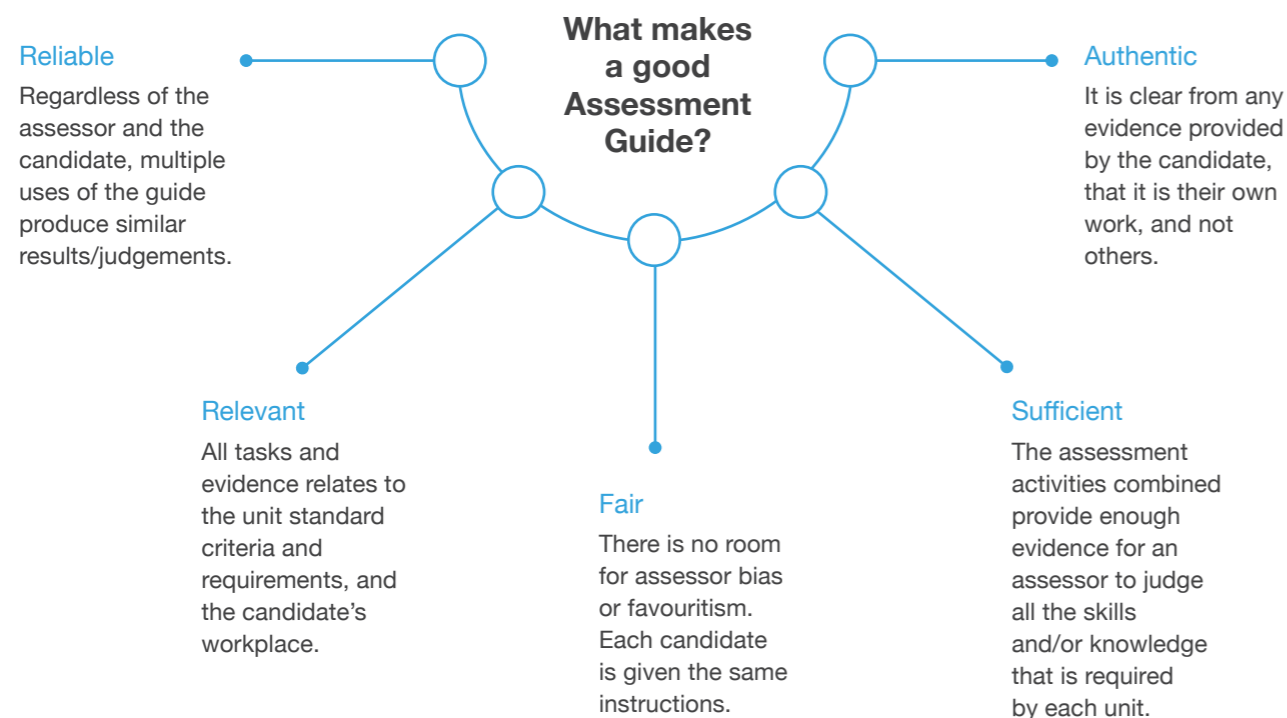
What makes a good Assessment Guide?

Reliable
Regardless of the assessor and the candidate, multiple uses of the guide produce similar results/judgements.

Authentic
It is clear from any evidence provided by the candidate, that it is their own work, and not others.

Relevant
All tasks and evidence relates to the unit standard criteria and requirements, and the candidate's workplace.

Fair
There is no room for assessor bias or favouritism. Each candidate is given the same instructions.

Sufficient
The assessment activities combined provide enough evidence for an assessor to judge all the skills and/or knowledge that is required by each unit.

Figure 7: Key Principles of Good Assessment Guides

Format of Competenz Assessment Guides

Please note that the Competenz examples/excerpts below may be missing (or have extra) features to the specific tools you may be using. They are a guide only.

Assessment Guide

Domain	Mechanical Engineering > Engineering Machining and Toolmaking		

| Unit | 2713 v7 | Set manually operated production engineering machines | Level 3 | Credits 15 |

Personal Details	
Candidate name	Company
Date of Birth	NSI No.
Phone	Email
Assessor name	Company
Verifier name	Company
Position	Phone

Assessment Result	
Start Date	Assessor Stamp
Assessor Judgement Achieved / Not Yet Achieved *(circle)*	
Assessor Signature	
Date	

Candidate Response Agree / Wish to appeal *(circle)*	
Candidate Signature	Date

Verification (if required)**:**
I confirm that the candidate's performance meets organisational requirements.

Verifier Signature	Date

Quality Assurance – Competenz use only	
Assessor Judgement meets National Standard? **Yes / No** *(circle)*	**Moderator Stamp**

For any queries, contact: Competenz, PO Box 9005, Newmarket, Auckland 1149. Ph 0800 526 1800

Competenz
SKILLS FOR INDUSTRY

AG 2713 v7, Ed.1 © Competenz, July 2014   Page 1
This material has been moderated in the current format. Any changes need to be resubmitted for moderation.

This first section shows:

Domain and unit standard details. Make sure your assessor scope covers the domain and unit listed.

This personal details section allows the candidate, assessor and verifier (if used) to record their details.

This assessment results section is where you as the assessor record your assessment decision. It is important that all parties sign this section to show they agree with the assessment result.

The Quality Support section is left blank. It will be used if the assessment is post moderated by Competenz.

Assessment Requirements

This Assessment Guide is designed to help you provide evidence of your skills and knowledge required by this unit standard.

Before you begin the activities in this Guide, read all of the following assessment requirements. This information will help you when you meet with your Assessor to plan your assessment.

When you meet with your Assessor, they will:

- talk you through the activities in this Guide, and help you plan for what you need to do
- check to make sure you are ready to begin this assessment.

What you need to do

1. Your evidence must clearly show that you can competently set **two** different types of manually operated production engineering machines.

2. There are **four** parts to this assessment:

   a. Set **two** different types of manually operated production engineering machines.

   b. Answer questions about one of your set-ups.

   c. Provide **two** completed Observation Checklists, signed by the Observer.

   d. Provide Supporting Documentation.

3. Your Assessor will either observe you as you set **two** different types of manually operated production engineering machines, or choose an Observer to do this.

   The person who observes you must have experience in setting manually operated production engineering machines.

   This person may be your tutor, manager, or team leader.

   The Observer must complete and sign the Observation Checklist in this Guide.

4. Make sure any Supporting Evidence you supply:

   - is clearly labelled to show which question or assessment activity it relates to, and either written in or stapled to this Guide.
   - helps to prove your knowledge, skills and experience required for this unit.

5. Once you have finished this Guide, contact your Assessor or Account Manager to arrange the next steps.

Conditions

- You must set **two** different types of manually operated production engineering machines.
- Appropriate production engineering machines include but are not limited to – drills, mills, lathes, presses, folders, cutting, forming, forging, shaping, bending.
- You need to complete all activities yourself.
- It is expected that you will have had learning / experience of setting the **two** different types of manually operated production engineering machines before you begin this assessment.
- It is likely that you will have already been observed setting manually operated production engineering machines on more than one occasion before you are formally assessed.
- All tasks you carry out for this assessment must be completed in accordance with your worksite procedures.
- You must complete all work using safe working practices to meet relevant legislative (legal) and statutory requirements.
- NZ law that applies to this assessment includes but is not limited to the Health and Safety in Employment Act 1992, and subsequent amendments.

  TIP: Visit www.legislation.govt.nz to search for and see a free online copy of the latest version of NZ laws.

Definitions

- *Safe working practices* – work practices designed to prevent personal injuries and damage to equipment and plant. This includes practices relating to personal attire and use of safety clothing and equipment, use of machinery and tools, and handling of materials and waste.
- *Worksite procedures* – operational procedures put in place by the candidate's employer. These include site safety procedures, equipment operating procedures, job procedures, and procedures for the handling and disposal of materials and waste.

Recommended Skills and Knowledge

- Candidates must be able to safely carry out basic machining operations. This could be evidenced by credit for standards such as:
  - Unit 21906, *Perform basic mechanical engineering machining operations under supervision*

  or demonstrate equivalent knowledge and skills.

Further information

- This unit standard does not apply to Computer Numerical Control (CNC), Computer Aided Manufacturing (CAM), or sequence programmed production machines.

Questions

Answer the following questions about setting manually operated production engineering machines.

Candidate Name		Date	
Worksite			
Please note	• Give clear and detailed answers.		
	• You can write your answers yourself in the spaces provided here, or give them orally to your assessor who will record them		

Answers to these questions have been written by *(circle)*:	Candidate / Assessor / Other:

Record of Competence ☑ or ☒

Setting a manually operated production engineering machine

Identify the machine you set for **one** of your Observations and the component you set it to produce, and answer the following questions about how you set it.

Machine	
Component	

1. How did you keep yourself safe when you were setting the machine? ☐

   Describe clearly the safe working practices you followed, including any personal protective equipment (PPE) you used / wore.

Observation Checklists

You must complete **two** Observation Checklists for setting **two** different types of manually operated production engineering machine on separate occasions.

For **each** production engineering machine you will need to:

- prepare to set the machine
- set the machine to produce the specified component
- measure sample components
- monitor the operation of the machine to ensure components produced meet specification
- provide copies of the drawings, instructions, and specifications you interpreted to set the machine.

Note Make sure that the **two** types of manually operated production engineering machine you set are **different**.

Observation Checklist 1

Complete this Observation Checklist for setting **one** type of manually operated production engineering machine to meet job requirements on **one** occasion.

Attach to this Guide, clearly labelled copies of the drawings, instructions, and specifications you interpreted to establish the job requirements.

Make sure the machine you set for this Observation is different from the machine you set for your second Observation.

You, the candidate, fill in **Part A**. The person observing you fills in **Part B**.

Part A: Candidate to complete this section			
Candidate Name		**Date**	
Worksite			
Specified component			
Observer			
Part B: Observer to complete this section			
Write **Yes** or **No** to each of the following statements as the candidate sets the manually operated production engineering machine. **In setting the machine, the candidate satisfactorily:**			
1.	Lubricates the machine and carries out routine maintenance.		
2.	Interprets drawings, instructions, and specifications to establish job requirements.		
3.	Plans and verifies the sequence of operations to achieve job requirements efficiently.		

Attach the following evidence to this Guide

Staple to this page / section of the Guide:		
1.	☐ Copies of the drawings, instructions, and specifications for the **two** production engineering machines you set under observation.	☐

Clearly label each attachment.

Supporting Evidence

Supporting Evidence means any additional documents or other material the candidate used that show they can competently set manually operated production engineering machines.

This evidence may include, for example: production records; drawings or photos; worksite procedures; machine / operator manuals.

Note: Any documentation used as supporting evidence needs to be signed by the Assessor / Verifier showing the candidate has met worksite and evidence requirements.

Assessor – Final Judgement

After reviewing the candidate's evidence for Unit Standard 2713 v7, it is clear that the candidate can competently set manually operated production engineering machines, including:

- ☐ preparing to set production engineering machine
- ☐ setting production engineering machine
- ☐ measuring sample components
- ☐ monitoring production engineering machine operation
- ☐ carrying out all work in accordance with worksite procedures, and demonstrating safe working practices in compliance with relevant legislative and regulatory requirements that include but are not limited to the Health and Safety in Employment Act 1992.

Assessor Feedback to the Candidate		
Assessor		**Date**

Model Answers

The Model Answers lists the Recommended Evidence. These items are found in the matching Assessment Guide.

Some suggestions for additional Supporting Evidence are given as a guide to the assessor.

This Assessment Requirements section is the same as what is in the Assessment Guide.

The details outline the key actions and conditions applicable to the assessment. Be careful to check if there are any pre-requisite units that must be achieved before beginning this assessment. (If there are no pre-requisites listed, it typically suggests there are no pre-requisites/ entry information).

Model Answers

Domain	Mechanical Engineering > Engineering Machining and Toolmaking		
Unit	2713 v7	Set manually operated production engineering machines	Level 3 Credits 15

Assessment Evidence

Recommended Assessment Evidence

Assessment Guide, that includes successfully completed:

- Questions
- Observation Checklist
- Supporting Documentation.

Supporting Evidence

Supporting Evidence means any additional documents or other material the candidate used that show they can competently set manually operated production engineering machines.

This evidence may include, for example: production records; drawings or photos; worksite procedures; machine / operator manuals.

Note: Any documentation used as supporting evidence needs to be signed by the Assessor / Verifier showing the candidate has met worksite and evidence requirements.

Assessment Requirements

This Assessment Guide is designed to help you provide evidence of your skills and knowledge required by this unit standard.

Before you begin the activities in this Guide, read all of the following assessment requirements. This information will help you when you meet with your Assessor to plan your assessment.

When you meet with your Assessor, they will:

- talk you through the activities in this Guide, and help you plan for what you need to do
- check to make sure you are ready to begin this assessment.

What you need to do

1. Your evidence must clearly show that you can competently set **two** different types of manually operated production engineering machines.

2. There are **four** parts to this assessment:

   a. Set **two** different types of manually operated production engineering machines.

   b. Answer questions about one of your set-ups.

   c. Provide **two** completed Observation Checklists, signed by the Observer.

   d. Provide Supporting Documentation.

3. Your Assessor will either observe you as you set **two** different types of manually operated production engineering machines, or choose an Observer to do this.

   The person who observes you must have experience in setting manually operated production engineering machines.

   This person may be your tutor, manager, or team leader.

   The Observer must complete and sign the Observation Checklist in this Guide.

Unit Standard Evidence Map

Unit 2713 v7	Set manually operated production engineering machines	Level 3	Credits 15

Explanatory notes

3. Assessment information

	Evidence	No.
a. All activities must comply with relevant legislative and/or regulatory requirements, which include, but are not limited to, the Health and Safety in Employment Act 1992. b. All activities must demonstrate safe working practices. c. This unit standard does not apply to Computer Numerical Control (CNC), Computer Aided Manufacturing (CAM), or sequence programmed production machines.	Questions **Two** Observation Checklists	1 5, 11, Observer sign-off

4. Range

a. Production engineering machines includes but is not limited to – drills, mills, lathes, presses, folders, cutting, forming, forging, shaping, bending.

b. Evidence of setting at least **two different** types of machines is required.

Outcome and Evidence Requirements	Evidence	No.
Outcome 1: Prepare to set production engineering machine.		
1.1 Machine is lubricated and routine maintenance carried out in accordance with worksite procedures.	Questions **Two** Observation Checklists	1 1, 12, 13, Observer sign-off
1.2 Drawings, instructions, and specifications are interpreted to establish job requirements.	**Two** Observation Checklists	1, 2, Observer sign-off
1.3 Sequence of operations is planned to achieve job requirements efficiently, and verified in accordance with worksite procedures.	Questions **Two** Observation Checklists	2 3, 13, Observer sign-off
1.4 Accessories, work-holding fixtures, and tools are selected for efficient production and in accordance with worksite procedures.	**Two** Observation Checklists	4, 13, Observer sign-off

This unit standard evidence map shows which questions, observations or tasks act as evidence for which unit (Evidence Requirements). This helps you to better understand why a candidate is asked to carry out a certain task, answer questions, be observed in the workplace.

The Model Answers replicate all questions, tasks and/or observations set in the Assessment Guide, and provides guidance to you in making a judgement.

Questions

Answer the following questions about setting manually operated production engineering machines.

Assessor

Where a candidate's response to one or more questions does not provide enough evidence to satisfy a requirement of the standard convincingly, you could use additional oral questioning to draw out the additional evidence required.

Record and attach to this Guide the question(s) you ask, with a brief summary of the candidate's responses.

Candidate Name	Candidate name provided	Date	Date provided
Worksite	Worksite identified		
Please note	• Give clear and detailed answers. • You can write your answers yourself in the spaces provided here, or give them orally to your assessor who will record them		

Judgement Statements aim to help you make a judgement on a candidate's response.

Example answers may also be given as a guide to quality of expected answers.

Assessor notes, judgement statements and example answers are in blue.

Answers to these questions have been written by *(circle)*:	Candidate / Assessor / Other:

Record of Competence ☑ or ☒

Setting a manually operated production engineering machine

Identify the machine you set for **one** of your Observations and the component you set it to produce, and answer the following questions about how you set it.

Assessor

This information supports all Outcomes of the unit.

Judgement statements

☐ The candidate identifies:

    o **one** manually operated production engineering machine they were observed setting

    o the component they set the machine to produce.

Assessor

The **two** Observation Checklists support all Outcomes of the unit.

Judgement statements

☐ The candidate provides:

    o **two** successfully completed Observation Checklists for setting **two** different types of production engineering machine on separate occasions.

    o clearly labelled copies of the drawings, instructions, and specifications they interpret to establish the requirements of each of the **two** jobs.

☐ All work observed is carried out in accordance with worksite procedures, using safe working practices that meet the requirements of the Health and Safety in Employment Act 1992 and other relevant legislative and/or statutory requirements.

Observation Checklist 1

Complete this Observation Checklist for setting **one** type of manually operated production engineering machine to meet job requirements on **one** occasion.

Attach to this Guide, clearly labelled copies of the drawings, instructions, and specifications you interpreted to establish the job requirements.

Make sure the machine you set for this Observation is different from the machine you set for your second Observation.

You, the candidate, fill in **Part A**. The person observing you fills in **Part B**.

This is an example of Assessor notes and judgement statements for an Observation Checklist.

Part A: Candidate to complete this section			
Candidate Name	Candidate name provided	Date	Date recorded
Worksite	Worksite identified		
Specified component	Specified component identified		
Observer	Observer name provided		
Part B: Observer to complete this section			

▶ **Handy hint**

To provide feedback on Competenz Assessment Guides, please contact resourcehelp@competenz.org.nz

06

Assessment rules and considerations

In this section we will cover:

» How to use Assessment Guides

» Who can assess

» Conditions for assessment.

Use of Assessment Guides

Assessors should aim to use the latest edition of the Assessment Guide available.

The Model Answers document provides guidance to the assessor about the structure of the assessment and how it should be conducted and judged. Assessors should read the Model Answer document early in the preparation phase. This is not to be shown to the candidate.

Model Answers may include a statement to clarify how a judgement would be arrived at, and example answers. These are a guide for the assessor about the characteristics of acceptable evidence. Assessors need to be aware of personal biases and be careful not to add additional expectations that exceed the unit standard requirements.

The use of Competenz Assessment Guides is recommended. This does not however exclude the use of alternative or supplementary evidence, where this may be a helpful addition or a more efficient or relevant method for the candidate.

Assessment Guides from other SSBs may be available through Competenz. These will have a Competenz cover sheet attached to ensure we collect personal details, sign-offs and the assessor stamp.

If Assessment Guides are not available, the assessor may develop their own. However, this must be successfully pre-moderated by Competenz before use. It is the assessors responsibility to check the relevant Consent and Moderation Requirements (CMR) to identify any additional pre-moderation or assessment requirements. CMRs are listed on unit standards and can be accessed on the NZQF at www.nzqa.govt.nz.

Who can assess?

Assessors must be registered with Competenz, and can only assess within their allocated scope. Each registered assessor is allocated a scope in accordance with their own qualifications, experience and knowledge. This ensures that the assessor has the necessary skills, knowledge and experience to judge a candidate's evidence. If you are unsure of your allocated scope or would like to request further scope, please contact Competenz.

> ### Handy hint
> Assessors must be registered, and can only assess within their allocated scope.

Becoming an assessor

As part of applying to become a workplace assessor, you may want to ask yourself the following questions:

» Does the company need a workplace assessor?

» Am I suitably qualified or experienced to assess the training needed?

» Am I happy to devote time to consistently assess work colleagues?

» Do I have the right people skills?

» Am I able to take on the extra responsibility?

» Does my employer understand the time requirement for me to do this?

Registered assessors:

» Are recommended by their employer and supported by the account manager or training advisor

» Hold NZQA unit standard 4098

» Hold a relevant industry qualification

» Meet industry requirements, when specified

» Are awarded scope to assess those unit standards where they hold the same or equivalent qualification or can provide evidence of equivalent industry skills and knowledge

» Competenz registers assessors against criteria that meet industry needs and award them a scope that approves domains and unit standards for each assessor, relevant to their qualifications and experience

» Only assess the unit standards listed in their approved assessor scope

» Comply with all Competenz current policies and procedures that apply to assessment and moderation

» Are required to be quality assured annually to maintain their registration (or as requested)

» Are required to attend a minimum of one Competenz refresher workshop every two years for professional development in assessment.

Use of verifiers

The verifier must be known and trusted by the workplace assessor. They will be experts in their field(s) and have proven technical skills and knowledge in the area they are verifying.

It is important that verifiers understand the principles behind assessment and the need for them to complete all assessment materials clearly and specifically.

Conditions of assessment

Assessment conditions established in the Assessment Guide should be followed.

The assessor may choose to supplement the assessment methods with additional evidence collection where this is necessary to confirm their judgement. For example, when conducting observations, the assessor may ask verbal questions to ensure the candidate is demonstrating an action consciously or fully.

Alternative and supplementary evidence

These are additional documents provided by the candidate (other than the normal assessment activities listed in the Assessment Guide) to prove their competency. It can be used to support your decision.

Principles of good assessment delivery should be applied (see What Makes for Good Assessment Delivery? on page 15 of this guide).

The Privacy Act 1993

The Privacy Act is primarily concerned with good personal information handling practices.

Things you must do include:

» Let the candidate know why the information is being collected

» Only collect information that is relevant to the candidate and their assessment(s)

» Inform the candidate of where their assessment information will be stored, and how they can access this information

» Keep assessment information in a secure place

» Seek permission from the candidate before sharing any of their assessment information with others

» The candidate's assessment information will only be shared with authorised parties. This may include the candidate's employer, supervisor, training providers, and Competenz.

Handy hint

Before you can be a registered assessor, you need to obtain unit standard 4098. Once you have been judged competent, you can be registered as a workplace assessor.

Contact your Competenz Account Manager or Training Advisor for assistance.

Review

When preparing for and carrying out assessments in the workplace (for example on-the-job observations), the assessor must meet their responsibilities under the Health and Safety at Work Act 2015. That is, to take all practicable steps to keep the candidate, themselves and others safe.

This may include ensuring:

» The work area is free from hazards

» Equipment is used safely and correctly

» All safety equipment is available and worn

» The person being assessed has been suitably trained in use of safety equipment

» All emergency exits are identified

» That company and worksite policies and procedures are identified and followed during the assessment.

It is common that unit standards require assessment of candidates to be conducted in potentially hazardous situations or undertaking potentially hazardous tasks. Identification of hazards and implementation of safe work practices is often a part of what needs to be observed. The assessor must allow the candidate the opportunity to demonstrate these skills for as long as it is safe to do so, but must be prepared to step in to ensure the candidate does not harm themselves or others.

Special notes

When assessing, it is important that you are aware of all the special notes that exist within the unit standards you are assessing against. When using Competenz Assessment Guides, these have been taken into account in the design and are listed in the assessment requirements section of the Model Answers.

These special notes provide further guidance, boundaries and references for the standard, and often include:

» **In accordance with organisational procedures (or the like)**
This is commercial competency. The candidate must prove that they can perform to the criteria set in the standard, repeatedly and consistently AND in accordance with organisational procedures and/or all work practices

» **Legislation relevant to this unit standard**
Any legislation relevant to a unit standard will be spelt out in the special notes section. It is important you are familiar with all of the legislation listed, and its relevance to the criteria in the standard

» **Codes of practice**

» **Manufacturer's specifications.**

Moderation

Moderation requests from Competenz Quality Support must be complied with. This is explained further on page 63.

Designing your own Assessment Guides

In some cases Competenz's pre-approved Assessment Guides may not be available or suitable. Assessors wishing to design their own Assessment Guides are encouraged to observe the criteria in unit standard 11552 – Design Assessment.

The range of valid evidence collection which may be used include:

» Observation of natural events in a workplace

» Simulations

» Skills tests

» Examination of products

» Processes for attestations

» Written or oral tests.

> ▶ **Handy hint**
> All Assessment Guides must be pre-moderated by Competenz before use.

—

07
Assessment

In this section we will cover:

» Preparation of the candidate, assessor and physical environment for assessment

» Some of the guides available to you during the assessment process

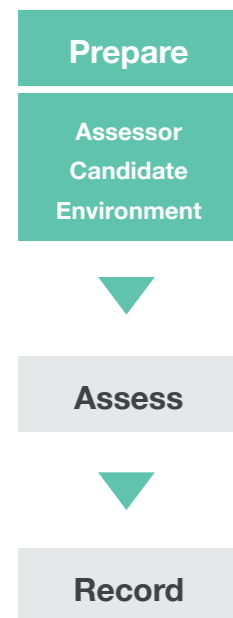» The concept and benefits of assessment planning meetings.

Preparing for assessment

Prepare
Assessor
Candidate
Environment

▼

| Assess |

▼

| Record |
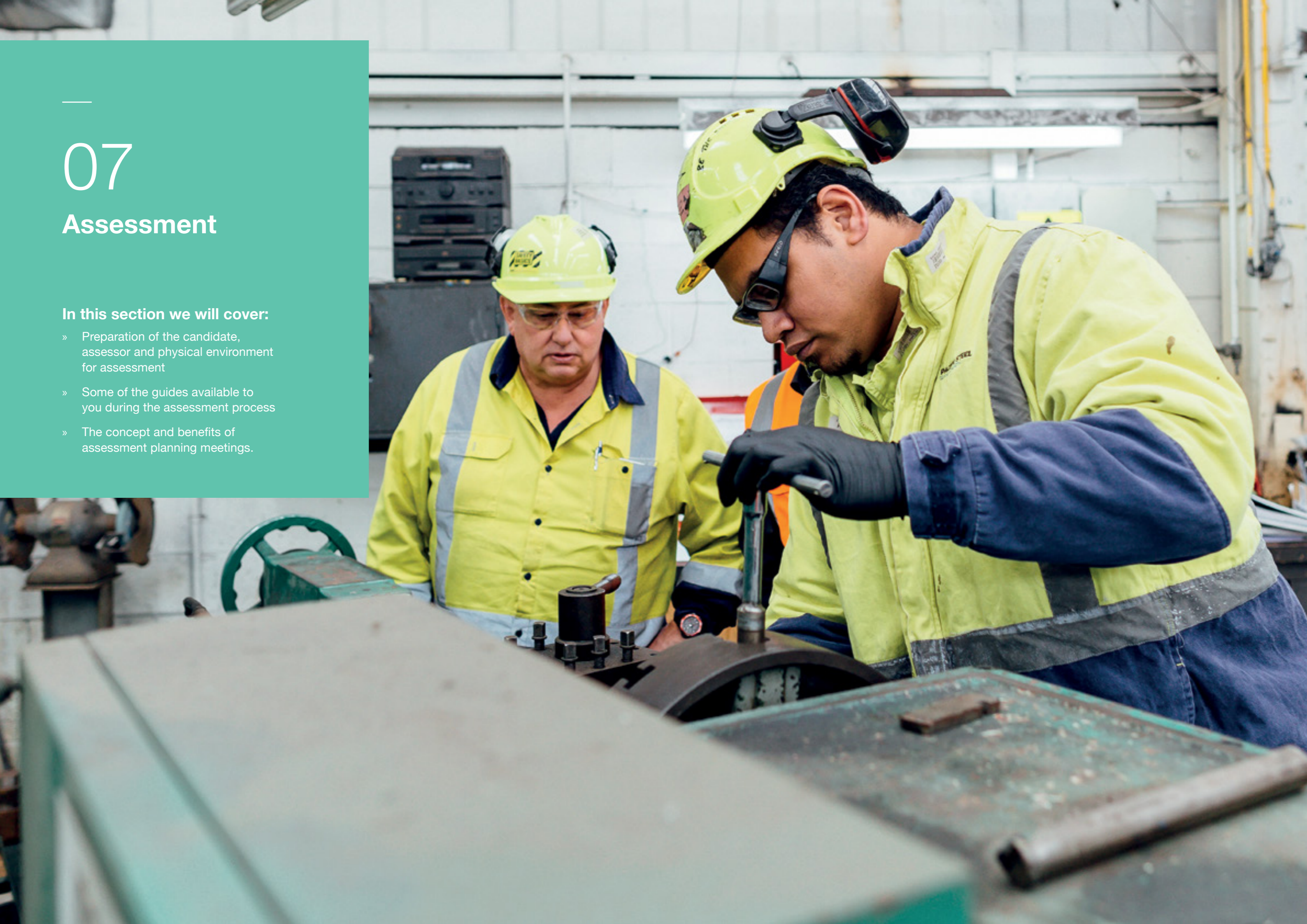
Figure 8: Preparation details

A lot of the success of an assessment comes from how well an assessor plans and prepares themselves, their candidate, and the work environment.

A prepared assessor knows:

» The assessment of the unit standard(s) is within their assessor scope

» What the unit standard is asking of the candidate

» What environmental conditions must be met

» How they will assess and support the candidate for the unit standard(s). This may include:

  » What assessment resources they will use

  » What order to carry things out, which may include looking at how to cluster, or integrate the assessment of one or more tasks and/or unit standards

  » The typical evidence that can be completed and collected

  » The standard of performance expected of the candidate and how they will judge if the evidence of this is competent

  » Company worksite policies and procedures, relevant legislation, industry codes, standards, etc.

If applicable, the assessor has organised:

» Assessment planning meetings with the candidate to start the assessment process

» Access to required environmental conditions

» Dates and times to observe the candidate carrying out the tasks on-the-job

» Verifiers who may be involved in the assessment of the candidate

» Copies of pre-moderated assessment resource materials to be used.

Assessors also:

» Communicate with the candidate's manager about when assessment activities will happen

» Ensure the candidate is prepared and ready to be assessed before conducting the assessment

» Check the concept/plans for any project/assembly etc. that is to be used to ensure it will provide the required evidence.

A prepared candidate

Both the candidate and assessors have responsibility for preparing for assessment. A prepared candidate:

» Knows what the assessment resource materials are asking of them

» Is aware and comfortable with all the tasks and pieces of evidence they need to complete and collect

» Has shared with the assessor any special needs they have, and discussed how these will be supported during assessment

» Knows how to contact the assessor with any questions or concerns

» Is aware of the reassessment process

» Knows who else will be involved in the assessment, for example verifiers

» Believes that they have the skills and knowledge needed to successfully complete the assessment and are ready to be assessed.

The assessment environment

Assessment in the workplace usually takes place on the job, in naturally occurring events. However, there are some considerations to make that apply to both the assessor and the candidate.

These include:

» That company and worksite policies and procedures are identified and followed during assessment

» All applicable resource materials are available, and current, for use

» Feedback to the candidate is given in an environment where privacy can be assured and is free from excessive noise and distractions.

Occasionally the assessment will require small alterations to work conditions or processes or different environmental conditions altogether. The assessor must work closely with the employer to ensure the assessment environment for these situations is appropriate.

> ▶ **Handy hint**
>
> If you are planning on assessing unit standards **not** included in the training plan, contact your Competenz Account Manager or Training Advisor for advice on:
>
> » If it will fit into the qualification
>
> » The availability of assessment resource materials
>
> » If you have the scope to assess against it.

Figure 9: Assessor tools

Building your assessor toolkit

Your current level of technical knowledge, skills and experience are just one building block to becoming an assessor. The more assessment situations you are in, the more tools and processes you will become familiar with to support you in your role.

Some tools that may be available to you include:

» Training plan

» Assessment Guides

» Model Answers

» Unit standard evidence map

» Samples of good evidence

» Evidence sheet

» Moderation reports

» Workplace assessment record pad and assessor stamp.

Assessment planning meeting

You may find that organising and having assessment planning meetings will build a foundation for the whole assessment process with the candidate.

Benefits of holding assessment planning meetings:

» Helps to set the scene with the candidate and the assessor around what is going to happen for the assessment(s) of the current unit standard(s)

» For a candidate new to assessment, a planning meeting gives them an idea of what to expect, what's involved, and a safe opportunity to ask questions about assessment in general

» Provides the assessor with a logical structure and opportunity to prepare themselves and their candidate

» Gives the candidate and assessor and an opportunity to review all the details of the assessment as well as organise together any observations and verifiers that may be needed to support the assessment

» Enables the candidate to share any special needs they may have so the assessor can address and support the assessment appropriately (for example, English as a second language, literacy and numeracy etc).

Handy hint

An **assessment planning meeting form** can be found in the Appendix of this guide.

It can be used to help the assessor check-off what they have discussed with the candidate and documents the planning process.
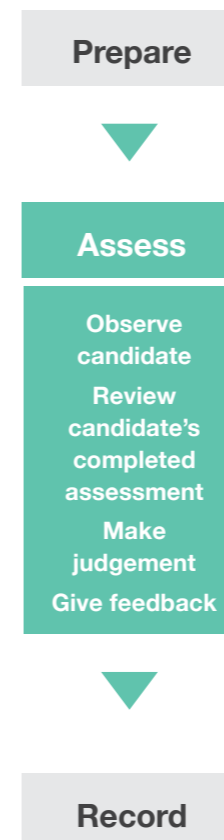
Conducting assessment

Prepare
▼
Assess
Observe candidate
Review candidate's completed assessment
Make judgement
Give feedback
▼
Record

Figure 10: Preparation details

In this section we will cover:

» The four key tasks involved in the 'assess' stage of the assessment process

» Descriptions of what constitutes competent and not yet competent.

So far you have:

✓ **Prepared yourself and the candidate for assessment**

✓ **Organised any assessment events involving your input e.g. observations**

✓ **Prepared any necessary assessment environments and equipment in a safe and healthy way. Now it is time to assess.**

Observe candidate

Observation Checklists, if required, are provided in the candidate's Assessment Guide and are used to document the findings of the on-the-job observation. This completed checklist forms part of the candidate's evidence for their assessment.

When carrying out an observation ensure:

» All personal protective equipment (PPE) is provided and worn correctly

» Safe work practices are followed

» The observation is carried out in a naturally occurring situation (as much as possible)

» The physical environment reflects normal work conditions

» You document what you have observed, as required on the observation checklist(s). This includes comments about any specific areas that are judged to be achieved with competent, and other comments that will help to clarify what was observed (but should not repeat the information recorded on the observation sheet).

After the observation has finished, the assessor gives the candidate specific feedback on their performance.

Completion of assessment evidence

The candidate is responsible for providing the remainder of the evidence required outlined in the Assessment Guide (for example completing the questions, task sheets, and attaching documentation or other evidence such as photos).

The assessor may guide and encourage the candidate during this stage, but must not lead them towards the correct outcome.

The assessor may, if this is more appropriate for the candidate, ask questions orally and record the candidate's answers. They must record the answers verbatim, and indicate at the top of the questions sheet that they have recorded the answers.

Review the completed assessment

The assessor should check that all required evidence has been provided, is authentic, and that the candidate has completed their personal details on the cover page and filled in their name at the top of each task.

If supplementary evidence has also been provided, this should be marked to indicate which part(s) of the Assessment Guide it applies to.

If any evidence is insufficient, it should be returned to the candidate for completion before any judgements are made.

Make judgement

Making a judgement is a crucial point in the assessment process. This is about judging whether the evidence is sufficient.

Ask yourself: Do we have enough evidence to prove that the candidate knows about/can do the tasks, to the standard required, repeatedly and consistently?

Statements on an observation checklist specify the tasks that a candidate must perform, to the required standard. This is recorded during the observation.

The Model Answers give clear judgement instructions to help the assessor make decisions around sufficiency of written answers and other evidence. They may also provide example answers.

Other documents may also be used to help inform your decision (such as any organisational procedures, manufacturer's specifications, legislation, etc). These are listed in the Model Answers under requirement documentation.

When making judgements about written answers and other submitted evidence, it is good practice to include comments about any specific areas that are judged to be achieved with competent and other comments that will help the assessor give valuable feedback to the candidate.

Judgement	Description
Competent (C), or Achieved (A)	All the evidence has met the standards. The candidate has proven they have the knowledge and/or can carry out the tasks to the standards, repeatedly and consistently. All the tasks in their Assessment Guide were completed fully, to the standard required.
Not Yet Competent (NYC), or Not Yet Achieved (NYA)	Not all the evidence in the candidate's Assessment Guide has met the standards. The candidate may have started to prove they have the knowledge and/or can carry out the tasks to the standards, however there is not enough evidence to prove full competency.

Giving feedback

A valuable part of the assessment process for the candidate is the receiving of feedback from the assessor on their performance.

We must remember that competency based assessment is also about life-long learning and by giving timely and specific feedback, we can positively encourage this. Be specific and factual. Talk about actual actions and answers – not the person in general terms.

You may be familiar with the following Commend – Recommend – Commend (CRC) model of feedback. This model is considered to be one that is constructive, which means it focuses on giving balanced feedback, and helps the candidate improve.

Tips for giving good feedback

Feedback needs to be:

» Relevant

» Specific

» Factual.

Timing is everything, and this is very true with giving feedback. Feedback should be given to the candidate as soon as practical after completion of the assessment. The longer it waits after the actual event, the less value it holds for the candidate.

Give the candidate an opportunity to share what they think they did well, as well as what improvements they would make if they carried out the task again. We are usually our own greatest critic, and if the candidate is able to express their strengths and improvements, it helps develop their self analysis skills.

If the candidate's assessment has been judged not yet competent, then the feedback will also need to include those tasks that need to be re-done, and/or new evidence to be completed and collected to support their Assessment Guide, and planning for re-assessment.

> **Handy hint**
>
> Before you make your decision, ask yourself:
>
> » If I were to be moderated on my assessment decision for this candidate, would I be able to show/prove:
>
>   » How I came to my decision?
>
>   » All the evidence collected to support my decision?

Dealing with not yet competent results

A not yet competent judgement means that the assessor will need to organise a meeting to discuss the results with the candidate, and how and when they will be re-assessed.

Re-assessment involves completing only the evidence that was insufficient and/or incomplete. There may be parts of the candidate's Assessment Guide that were completed fully and are competent. It is only the tasks that were not completed sufficiently (fully and to the standard) that need to be re-assessed.

Be sure, as the assessor, to give clear instructions and feedback to the candidate on what they need to do. This should include a plan and may include further training.

Any work that is redone will need to be completed on a new copy of the task in the Assessment Guide, including dates and signatures.

Be sure, as the assessor, to give clear instructions and feedback to the candidate on what they need to do. This should include a plan.

Appeals

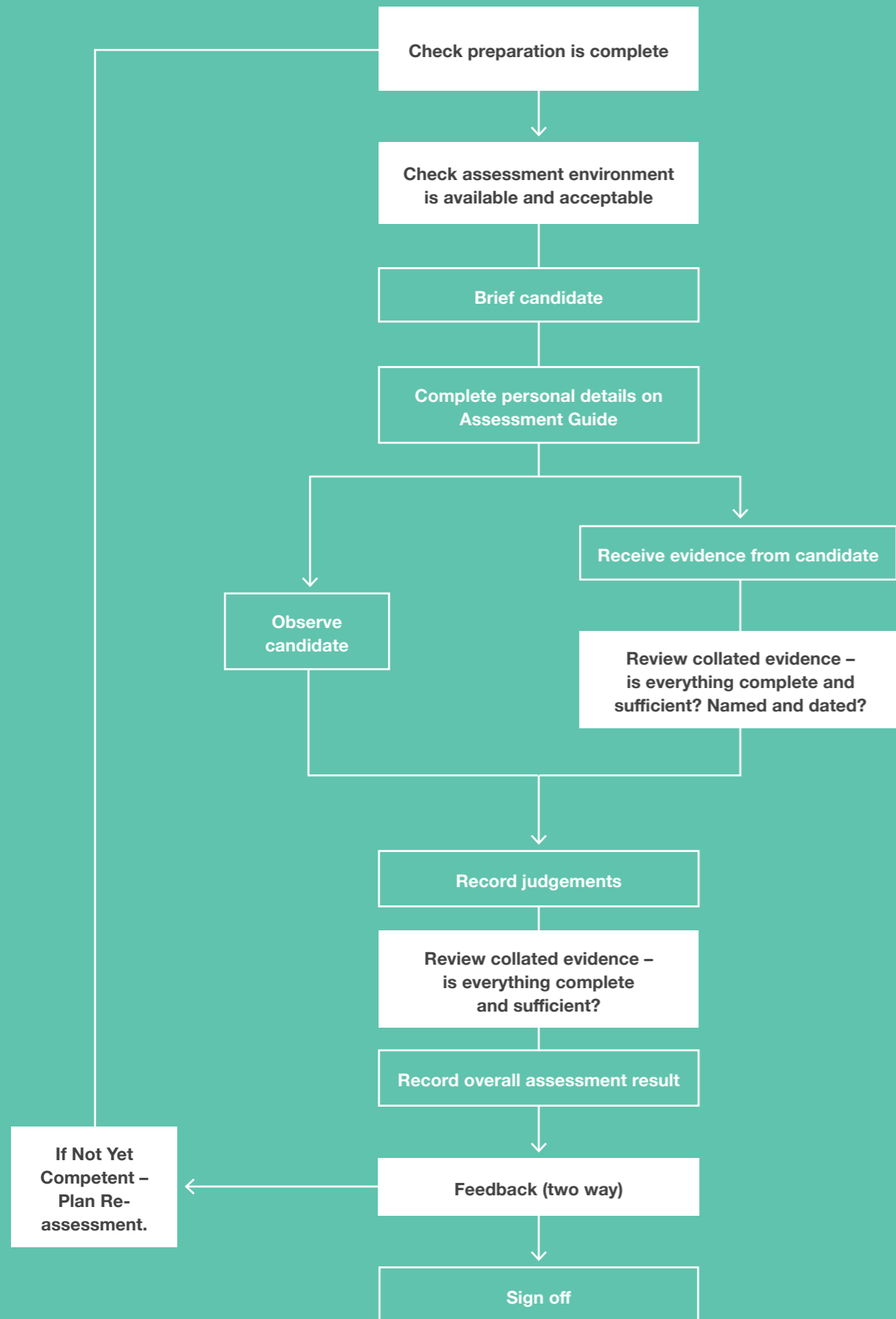You must explain the appeals process to the candidate every time you assess.

Competenz assessment appeal procedure
If a candidate feels any assessment decision is unfair or incorrect they are entitled to appeal.

1	In the first instance, they should raise the matter directly with the assessor(s) to try to resolve any issues.
2	If this is not possible, then the candidate's appeal of the assessment result should be presented to Competenz in writing within ten working days of the assessment date. They must provide specific details to support their appeal.
3	Competenz will investigate the circumstances and make a decision to uphold or rescind the assessment result.
4	The candidate will be contacted and given the result.

Send written appeals to: QA@competenz.org.nz

Figure 11: Conducting Assessment

Check preparation is complete

Check assessment environment is available and acceptable

Brief candidate

Complete personal details on Assessment Guide

Receive evidence from candidate

Observe candidate

Review collated evidence – is everything complete and sufficient? Named and dated?

Record judgements

Review collated evidence – is everything complete and sufficient?

Record overall assessment result

If Not Yet Competent – Plan Re-assessment.

Feedback (two way)

Sign off

Candidate and Assessor   Assessor only

Assessment records

Prepare

Assess

Record

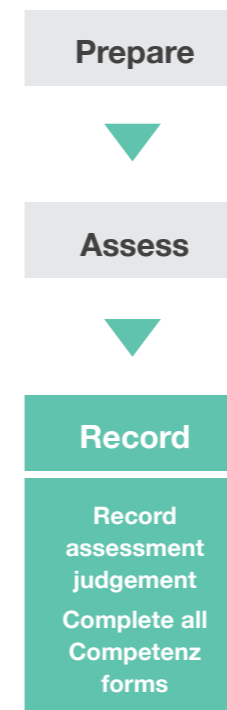Record assessment judgement

Complete all Competenz forms

Figure 12: Preparation details

Figure 13: Completed Workplace Assessment Record Form

How assessment results are recorded

All documentation around assessments builds up a story and a trail of evidence. It is important that you document your assessment and they are up-to-date and clear.

When it comes to recording assessment results:

1

Stamp assessment.

Guides and all relevant supporting evidence.

Make sure you have stamped (with your issued assessor stamp) all relevant Assessment Guide(s) and supporting evidence pages. Ensure the personal information and signatures are complete on the Assessment Guide.

2

Complete and sign.

The Competenz Workplace Assessment Record forms.

Complete the Competenz Workplace Assessment Record Form. Remember to sign it. Send the top copy to Competenz, file the assessor copy, and give the candidate a copy for their records.

3

Store sets.

Of Assessment documents.

Store sets of assessment documents as evidence for moderation purposes. These must be held for at least 12 months.

4

Store assessment results.

Store results. Check with your training manager or manager how the assessment documentation must be kept as per your organisational requirements For example, will the assessment results be stored electronically, and/or in a central filing system? Will copies of results be given to the candidate? Do you need to update the HR system with results?

✓ **Before you start make sure
you have the learner name(s),
unit standards and version
numbers**

✓ **Use Competenz Central to
check the version number
on a learner's training plan
prior to assessing a unit**

✓ **Your learner must be in a
Training Plan!**

✓ **Tick the "Keep me signed in"
box on the home page to
avoid signing in every time**

✓ **In Step 1, use multiple search
fields to narrow down your
search results**

✓ **In Steps 2 and 3, you can
change the order of columns,
add/remove columns and
sort by column**

✓ **Report credits regularly –
small tasks make light work**

✓ **In Step 3, make sure you
change the date assessed!**

✓ **In Step 3, use the "Tick all"
function to select all
assessments for submission.**

Competenz ⓒ Central

Entering assessment results online using Competenz Central

» All assessment results must be
processed online – paper based
results will no longer be accepted

» To access the online tool you'll
need access to Competenz
Central

» Your Account Manager can
request access if you don't
have it.

Entering assessment results online

Competenz Central allows you to:

» Process assessment results

» View invoices (for contract
assessors)

» Check your scope

» Check your learners' progress.

Action centre

You can add "widgets" to show:

1   **My BCIs**
Buyer Created
Invoices for Contract
Assessors

2   **My scope
unit standards**
Unit standards you
have scope to assess

3   **My assessing
companies**
The companies
where you have
access to assess
learners

4   **My assessing
learners**
All of your active
learners and their
complete/incomplete
assessments

Entering assessment results

To enter assessment results is a simple, three step
process:

1   **Search for learners
(or unit standards)**

2   **Select assessments**

3   **Confirm assessments**

For more information

» Check out the Help videos on our website
www.competenz.org.nz/help/how-do-i-enter-results-
on-competenz-central

» Contact your Account Manager or Training Advisor

» Contact our Customer Support Centre on
0800 526 1800 or email czsupport@competenz.org.nz

08

Moderation and appeals

In this section we will cover:

» Moderation of Assessment Guides

» Moderation of assessment conducted by assessors.

Quality Support moderation

What is moderation?

Moderation is a quality control process that is used by Competenz to ensure consistent assessments are being achieved. Moderation helps to maintain consistent standards of assessment and improve assessment practices.

Moderation is also a supportive mechanism for workplace assessors to get constructive and positive feedback on how they are doing.

There are three types of moderation:

» Pre-moderation of Assessment Guides

» Post-moderation of assessments conducted by assessors

» On-site moderation for Forestry assessors specifically.

Moderation of Assessment Guides

Pre-moderation of an Assessment Guide

Ensures that it:

» Covers all the requirements of the version of unit standard(s) it has been written for

» Is at the right level

» Includes content that is accurate, current and relevant for the intended industry.

Other Competenz processes also check and ensure the quality of the assessment design.

This means that the assessor can be assured that using the tool will allow the collection of sufficient evidence. It is completed before the Assessment Guides are made available by Competenz.

If a company, individual, or assessor wishes to use a tool that they have designed, it must also be pre-moderated and approved by the appropriate SSB of the unit standard(s) before use.

Assessors must ensure that any non Competenz Assessment Guides they use have been pre-moderated.

Moderation of an assessment conducted by an assessor

The post-moderation of assessments involves checking the judgement of the assessor to make sure it is valid, consistent, fair, constructive and based on the evidence provided by the candidate.

The main method used is for assessors to send in completed assessments including any supporting documentation when requested to Competenz, who then pass it to a moderator for review.

Please note it is preferred that moderation is submitted electronically. Competenz Quality Support will contact you to inform you of what you need to submit and when.

Moderators check that the decisions assessors make are valid and consistent from one site to another and one candidate to another. In this way moderation helps to maintain national consistency.

Moderation verifies the assessor's decision regarding candidate competency and checks that the assessor had sufficient robust evidence, as required by the range statements and performance criteria for each unit standard, in order to decide whether the candidate is competent or not.

How often will a workplace assessor be moderated?

Assessors will be moderated at least once every year or at the discretion of the Competenz National Moderation Manager. This process provides the assessors with regular constructive feedback on their assessment decisions.

Workplace assessors may also be called for moderation by Competenz based on:

» Frequency of assessments

» If the unit standards are in the moderation cycle

» On request from other SSBs

» As requested by Competenz.

09

Appendices

Appendices contents

Optional tools to assist assessment:

» An assessment preparation checklist. You may find this helpful when first assessing in the workplace, to make sure you are carrying out the key tasks

» An assessment planning meeting form. To be used to document any assessment planning meetings you have with your candidate.

Other:

» Frequently asked questions

» Websites of interest.

Assessor preparation checklist

Candidate

Assessor

Units being assessed

- [ ] The assessor and candidate agree on which unit standard(s) will be assessed and ensures all entry requirements have been met.

- [ ] The unit standard is within the assessor's scope.

- [ ] The assessor has read the assessment material and understands what the requirements are.

- [ ] An assessment planning meeting has been arranged.

- [ ] The assessor ensures the candidate is aware of the assessment requirements and processes including re-assessment and appeals processes.

- [ ] Access to required environmental conditions has been organised.

- [ ] The date and time for any observations have been arranged.

- [ ] The candidate's workplace confirmed and approved the arrangements for assessments.

- [ ] The assessor checks that the candidate is prepared and ready to be assessed before proceeding.

- [ ] The candidate has completed and collected all their evidence required as per the Assessment Guide.

Assessor assessment checklist

Candidate

Assessor

Units being assessed

- [ ] All safety and organisational requirements are met.

- [ ] Physical environment reflects normal work conditions.

- [ ] Candidate briefing completed.

- [ ] Safe work practices are followed.

- [ ] The assessor documents his/her observations.

- [ ] The assessor makes specific comments in regards to the observations.

- [ ] Collect all documented evidence from candidate. (Check the candidate has named all their evidence and additional documentation).

- [ ] Judge the documented evidence and make comments.

- [ ] On review, the candidate has completed all relevant parts of the Assessment Guide.

- [ ] The assessor gives the candidate feedback on the assessment.

- [ ] The assessor has signed and stamped the Assessment Guide and additional evidence documentation.

OR

- [ ] If the assessor judges the candidate to be not yet competent, the assessor has given specific feedback to the candidate indicating what needs to be done for competency and when planning for re-assessment will occur.

Assessor records checklist

Candidate
Assessor
Units being assessed

- [ ] All details and signatures are recorded on the Assessment Guide and it has been stamped.

- [ ] Competenz workplace assessment record form has been filled out.

- [ ] Securely store sets of assessment documents and results for a minimum of 12 months.

Assessment planning meeting

Candidate
Assessor
Units being assessed

Items to be discussed:

- [ ] Assessor has explained their role in the assessment process.

- [ ] The purpose of each unit standard being assessed has been explained.

- [ ] The level and credits of each unit standard have been explained.

- [ ] The elements and requirements of the unit standard were explained. This includes any prerequisites and/or special notes.

- [ ] Candidate explained any knowledge and experience in relation to the unit standard(s).

- [ ] Types of evidence the candidate could collect for each unit standard:
  These are pieces of evidence that the candidate could collect in their workplace, and/or will have carried out in the workplace (e.g. observations).

- [ ] The following resource materials were shown and discussed for each unit standard (e.g. Workbooks, Assessment Guides, etc).

- [ ] Any special needs for the candidate in relation to the assessment of these unit standards have been discussed. If applicable, the following arrangements will need to take place to support their special needs:

- [ ] Other points or questions discussed:

Further planning

The following events are to be arranged:

Event (e.g. further planning meetings, observations etc)	Date to be organised	To be organised by (e.g. assessor, candidate, manager)	Other people to be notified, if applicable (e.g. manager, supervisor)

I _____ (candidate) have met with my assessor and discussed the above points in regards to the assessment process for the above unit standard(s). If I have any questions or doubts, I will contact my assessor on the above phone number (circle):

Agree   /   Disagree

Candidate signature   Date

I _____ (assessor) have met with the candidate and discussed the above points (as ticked). Any changes or arrangements made for this candidate's assessment will be shared with the candidate at least 24 hours before they take effect (circle):

Agree   /   Disagree

Assessor signature   Date

It is recommended that one copy of this sheet is completed and given to the candidate for their records. The second copy should be stored securely and left accessible on the candidate's assessment file for post-moderation for 12 months.

Frequently asked questions

Q: What can I assess?

A: Any unit standard within your assessor scope.

Q: Who can I assess?

A: Anybody in your workplace who is enrolled into a Competenz training agreement, or anybody you have been permitted to assess by contractual or written agreement with Competenz.

If you would like to assess someone who is not in a Competenz training agreement, please discuss this with your Account Manager or Training Advisor first.

Competenz reserves the right to charge an administration fee for credit reporting and costs associated with maintaining an assessor registration where deemed applicable.

Q: How do I extend my assessor scope?

A: You can request your scope to be extended by contacting your Competenz Account Manager or Training Advisor.

Quality Support will consider the request and make a decision based on;

If Competenz is accredited

» Any special requirements needed to assess that unit standard (for example the CMR)

» Your qualifications and experience

» The training plan of your company.

Websites of interest

Competenz
www.competenz.org.nz

NZQA
www.nzqa.govt.nz

For information on NZQF level descriptions, unit standards, qualifications and more.

New Zealand Apprenticeships
www.tec.govt.nz

For information on New Zealand Apprenticeships.

Tools4Work
www.tools4work.co.nz

This is the schools brand of Competenz. It is where students and teachers can find out more about Competenz's industries.

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info@competenz.org.nz

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Skills for industry