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CONTACT
For additional copies of this workbook or details of a copyright licence, contact:

Competenz
PO Box 9005
Newmarket
Auckland 1149

Phone: 0800 526 1800

Website: www.competenz.org.nz

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Moderator Guide

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Contents

Introduction ............................................................................................................................ 1
  Purpose of this Guide ........................................................................................................ 1

Moderation .............................................................................................................................. 3
  What is Moderation? ........................................................................................................ 3
  Benefits of Moderation .................................................................................................... 3
  What do Moderators Do? ................................................................................................. 4
  What Makes an Effective Competenz Moderator? ........................................................... 4
  Who gets Moderated? ...................................................................................................... 5
    Workplace Assessors .................................................................................................. 5
    Other ITOs and Registered Training Providers .......................................................... 5
    Schools ...................................................................................................................... 5
  Who does the Moderation? ............................................................................................ 5

Pre-Moderation ..................................................................................................................... 6
  Pre-moderation checks: ............................................................................................ 6
  Pre-Moderation Process ............................................................................................ 7

Post-Assessment Moderation ............................................................................................ 8
  Assessment Process ................................................................................................. 8
  Assessment Judgement .............................................................................................. 8
  Postal-based Post-Assessment Moderation ................................................................ 9
  Observed Post-Assessment Moderation ..................................................................... 9
  Panel Post-Assessment Moderation ........................................................................... 9
  Post-Moderation Process ........................................................................................... 10

Information to Assist During Moderation ........................................................................ 11
  New Terminology ........................................................................................................ 11
  Assessment Standards (New Format) ........................................................................ 12
  NZQA Levels ............................................................................................................. 13
    Level Descriptors .................................................................................................... 14
  Explanatory Notes ....................................................................................................... 15
  Evidence ........................................................................................................................ 16
    Naturally Occurring Evidence ................................................................................ 16
    Specially Elicited Evidence ..................................................................................... 17
    Historical Evidence ................................................................................................. 17
  Making a Moderation Judgement ................................................................................ 18
    Pre-assessment Moderation Judgement ................................................................ 18
Introduction

As a Competenz registered moderator you will need to:

- Know how assessment works in the workplace.
- Understand common terms, concepts and processes that are unique to your industry and profession, and good assessment practice.
- Apply your technical skills, knowledge and experience.
- Possess a range of administration, communication and people skills.

Purpose of this Guide

This guide has been created to support you in your activities as a moderator. It will give you information on:

- What moderation is.
- Roles and responsibilities of key stakeholders.
- Guidance for moderators conducting and completing moderation.
- Other useful information.

This guide is intended to be used both as a tool for moderator training, and as an on-going reference.
Moderation

What is Moderation?

Moderation is the quality assurance process.

The purpose of moderation is to provide assurance that assessment is fair, valid and at the national standard, and that the assessors are making consistent judgements about learner performance. Moderation also helps to improve assessment practices.

As a Standard Setting Body (SSB), Competenz has a legislative mandate to quality assure all users of assessment standards that are managed or used by them. This is done with the help of our moderators.

Benefits of Moderation

Moderation:

- Ensures that our industry training and assessment practices maintain international credibility.
- Ensures providers of training, such as schools, polytechnics and private training companies meet the minimum required standard set by Competenz, with the help from industry.
- Moderation is a supportive mechanism to give workplace assessors constructive feedback on how they are doing.
- It is also a mechanism for continuous improvement of the content of assessment standards and the design of the assessment tools.

Figure 2: The Learning Process
(Source: Competenz, 2010)
What do Moderators Do?

Moderators are an objective third party involved in the quality assurance of assessment material and assessments. They:

- Quality assure assessment tools prior to use.
- Review the assessment and supporting evidence presented.
- Provide feedback on good practice, and may make recommendations for improvement.

Moderators are assigned a ‘scope’, which determines which domains and/or unit standards they can moderate based on their qualifications, skills and experience.

Competenz monitors the quality of assessments by analysing moderator decisions and feedback. This helps ensure consistency between workplace assessors and providers over time.

What Makes an Effective Competenz Moderator?

An effective Competenz moderator:

- Is an experienced and active workplace assessor, or tutor with a good moderation history.
- Has appropriate experience and qualifications for the area they wish to moderate.
- Is open to innovation in assessment material and techniques.
- Views moderation as a method for both compliance and continuous improvement of assessment standards, material, and practices for the industry.
- Is comfortable communicating directly and constructively with workplace assessors when needed to clarify an assessment decision.
- Declares any conflict of interest they may have with assessment material sent to them for moderation.
- Clearly understands the difference between pre-assessment and post-assessment moderation.
- Makes clear and consistent moderation judgements.
- Provides helpful feedback to the assessor that enables them to improve their assessments.
- Returns moderated assessments back to Competenz in a timely manner.
Who gets Moderated?

Workplace Assessors
Workplace assessors are moderated by Competenz on a regular basis. The timing is based upon their assessment activity, the types of assessments being assessed, and the Competenz annual moderation plan.

Almost all workplace assessors are volunteers, with the assessor function on top of their normal duties or role. Competenz must ensure they are treated well and find participating in assessment rewarding.

Figure 3: Assessor Stamp
(Source: Competenz, 2010)

Other ITOs and Registered Training Providers
Other ITOs, polytechnics, government training establishments, and private training establishments that use assessment standards and qualifications managed by Competenz are also moderated.

Post-assessment moderation is the main method for moderating external organisations. The type of assessments to be moderated, and the number of samples requested, is based on the report of assessment standards registered by that organisation in the previous quarter.

Schools
Competenz has developed separate assessment standards, assessment tools and a qualification for schools.

Where a school is using one of these specially developed qualifications, Competenz uses experienced, trade-qualified teachers to moderate other high schools and colleges in the school's region. This is co-ordinated by the National Moderator for Schools.

Schools that use assessment standards originally developed for industry are subjected to the same moderation processes as other providers. This maintains consistency between both schools and industry.

<table>
<thead>
<tr>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Moderation of Assessment Tools</strong></td>
</tr>
<tr>
<td>New or revised assessment tools must be pre-moderated before they are used.</td>
</tr>
</tbody>
</table>

Who does the Moderation?

Moderation is completed by trained and registered moderators who have the appropriate scope and expertise. Moderators are assigned by the Competenz Quality Assurance team.

Competenz uses independent external moderators - most often for postal and panel moderation - and a system of inter-team peer moderation by Competenz personnel which typically includes a combination of postal and/or observed moderation and discussion.
Pre-Moderation

Pre-moderation is the quality assurance of assessment material that has been designed for an assessment standard prior to its use.

Pre-moderation checks:

<table>
<thead>
<tr>
<th>Unit Standard Coverage</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Unit Standard (title etc.)</td>
</tr>
<tr>
<td>• Purpose</td>
</tr>
<tr>
<td>• Explanatory Notes</td>
</tr>
<tr>
<td>• Outcomes, Evidence Requirements, and Ranges</td>
</tr>
<tr>
<td>• Level</td>
</tr>
<tr>
<td>• Assessment methods</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Industry Expectations of Content</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Technical accuracy</td>
</tr>
<tr>
<td>• Use of technical terms and jargon</td>
</tr>
<tr>
<td>• Relevance to industry</td>
</tr>
<tr>
<td>• Currency</td>
</tr>
<tr>
<td>• Logical sequence / flow</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Assessment Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Assesses expected outcomes</td>
</tr>
<tr>
<td>• Instruction clarity/completeness</td>
</tr>
<tr>
<td>• Sufficient guidance to make assessment judgment</td>
</tr>
<tr>
<td>• Correct level of skill/knowledge application.</td>
</tr>
<tr>
<td>• Assessment Guide matches Model Answer</td>
</tr>
</tbody>
</table>

Competenz assessment material undergoes an editing process and instructional design quality check by the Competenz Resource Development team. This happens prior to submission for pre-moderation, and after any changes made as a result of pre-moderation.

Resource Development Quality Check cover:

<table>
<thead>
<tr>
<th>Editing</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Presentation, formatting</td>
</tr>
<tr>
<td>• Spelling, grammar</td>
</tr>
<tr>
<td>• Clarity and completeness</td>
</tr>
<tr>
<td>• Recording requirements</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Instructional Design</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Language, sentence structure</td>
</tr>
<tr>
<td>• Assessment methods</td>
</tr>
<tr>
<td>• Sequence and flow</td>
</tr>
<tr>
<td>• Type and level of skills required</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Content</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Unit standard coverage</td>
</tr>
<tr>
<td>• Complimentary learning and assessment</td>
</tr>
<tr>
<td>• Suitable level of learning, literacy and numeracy skills</td>
</tr>
</tbody>
</table>
Pre-Moderation Process

Material received from Competenz

Initial review: OK to moderate this?

Check unit standard details transferred on to assessment tools correctly.

Check unit standard coverage using the evidence map and a high-level review of the evidence collected.

Check the content (instructions, questions and model answers) to ensure it meets industry expectations and is of a quality assessment.

Check the learning material (if supplied) supports the assessment.

Check that listed supplementary and alternative evidence are appropriate.

Make notes on good practice, items that need to be corrected and suggested improvements.

Decide the pre-moderation outcome.

Complete the report and claim form. Send to Competenz.

Respond to requests for clarification from Resource Developers (if required).

Competenz sends:
Unit standard/s
Assessment Guide/s
Model Answers or Trainer Guide
Pre-moderation report form
Claim form
Workbook (optional)

Do a quick high level review to get an idea of what you have been asked to do. If you do not feel you will be able to do a good job at moderating the material, please return it to Competenz promptly, so that it can be re-issued to another moderator.

Unit details (title etc.)
Explanatory Notes
Pre-requisites

Purpose
Level
Outcomes, Evidence Requirements, and Ranges
Assessment methods
Contact the QA team if you need clarification on the interpretation of unit standard requirements.

Technical accuracy
Use of technical terms and jargon
Relevance to industry
Currency
Logical sequence / flow
Assesses expected outcomes
Clarity and completeness of instructions
Sufficient guidance to make assessment judgment
Assessment Guide matches Model Answer

Learning material provides content needed to complete assessment.
Learning check questions content are checked (as above) and distinct from the assessment questions.

You have four choices:
Approved
Minor Changes Required
Significant Changes Required
Second Opinion Requested
Please refer to ‘Making a Moderation Judgement’

No

Yes

Return material to Competenz.
Post-Assessment Moderation

**Key Point**
Post-assessment Moderation (post-moderation) is the quality assurance of the:

- Assessment process.
- Judgement made by the assessor / tutor / teacher.

The key principles that you as a moderator need to consider are:

**Assessment Process**

- **Fair** - the assessment method did not unfairly advantage or disadvantage anyone.
- **Constructive** - includes clear and constructive feedback to the candidate and comments about the process used.
- **Recorded** - records of the evidence and judgement are accurate and complete.

**Assessment Judgement**

- **Relevant** - relates to what the assessment tool asks for.
- **Authentic** - it is the candidates own work.
- **Sufficient** - there is enough evidence to make a judgement.
- **Accurate** - evidence is technically correct.
- **Current** - evidence is up-to-date.

Judgement reflects the quality of evidence.

The assessment standards to be moderated are selected by Competenz, based on the annual moderation plan and moderation requests from other SSBs. Post moderation ensures that the assessment that took place met the requirements of the standard and the expectations of the industry.
The post assessment moderation process uses four different methods.

Postal-based Post-Assessment Moderation

This is the most common method.

The workplace assessor or provider is asked to submit the selected assessments to Competenz via post. Competenz selects and contacts a moderator and couriers the assessments for moderation. Moderation is carried out. Material is returned to Competenz. Competenz records the result and then returns the moderated material to the workplace assessor or provider, and is followed-up if needed.

Observed Post-Assessment Moderation

- This method is used frequently by Competenz when coaching new workplace assessors and trialing new assessment guide formats.
- The designated moderator is on site with the workplace assessor at the time of, or shortly after, the assessment.
- The workplace assessor and the candidate get live feedback and tips on their assessment, the process, and the supporting evidence used.

Panel Post-Assessment Moderation

- Reserved as an option for higher level assessment standards (level 5 and above).
- Moderation is completed by a panel of selected moderators and a collective, or majority, decision made.
- The panel may include industry experts and/or tutors.
- Helps reduce variation in assessment decisions and maintain the integrity of assessment, ensuring industry expectations are met.
- Schools based assessments may also be panel moderated to support consistency.

Figure 4: Getting live feedback
(Source: Competenz, 2010)

Figure 5: Panel Moderation
(Source: Competenz, 2010)
Post-assessment is about verifying the assessment process and the assessment decision made by the workplace assessor or tutor.

1. Material received from Competenz
2. Initial review: OK to moderate this?
   - Yes: Return material to Competenz Quality Assurance team.
   - No: Return material to Competenz.
3. Have the assessment tools been pre-moderated?
   - Yes: Advise Competenz Quality Assurance team.
   - No: Do a quick high level review to get an idea of what you have been asked to do. If you do not feel you will be able to do a good job at moderating the material, please return it to Competenz promptly, so that it can be re-issued to another moderator.
4. Review the pre-requisites, assessment instructions, conditions, and evidence requirements.
5. If a pre-requisite exists, does the candidate hold it?
   - Yes: Check the evidence provided meets the assessment instructions, conditions and evidence requirements.
   - No: Note on the post-moderation report. Final judgement will be Fail.
6. Judge if correct assessment decisions were made based on the evidence presented.
7. Check if the assessment records are accurate and complete.
8. Make notes on good practice, items that need to be corrected and suggested improvements.
9. Decide the post-moderation outcome.
   - You have two choices:
     - Meets the standard.
     - Does not meet the standard.
   - Please refer to 'Making a Moderation Judgement'.
10. Complete the report and claim form. Send to Competenz.
11. Respond to requests for clarification from The Quality Assurance Team (if required).

If the instruction and conditions are unclear make a note to be sent in with your post moderation report so that this can be addressed in the continuous improvement of the assessment tools.

Note: "Recommended" means this is not compulsory.
If the Pre-requisite is not held, but says "or demonstrated equivalent skills and knowledge", is there supporting evidence of this?

If you have any queries, feel free to contact the Assessor to discuss these prior to making your moderation judgement.

Be specific, constructive and factual.

You have two choices:
- Meets the standard.
- Does not meet the standard.

Please refer to 'Making a Moderation Judgement'.

Competenz sends:
- Unit standard/s
- Completed Assessment Guide/s
- Any alternative or supplementary evidence
- Model Answers or Trainer Guide
- Record of Learning
- Post-moderation report form
- Claim form
- Workbook (if available)

If a pre-requisite exists, does the candidate hold it?
- Yes: Check the evidence provided meets the assessment instructions, conditions and evidence requirements.
- No: Note on the post-moderation report. Final judgement will be Fail.

If you have any queries, feel free to contact the Assessor to discuss these prior to making your moderation judgement.

Be specific, constructive and factual.

You have two choices:
- Meets the standard.
- Does not meet the standard.

Please refer to 'Making a Moderation Judgement'.
Information to Assist During Moderation

NZQA made several changes to the National Qualifications Framework in 2010-2011. The information below will help you to understand these changes and where to find the relevant information in the new system.

It will also provide a reference as to what to look for when both pre- or post-moderating an assessment.

New Terminology

<table>
<thead>
<tr>
<th>Old / Current Terminology</th>
<th>New Terminology</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accreditation</td>
<td>Consent to assess</td>
</tr>
<tr>
<td>Element</td>
<td>Outcome</td>
</tr>
<tr>
<td>Performance Criteria (PC)</td>
<td>Evidence Requirements (ER)</td>
</tr>
<tr>
<td>Special Notes</td>
<td>Explanatory Notes</td>
</tr>
<tr>
<td>Competent</td>
<td>Achieved</td>
</tr>
<tr>
<td>National Qualifications Framework (NQF)</td>
<td>New Zealand Qualifications Framework (NZQF)</td>
</tr>
<tr>
<td>NZ Register of Quality Assured Qualifications / KiwiQual</td>
<td>Directory of Assessment Standards (DAS)</td>
</tr>
<tr>
<td>‘National’ Diploma or ‘National’ Certificate</td>
<td>‘New Zealand’ Diploma and ‘New Zealand’ Certificate</td>
</tr>
</tbody>
</table>

Key Point

The changes to terminology will apply to all standards, qualifications and documents that are new or revised from July 2010 onwards.

Older items will continue to exist in their current format until they are revised or deleted. This means that both sets of terminology will be in use for some time.
Assessment Standards (New Format)

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

The grade awarded for successful completion of this unit. *Achieved* (instead of 'Competent').

'Explanatory notes' is the new name for 'Special notes'. These notes share information to help assessors interpret the standard. They can also indicate any special assessment requirements or conditions.

In the footer of each page of the unit, is the name of the SSB. In this example the creator / setting body for this unit is NZQA.

Any queries you have about this unit can be addressed directly with the SSB. Their contact details are found on the last page of the unit.

'Outcome' is the new name for 'Element'. An Outcome is a specific task or behavior that the candidate must prove they KNOW and/or can DO.

'Ranges' are the same, and can apply to the Assessment Standard, or an Outcome or an Evidence Requirement. A range indicates the breadth or extent of the evidence required.

‘Explanatory notes’ is the new name for ‘Special notes’. These notes share information to help assessors interpret the standard. They can also indicate any special assessment requirements or conditions.

‘Evidence requirements’ (ER) is the new name for ‘Performance criteria’ (PC). ERs outline ‘how well’ the candidate is to demonstrate the outcome. There may be one or more ERs per Outcome.

NZQA registered unit standard

**Title**: Demonstrate care and timeliness as an employee

**Level**: 1  **Credits**: 4

**Purpose**: People credited with this unit standard are able to describe and demonstrate care and timeliness as an employee.

**Classification**: Core Generic > Work and Study Skills

**Available grade**: Achieved

NZQA National Qualifications Services  © New Zealand Qualifications Authority 2011

SSB Code 130301

**Outcome 1**: Describe care and timeliness as an employee.

**Evidence requirements**

1.1 Personal presentation requirements are described in terms of suitability for the work performed and meeting occupational standards including those for safety.

Range requirements include – clothing, footwear, grooming, hygiene.

1.2 Appropriate use of language in relating to supervisors, co-workers, customers and/or visitors is described in accordance with workplace requirements.
Figure 6: Unit Standard Breakdown (New Format)
(Source: NZQA, Competenz, 2011)

NZQA Levels

- **Basic Skills and knowledge**
  - 1: Works under supervision on familiar processes, with no responsibility for others.
  - 5: Takes responsibility for personal and group outcomes.

- **Technical Skills and Knowledge**
  - 1: Makes original contributions to knowledge through research.
  - 5:

- **Mastery of subject area**
  - 10:

Previously issued Trade Certificates are Level 4, Advanced Trade Certificates are Level 5.
# Level Descriptors

These level descriptors will assist you making a judgement on the suitability of the required evidence that has been set out in the assessment material during pre-moderation.

<table>
<thead>
<tr>
<th>Level</th>
<th>Knowledge</th>
<th>Skills</th>
<th>Application (of knowledge and skills)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Basic general and/or foundation knowledge.</td>
<td>Apply basic solutions to simple problems. Apply basic skills required to carry out simple tasks.</td>
<td>Highly structured contexts. Requiring some responsibility for own learning. Interacting with others.</td>
</tr>
<tr>
<td>2</td>
<td>Basic factual and/or operational knowledge of a field of work or study.</td>
<td>Apply known solutions to familiar problems Apply standard processes relevant to the field of work or study</td>
<td>General supervision. Requiring some responsibility for own learning and performance. Collaborating with others.</td>
</tr>
<tr>
<td>3</td>
<td>Some operational and theoretical knowledge in a field of work or study.</td>
<td>Select and apply from a range of known solutions to familiar problems. Apply a range of standard processes relevant to the field of work or study.</td>
<td>Limited supervision. Requiring major responsibility for own learning and performance. Adapting own behaviour when interacting with others. Contributing to group performance.</td>
</tr>
<tr>
<td>4</td>
<td>Broad operational and theoretical knowledge in a field of work or study.</td>
<td>Select and apply solutions to familiar and sometimes unfamiliar problems. Select and apply a range of standard and non-standard processes relevant to the field of work or study.</td>
<td>Self-management of learning and performance under broad guidance. Some responsibility for performance of others.</td>
</tr>
<tr>
<td>5</td>
<td>Broad operational or technical and theoretical knowledge within a specific field of work or study.</td>
<td>Select and apply a range of solutions to familiar and sometimes unfamiliar problems. Select and apply a range of standard and non-standard processes relevant to the field of work or study.</td>
<td>Complete self-management of learning and performance within defined contexts. Some responsibility for the management of learning and performance of others.</td>
</tr>
<tr>
<td>6</td>
<td>Specialised technical or theoretical knowledge with depth in a field of work or study</td>
<td>Analyse and generate solutions to familiar and unfamiliar problems. Select and apply a range of standard and non-standard processes relevant to the field of work or study.</td>
<td>Complete self-management of learning and performance within dynamic contexts. Responsibility for leadership within dynamic contexts.</td>
</tr>
</tbody>
</table>
Explanatory Notes

Explanatory notes were previously known as ‘special notes’. It is important that you are aware of all the explanatory notes that exist within the standards you are moderating. When using Competenz assessment tools, these have been taken into account and are listed in the ‘assessment requirements’ section of the model answers.

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

- “In accordance with organisational procedures” (or the like).
- “Legislation relevant to this unit standard”.
- Codes of Practice.
- Manufacturer’s specifications.
- Any special conditions when undertaking the assessment.

“In accordance with organisational procedures” (or the like) 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.

Other documents, especially legislation, relevant to a standard will be given in the explanatory notes section. It is important you (and the assessor) are familiar with all of the legislation, Codes of Practice and other documents listed, and their relevance to the criteria in the standard.

The assessment process used and the candidate’s performance should reflect the requirements under these other documents. Listing these items does not mean that the candidate needs to be tested on their knowledge of them.

Figure 7: Organisational procedures
(Source: Competenz, 2010)
Evidence

Evidence will take one of three forms:

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 naturally occurring 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 e.g. forms, production sheets, etc.
  - Company training records.

Figure 8: Naturally occurring evidence
(Source: Competenz, 2010)
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).

![Figure 9: Personal narrative](Source: Competenz, 2010)

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 (APL).

---

Key Points

Evidence is the proof that a candidate KNOWS and / or can DO something.
Making a Moderation Judgement

Most of the time it is reasonably straight-forward to make a decision, however, not every assessment is clear cut.

The information below will help you make your judgement.

Pre-assessment Moderation Judgement

There are four options:

- Approved.
- Minor Changes Required.
- Significant Changes Required.
- Second Opinion Requested.

**Minor changes** require approval by the Competenz Moderation Manager, e.g.

- Wording changes that do not significantly change the intent or meaning of the content.
- Editing changes.

**Significant changes** require full re-moderation by the external moderator, e.g.

- Assessment material does not meet the required performance criteria of the assessment (unit) standard, i.e. level, coverage, sufficiency (over/under).
- Compromises the candidate’s ability to pass the assessment.
- Compromises the assessor’s ability to conduct the assessment effectively and consistently and/or judge the assessment evidence.

**Second Opinions**

If you have pre-moderated and assessment tool, and “just can’t quite put a finger on what’s wrong”, you may wish to request a second opinion.

Please note: This process increases the time and costs involved in pre-moderation, and should be used sparingly. It is expected that you will have attempted to gain clarification by discussing the assessment with the resource developer prior to making this judgement. However, if you have done this and are still unsure, it is better to get a second opinion.

The assessment tools and your pre-moderation report will be sent to the Moderation Manager for consideration.
Post-assessment Moderation Judgement

There are two options:

- Meets the standard.
- Does not meet the standard.

If you find it difficult to make a moderation judgement, sometimes it is a good idea to consult with another Competenz moderator, and/or ask the assessor or organisation to provide supplementary evidence or clarification.

---

**Approved with no recommendations**

- Assessment process was fair, constructive and correctly recorded.
- Evidence was relevant, sufficient, current, accurate and authentic.
- Assessors judgement reflects the evidence and meets the unit standard requirements.

**Approved with recommendations / feedback**

- Can holistically see that the candidate has achieved, but evidence and/or records are unclear or incomplete.
- Given your professional expertise, can make assumptions sufficient to make a judgement.
- May have clarified understanding by discussion with the Assessor (notes attached to report).

**Does not meet the standard**

- Does not meet the requirements of the unit standard/s, OR
- Evidence and/or records are unclear, incomplete, inconsistent, not relevant to the industry, or do not appear to be authentic.
Giving Feedback

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

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

Feedback needs to be:

- Relevant
- Specific
- Factual

Key Point

Remember that an assessor or provider has the right to appeal your moderation decision.

Make justifiable comments on relevant items.

When giving feedback, remember that almost all workplace assessors are volunteers, with the assessor function on top of their normal duties or role. Competenz must ensure they are treated well and find participating in assessment rewarding. Your feedback should help them to improve their assessment practice.
Learning and Assessment Tools

Competenz has been actively standardizing the assessment tools supplied to industry. Please note that the examples / excerpts over the following pages may be missing (or have extra) features to the specific tools you may be using. They are provided as a guide only.

Assessment Guides

Assessment Guide

The first section shows the name of the course / module, and all the units (including the domain they fall under, the level and number of credits).

In this example, Competenz has integrated 4 units.

The Personal Details section allows the candidate, assessor, and verifier (if used) to record their details.

The Assessment Results section is only found in assessment guides that integrate the collection of evidence for more than one standard.

It shows which evidence (listed down the left) relates to each standard, and allows the assessor to record on-going / partial progress.

Blank cells are used to record the date when the evidence was completed.
It is important that all parties sign, and the Assessor stamps, the **Assessment Sign-off** section to show they agree with the overall assessment result.

For assessment guides covering only one standard, this also includes the Assessment Result.

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

---

**Assessment Requirements**

**Conditions and Instructions**

All tasks must be demonstrated according to organisational and legislative requirements. Assessment of observed evidence is to be completed after observation of ongoing competency.

19506 This standard refers to operator personal quality checks (POCs) performed at each stage of the manufacturing process to ensure defective products are not passed to subsequent stages, and will usually be limited to simple visual, physical or dimensional checks on products.

21330 In this unit standard calculators and/or conversion tables may be used to assist in calculations.

All work practices must meet recognised codes of practice and documented worksite safety procedures (where these exceed code) for personal, product, and worksite safety, and must meet the obligations required under current legislation.

9677 This unit standard must be assessed on the basis of evidence of demonstrated and repeatable performance in a real situation, which may include but is not limited to the candidate’s workplace. This may include off-job simulated situations that demand performance equivalent to that required in the real situation. A real situation is a natural part of the candidate’s life and has not been artificially created for assessment purposes.

This unit standard is about working with other people in a group/team. While the objective(s) should be generally agreed to be achievable, meeting the group/team objective(s) is not a requirement for award of credit.

All activities must comply with any policies, procedures, and requirements of the organisation is involved; the ethical codes of relevant professional bodies; and any relevant legislative and/or regulatory requirements.

Note that 'All tasks must be demonstrated according to organisational and legislative requirements' AND 'Assessment of observed evidence is to be completed after observation of ongoing competency’. Both of these conditions apply to all Competenz assessments.

It will also list any relevant definitions.
Observation Checklists look something like this.

Unless stated otherwise, each item on a checklist is expected to be observed and ticked if competent.

They may also ask for multiple observations, in which case they will probably also ask for extra details such as each observation date.

If a verifier is used they must sign the Verifier Sign-off section. It is useful if they also add comments, but this is not mandatory.

The assessor must make the final judgement as to whether or not the candidate is ‘competent’, and complete the Assessor Sign-off. It is also good practice give feedback in Assessor Comments. The assessor will also need to record their assessment judgement for this evidence (i.e. Observation) on the front page of the candidate’s Assessment Guide – Assessment Results.
The *Questions* worksheets may be filled in by the candidate, or the assessor may ask the questions orally and mark down the answers. The chosen option must be indicated at the top of the sheet.

If answers are written by someone other than the candidate, it must be clear to the assessor that someone else wrote the answer(s). Best practice is to encourage the writer (other than the candidate) to initial and date next to each answer they have recorded (verbatim) for the candidate.

Questions may be presented using a wide range of questioning styles e.g. basic questions and blank for answers, multi-choice, fill-in-the-gaps, complete this table, etc.

A tick-box is provided to the right of each question for marking purposes. A tick means the candidate has competently completed all parts of the question.
The assessor needs to include their comments and complete the **Sign-off** at the bottom of each question sheet.

The candidate will also need to sign off once they have been assessed. This is to signify that they have had their assessment result discussed with them.

The assessor will also need to record their assessment judgement for this evidence on the front page of the candidate’s Assessment Guide – Assessment Results.

Assessment guides may also contain one or more **Task Sheets**, where the candidate carries out a task and records their actions / results.

As for the observation checklist, there is also Verifier and Assessor Comments and Sign-off (not shown).

The assessor will also need to record their assessment judgment for this evidence on the front page of the candidate’s Assessment Guide – Assessment Results.
Model Answers

As this assessment is part of a course ('Quality At Work'), these model answers would be found in the course Trainer Guide.

The details of all the units integrated for this course are listed.

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

Some suggestions for Alternative or Supporting Evidence are given as a guide to the assessor, should the assessor or the candidate choose to use these.
The Assessment Conditions
(originally found in various places on standards) and instructions for completion of the assessment are summarised clearly here.

Requirement Documentation
includes documents the assessor needs to be familiar with in order to make effective judgements.

Definitions explain any specialist words or terms in the assessment.

Be careful to check if there are any pre-requisite unit standards that must be achieved before beginning this assessment. If there are no pre-requisites listed, it indicates that there are no pre-requisites / entry information.

Assessment Requirements

Conditions and Instructions
All tasks must be demonstrated according to organisational and legislative requirements. Assessment of observed evidence is to be completed after observation of ongoing competency.

19506 This standard refers to operator personal quality checks (PQCs) performed at each stage of the manufacturing process to ensure defective products are not passed to subsequent stages, and will usually be limited to simple visual, physical or dimensional checks on products.

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This unit standard is about working with other people in a group/team. While the objective(s) should be generally agreed to be achievable, meeting the group/team objective(s) is not a requirement for award of credit.
All activities must comply with any policies, procedures, and requirements of the organisation/s involved; the ethical codes of relevant professional bodies; and any relevant legislative and/or regulatory requirements.

Requirement documentation relevant to the assessment of this unit includes:
• Legislation relevant may include but is not limited to the: Health and Safety in Employment Act 1992; Resource Management Act 1991; Hazardous Substances and New Organisms Act 1996.
• Product specifications.
• Worksite and company procedures and requirements.

Definitions
Company procedures refer to documents and procedures that include company rules, codes and practices; equipment operating instructions; and health and safety requirements.
Function – the activities of the group/team, how it operates.
Job breakdown guide (JBG) refers to a set of instructions used by the operator to undertake a particular process, which includes information on quality and safety related to the process.
Participate – means to take part in, be part of a group/team working towards achievement of objective(s), under direction and supervision.
Quality values refer to beliefs or philosophies that form core quality policy of particular enterprises.
Systems improvement opportunities (SIO) relate to changes to machine, equipment, product or processes that may lead to improved performance in areas including but not limited to: quality, safety, cost, efficiency and equipment reliability.
Worksite procedures refers to documents that include: worksite rules, codes, and practices; equipment operating instructions; documented quality management systems; and health and safety requirements.

Pre-requisites
The Unit Standard Evidence Map shows which questions, tasks and observations act as evidence for which unit standard PC/ER for all units aligned to the course/module.

This helps you to better understand why a candidate is asked to carry out a certain task, answer questions, or be observed in the workplace.

(Excerpt shown only)

The Model Answers replicate the questions and task sheets in the Assessment Guide. Where there is only one possible correct answer, this is shown. Where answers may be more varied / subjective, an instruction is provided to help guide assessors in how to make an appropriate judgement. Example answers may also be given.

Model answers are in blue, Comic Sans.

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### Unit Standard Evidence Map

<table>
<thead>
<tr>
<th>PC</th>
<th>Evidence</th>
<th>No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>19506 v3</td>
<td>Demonstrate knowledge of company quality policy on a manufacturing site.</td>
<td></td>
</tr>
<tr>
<td>Element 1: Describe quality values and policies of a company in a manufacturing environment.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Company quality values are described without reference to information sources.</td>
<td>Questions 1</td>
<td>7</td>
</tr>
<tr>
<td>Range: May include but is not limited to – conformance to requirements, zero defects, empowering individuals, PQC, continuous improvement, right first time, customer driven.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2 Company quality tools are described without reference to information sources.</td>
<td>Questions 2</td>
<td>1, 2c</td>
</tr>
<tr>
<td>Range: May include but is not limited to – PQC, first off last off, gauges, job breakdown guide.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Element 2: Perform company quality procedures.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1 Operator personal quality checks are performed according to company procedures.</td>
<td>Observation</td>
<td>7</td>
</tr>
<tr>
<td>2.2 System improvement opportunities are identified and documentation completed according to company procedures.</td>
<td>Observation</td>
<td>8, 9</td>
</tr>
<tr>
<td>2.3 Job breakdown guides are located and implemented to ensure quality according to company procedures.</td>
<td>Observation</td>
<td>10</td>
</tr>
<tr>
<td>21330 v2 Perform calculations for manufacturing production processes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Element 1: Perform calculations for manufacturing production processes.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Product calculations are completed in accordance with workplace procedures and requirements.</td>
<td>Questions 3</td>
<td>2, 3, 4</td>
</tr>
<tr>
<td>Range: Product calculations may include but are not limited to – metric to imperial and/or imperial to metric conversions, fractions, measurements, weights, volumes, dimensions, tolerances: Evidence of two types of product calculations is required.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Assessment Model Answers

#### Questions 1: Your Workplace

**Questions and Model Answers**

**Note:** Questions 1 – 6 relate to the one team/group you have named in question 1.

1. What is the name of the team/group you work in?
   - Examples of a team/group you may be a member of at work may include:
     - Your production line
     - A work committee
     - A special project team
   - The name of the team/group is given. Examples may include, but are not limited to: Social Committee, Health and Safety Committee, the name of their Production Line (or department name).

2. Give at least one (1) objective that this team/group is working towards.
   - Answer given is an objective. At least one objective is given. The objective is a likely objective/goal for the team/group they are working in.
Appeals, Monitoring and Development

Appeal of Moderation Decisions

All workplace assessors and registered training providers have the right to appeal your moderation decision. The most common cause of an appeal is the lack of clarity or the destructiveness of the feedback given.

Should this occur, the Moderation Manager will investigate. The final decision on the outcome and recommendations for improvement will be made by the Compliance Manager. Moderated assessments with a negative result will be re-evaluated by the Moderation Manager prior to being returned.

Any assessments that are seriously flawed will be followed up directly by the Moderation Manager or a delegated field staff member for rectification and measures put in place to minimize the risk of a repeat result.

Where possible, the first moderator will be contacted on the actions taken and decisions made to close the feedback loop.

Moderator Performance Monitoring

Competenz monitors all moderation results and times taken to moderate.

From time to time, Competenz may send all active moderators a staged assessment to moderate. This allows us to benchmark moderator activities.

Professional Development

As a moderator, to maintain your own moderation skills it is encouraged that:

- You keep up to date with your own industry developments.
- You attend any Competenz workshops that may be run in your area.

Figure 12: Professional Development session
(Source: Competenz, 2010)
Obligations and Administration Information

This section provides the information around the obligations and administration of being a Competenz moderator.

Privacy Act and Conflicts of Interest

Competenz Registered Moderators may work with any number of public or private enterprises provided they comply with the Privacy Act 1993 to protect the interests of all parties.

Competenz and external moderators are required to ensure the security and confidentiality of assessment material and candidate work received for moderation. Material submitted for pre-moderation will be received in confidence and treated in a manner that respects the owners’ intellectual property.

As representatives of Competenz, moderators are obliged to disclose any commercial or personal interest in an organisation that may present a conflict of interest.

Should you receive any assessments to moderate from an assessor who works for a local competitor, return it to Competenz, so it can be sent to another moderator.

Turn Around of Work

It is expected that the time taken to pre-moderate a set of assessment tools is no longer than 2 weeks.

It is expected that the time taken to moderate a batch of assessments sent to you as a moderator will take no longer than 4 weeks.

Quality Assurance will contact you to check if you are available to moderate before sending a batch to you, particularly if it is a large batch of multiple assessments.

Renumeration

Competenz pays moderators a nominal hourly rate for their services.

It is your responsibility to ensure that you complete the claim form accurately and submit it with the completed moderation.

Competenz also reimburses moderators for any toll / cell phone calls to assessors or providers that were used to clarify the moderation. These can be claimed back on the same claim form as your hours.

Any travel that is requested by Competenz will be arranged and paid by us or reimbursed on actual and reasonable costs (e.g. mileage).

There are two ways we can issue payment to you;

1. As an individual person.
2. As a registered company.

This is, or will have been, set up with you upon registration as a moderator with the Quality Assurance Team.
Payments are done by the finance team, directed credit to your nominated bank account. For individuals, this is done monthly during the Competenz salary run on the 15th. For those trading as a company, this is done on, or before, the 20th of the month following the invoice. Competenz team members participating in internal Peer Moderation are not paid over and above their salary for moderation.

**Key Point**

Remember to update the quality assurance team of any changes of details as soon as possible so we can update our database and keep in contact with you.
## Glossary

<table>
<thead>
<tr>
<th>Word / Abbreviation</th>
<th>Meaning</th>
</tr>
</thead>
</table>
| AMAP / CMR          | Accreditation and Moderation Action Plan  
These are the quality assurance documents that underwrite a unit standard, and are developed by the SSB of the unit standard. AMAPs identify the specific criteria for accreditation and outline external moderation requirements. They also state what qualifications and experience an assessor must have in order to assess the particular unit standard.  
CMR - Consent and Moderation Requirements. This is the new document replacing the AMAP. It provides the same information. |
| Assessment          | Assessment is the process of collecting and judging evidence of a person’s competence or performance against standards. |
| Assessor            | The person responsible for monitoring the candidate’s assessment and ensuring there is enough evidence to judge them ‘competent’. |
| Authentic           | The candidate’s evidence is their own work. |
| Candidate           | The person undergoing workplace training and assessment. |
| Competency          | Competency describes the behavior needed to effectively perform in a task and/or role. |
| Competent           | Is able to perform the task required correctly. Also now referred to as “Achieved”. |
| CRC                 | Commend-Recommend-Commend feedback model. |
| Current             | The candidate’s evidence is current and up-to-date. This includes evidence that supports current industry practice. |
| Directory of Assessment Standards (DAS) | The Directory of Assessment Standards is the list of all nationally registered unit and achievement standards (formerly National Qualifications Framework). |
| Domain              | Part of the NZQF as a subset of fields and subfields. An assessor’s scope is typically linked to domains on the NZQF. |
| Evidence            | Proof that a person KNOWS and/or can DO a task. |
| Fairness            | Assessment methods do not disadvantage individuals or groups by limiting them in ways unrelated to the evidence sought. |
| ITO                 | Industry Training Organization. An ITO is an industry-specific organization, recognized under the Industry Training Act 1992. An ITO sets NZQA accredited skill standards for their specific industry, and runs industry training that helps learners achieve those standards through providers. |
| **Moderator** | The person (typically Competenz-appointed) responsible for ensuring the quality of assessment from candidate to candidate is fair and meets the national standard. |
| **NQF** | The National Qualifications Framework (NQF) previously listed all nationally registered qualifications, unit and achievement standards, together with the relationships between these. As of 1 July 2010 this was replaced by the New Zealand Qualifications Framework and the Directory of Assessment Standards. |
| **NZQA** | New Zealand Qualifications Authority, a crown entity, was established under section 248 of the Education Act 1989. |
| **NZQF** | New Zealand Qualifications Framework. It contains a comprehensive list of all quality assured qualifications in New Zealand. |
| **Relevance** | All the evidence relates back to what the unit is asking for. |
| **Reliability** | Consistency. This means that another assessor, or moderator, would be able to come in, review all the evidence and make a similar judgment to your own. |
| **ROA / ROL** | Record of Achievement / Record of Learning  
When a learner enrolls in a program that leads to NZQF credits, their details and registration fee are forwarded to NZQA. They are registered for a Record of Achievement and given a unique learner identification number called a National Student Number (NSN).  
An ROA is a profile of the candidate’s achievements on the Framework. |
| **Standard** | An expected level of performance. |
| **SSB** | Standard Setting Bodies (SSB) develop unit standards and national qualifications for specific industries and professions that are based on the needs of trainees and are supported by industry. SSB’s include ITO’s; Maori Qualifications Services (MQS); National Qualifications Service (NQS); Ministry of Education. |
| **Sufficiency** | There is enough evidence to make a judgment as to whether the candidate is competent. |
| **Unit / Assessment Standard** | Unit / Assessment Standards outline the behavior and outcomes expected of someone carrying out that task, in that industry. Simply put, a unit standard is a knowledge and/or skill set with a number assigned to it. |
| **Verifier** | A person skilled in an area of expertise in which the assessor is not, who is able to sign off that the candidate has reached a level of competency. |