



# ESITO - EAMA

## Accreditation Moderation & Assessment Procedures 0120

1.0 EAMA	
Authorised by	Doug Pouwhare Industry Standards and Development Manager
Reference:	EAMA 1.0 Version 11
Last revision date	26 October 2010
<b><i>This document is non-controlled and out-dated if printed.</i></b>	

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## 2 Document Control Procedure –Version 1

### 2.1 Scope

This procedure clarifies the process for adding new policy and reviewing the ESITO Accreditation Moderation and Assessment (EAMA) document.

### 2.2 Definitions

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

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

### 2.3 New Policy

New policy will be developed on request of Industry Standards Development (ISD) staff when practice changes or is developed. Policy will be accepted and ratified by the ISD manager and staff and presented to the moderators panel in the capacity defined 17.1 of kaitiakitanga.

### 2.4 Review

Review will be conducted annually by the ISD team to ensure the procedures and forms within the EAMA are relevant to practice.

### 2.5 Revision

Revision of the EAMA that changes the character of the document will be undertaken only on direction of the Industry Standards Development Manager.

The Document Control Record will be updated and the Revision Verification Table will be signed off by members of the ISD team.

Revision that involves only minor change will be undertaken in consultation with the ISD team members.

### 2.6 Change Process

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

- A request for change may result from consultation with industry, trainees, assessors, moderators or ESITO staff.
- A written request for change is communicated to the staff member responsible for upkeep and revision of the document. Requests may be emailed to the staff member responsible for the management of the document. Not all changes will be accepted.
- Drafted changes will be circulated to interested parties, as above, for comment.

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- Changes will be accepted and ratified as per sections 2.3 and 2.5
- The Document Control Record will be updated.
- The change will be made to the 'working document' and the relevant file in the 'Portal' called 'procedures' or 'forms'.
- Once the process is completed the changes will be saved as the 'published. document' G:\Portal\_ISD\Quality Management\EAMA Ver file; this file contains the published document, and should not be used as a working file.
- Previous revisions of the EAMA will be filed in the 'Archive' file.
- Changes will be communicated to assessors, moderators and ESITO staff via email.
- A 'change alert' will be published on the web site when the change process is completed and the EAMA is updated as above.

## 2.7 Publication and Issue

One current master copy of the EAMA will be held at the ESITO office. Industry Standards Qualifications and Quality Assurance Officer is responsible for the management of the document whose responsibility it shall be to ensure the document is current.

The document will be issued only on the consent of the Industry Standards and Development Manager.

## Document Control Record

Master Revision Number	Date	Changes made and reason for amendment
1	13 Apr 2005	New manual
2	Jan 06	Revision Log added and documentation formatted Amended ISD 2.2.2 Amended ISD 2.3 Amended ISD 3.3.1 Amended ISD 3.2 Amended ISD 3.3.9 Included non-compliance procedures at ISD 3.3.7
3	Oct 06	ISD 3.3.5A – new form inserted
4	Dec 06	ISD 2.1.1 - added Cat 3 assessor ISD 2.6. - added a new definition of technical expert ISD 3.1.1 - added Cat 3 assessor ISD 3.3.1 – amended ISD 3.3.1A - amended form ISD 3.3.4 - amended moderation principles in accordance with NZQA ISD 3.3.5 – amended form ISD 3.3.5A – new form inserted ISD 3.3.9 – amended
5	May 07	ISD 2.5 – added
6	May 2008	Post moderation and Pre moderation forms amended
7	July 2008	Whole manual amended for documentation and correct names
8	May 2009	Update of moderator details

9	Sept 2009	Change in documentation for RCC / RPL process
10	March 10	Update unit standard record table
11	23/6/2010	ISD complete review of forms, process, procedures and numbering to ensure relevance of systems and process

**Revision Verification Table**

The signatures below certify that version 11 was revised and accepted and demonstrates that the signatories are aware of all the requirements contained within this revision and are committed to ensuring their provision

Name	Position	Signature	Date	Manual issue
Doug Pouwhare	Industry Standards and Development Manager			x
Kate Duggan	Quality and Project Manager			x
Natalie Simmons	Industry Standards & Development Coordinator			x
Ngairera O'Neill	Industry Standards Qualifications and Quality Assurance Officer			✓

## 3 Assessor Registration Version 6

### 3.1 Scope

This policy details the standard requirements for the registration of ESITO assessors. NOTE: This does not include Thermal Assessor registration.

### 3.2 ESITO Registered Assessor

ESITO assessors conduct on-job assessment of unit standards under the ESITO accreditation.

### 3.3 Assessor Registration Application

Assessors who meet the selection criteria may apply to become an ESITO registered assessor.

The application must be made on the Application to become a Registered ESITO Assessor form. The application must include a work resume detailing work experience, technical qualifications and an Industry endorsement.

The application should record by unit standard the scope (refer 3.7) the applicant wishes to assess. The scope applied for must have the endorsement of an ESITO technical advisor.

ESITO will advise the applicant of the outcome of the application within 14 days of receipt of the application.

Assessors may terminate registration by notifying ESITO in writing. Assessors that have applied to terminate their registration may reapply as detailed above.

Unsuccessful applicants will be notified of the specific reasons for the failure of the application.

### 3.4 ESITO Assessor Selection

ESITO assessors will be approved as assessors on the basis of:

- Nomination by employer.
- Experience of specific skill areas within the industry.
- Qualifications relevant to the industry.
- Supplying 2 completed assessments for moderation that demonstrate the ability to conduct assessments to the National Standard.
- Assessors are required to hold unit standard 4098 Use Standards to Assess Trainee Performance.

Assessors should have the technical skill of the unit standards being assessed and be familiar with the range of assessments the trainees will need to undertake.

Where the assessor is required to assess outside of their field of expertise or qualification, provision will be made for Technical Experts to assist the assessor. (Technical Experts procedure 2.8).

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### 3.5 Unique Identifier

Assessors will be allocated an assessor number. This number will be used on assessments undertaken by the Assessor.

### 3.6 Assessor Professional Development

ESITO will arrange professional development workshops for assessors. ESITO will also arrange training opportunities which may include NZQA unit standards 11551 Moderate Assessment, 11552 Design Assessment, 4098 Use Standards to Assess Trainee Performance. (refer 5.3 for details for RCC requirements)

### 3.7 Assessor Scope

Each assessor will be advised of their assessor scope. The scope identifies the unit standards the assessor is registered to assess; this reflects the qualification and experience of the assessor.

### 3.8 Extension of Assessor Scope

Assessors may apply for an extension of scope as qualification and experience change. Applications must be made on the appropriate form - Application for Assessor Extension of Scope Form.

Applications must be accompanied by evidence to support the application including the endorsement of an ESITO technical advisor.

### 3.9 Registration Period

The registration period for an ESITO assessor is 3 years or part thereof as follows:  
01 July 2008 – 30 June 2011; 01 July 2012 - 30 June 2015 and recurring.

To maintain registration assessors will:

- Attend an ESITO assessor Professional Development workshop annually.
- Conduct at least 3 assessments per year.
- Demonstrate consistent and fair assessment practices.

Registrations will lapse if any of the above are not met.

### 3.10 Re-Registration

ESITO will invite registered assessors to re-register at the end of each registration period.

### 3.11 Training and Assessment

ESITO assessors may train or assess a trainee for a specific unit standard; they may not conduct assessment and training.

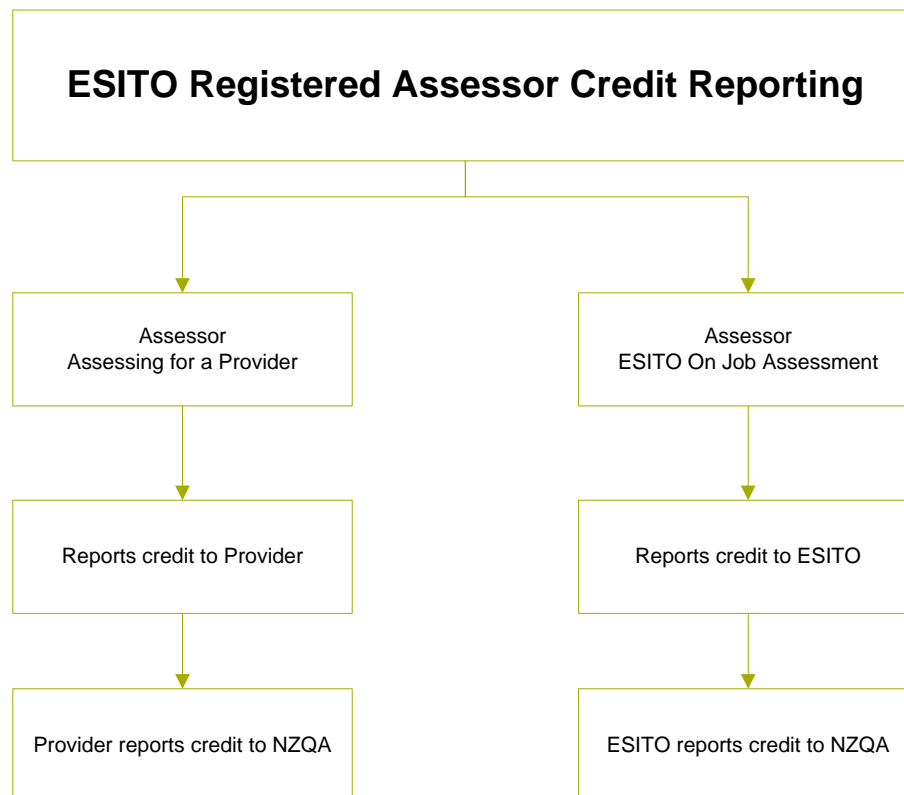
ESITO assessors may conduct assessments under the accreditation of an accredited Training Provider; the Quality Management System policies and procedures of the Training Provider apply to the Assessor in this instance.

### 3.12 Reporting Credits

ESITO registered assessors can report credits through the ESITO only when the trainee has a current training agreement with ESITO.

It is the responsibility of the assessor to ensure that there is a current training agreement in place before registering credit through ESITO.

Where ESITO registered assessors conduct assessment for a Training Provider, credits will be reported to the Training Provider and be covered by that organisation's consent to assess (accreditation).



### 3.13 Associated Forms

3.13.1 Registered Assessor Application

3.13.2 Assessor Extension of Scope Application

## 4 SHAG Assessor Registration Procedure Version 6

### 4.1 Scope

This policy details the standard requirements for the qualifications and assessment methods, needed to be registered as an assessor of the Steam and Hazardous Gases (SHAG) qualifications. This process is in addition to the requirements specified in ESITO Assessor Registration procedure.

### 4.2 Definitions

Active in the industry defined as any of the following:

- Currently operating plant & equipment.
- Designing & delivering thermal training and assessment.
- Providing technical support in thermal generation area.
- Have been recently (within last 5 years) involved in thermal plant installation and commissioning.

### 4.3 Requirements / Procedure

To become a registered SHAG assessor either of the following options apply.

#### OPTION 1:

- Hold the qualification (e.g. Thermal plant operating Level 4 and
- Be a registered ESITO assessor.

#### OPTION 2:

Hold either of the following qualifications

- First class engine driver.
- 3rd Marine.
- EnChem level 4 with a thermal strand.
- Be a registered ESITO assessor and
- Provide evidence of a minimum of 8 years industry experience on thermal generating plant of over 100 Mw.
- Provide evidence of being currently active (within last five years) on thermal generating plant of over 100 Mw.

A full portfolio should be compiled for either option and submitted to ESITO for application and subsequent registration.

### 4.4 Associated Forms

#### 4.4.1 SHAG Assessor Evidence Plan

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## 5 Recognition of Current Competence (RCC) Version 7

### 5.1 Scope

ESITO RCC registered assessors may, within the parameters outlined within this policy and assessor scope limitations, use the RCC assessment method to assess competence against unit standards on the National Framework.

### 5.2 Definition

Recognition of current competence assessment provides framework credits awarded when achievements are current and meet national standards. Course completion and / or completion of assessment activities may not be required. Evidence may include but is not limited to formal training, current involvement in industry, or a current practicing licence from within the industry.

### 5.3 RCC Assessors

To be registered as an RCC assessor, an assessor must attend RCC training, conducted by an ESITO approved trainer. Once training is completed and ESITO approves the registration, the assessor scope will be updated with consent to assess RCC commensurate with the assessor's field of expertise. Assessments will be made against material prepared and moderated by ESITO.

ESITO RCC registered assessors assess current competence against the same standards and within the same moderation systems applied to the ESITO unit standards and qualifications registered on the National Framework.

### 5.4 RCC Assessment - Individual Unit Standards

ESITO has developed and approved a generic assessment template for individual unit standard assessment by RCC. This template is to be used for any RCC assessment of unit standards. The following conditions apply:

- The ESITO generic template must be used for all RCC unit standard assessment.
- Assessors must access the RCC generic template and the RCC Assessor Handbook prior to assessment planning.
- Check whether ESITO has published an Assessor Pack for assessment of the unit standard/s to be RCC assessed.
- If published material is available, refer to the pre assessment moderated assessment schedule within the Assessor Pack. The newly designed RCC assessment schedule should reflect the quality and quantity of the judgment statements published.  
The newly designed RCC assessment schedule may be used without submission to ESITO for pre assessment moderation.
- If no published assessment material is available for reference,  
The RCC newly designed assessment schedule must be submitted to ESITO for pre-assessment moderation, prior to the assessment taking place.
- An assessment schedule must be developed for each unit standard being assessed.
- A single item of evidence may be used as proof of skill and knowledge across several unit standards and outcomes; each assessment schedule must clearly identify how the evidence links to the criteria of unit standard outcomes.
- Assessors must submit samples of candidate assessments for post assessment moderation.

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## 5.5 RCC Assessment towards a Qualification

Assessment toward a qualification may not be conducted using the generic pack described above. ESITO has developed and approved integrated packs for some qualification assessment, accessible from the web.

Assessors assessing toward a qualification must use ESITO approved assessment material.

- Assessment material for qualifications to be awarded using RCC must be developed collaboratively with ESITO and will remain the intellectual property of ESITO.
- All RCC assessments will undergo post assessment moderation.

## 5.6 RCC Process

The RCC process is an assessment of current skills and knowledge against the requirements of selected unit standards. The assessment judgement is based on evidence of current and past performance which might include, but is not limited to: logbooks, checklists, product checks, industry reports, hazard id, job pack, practicing license, Curriculum Vitae, past course certificates, work output records, interviews with candidates, and reports from managers.

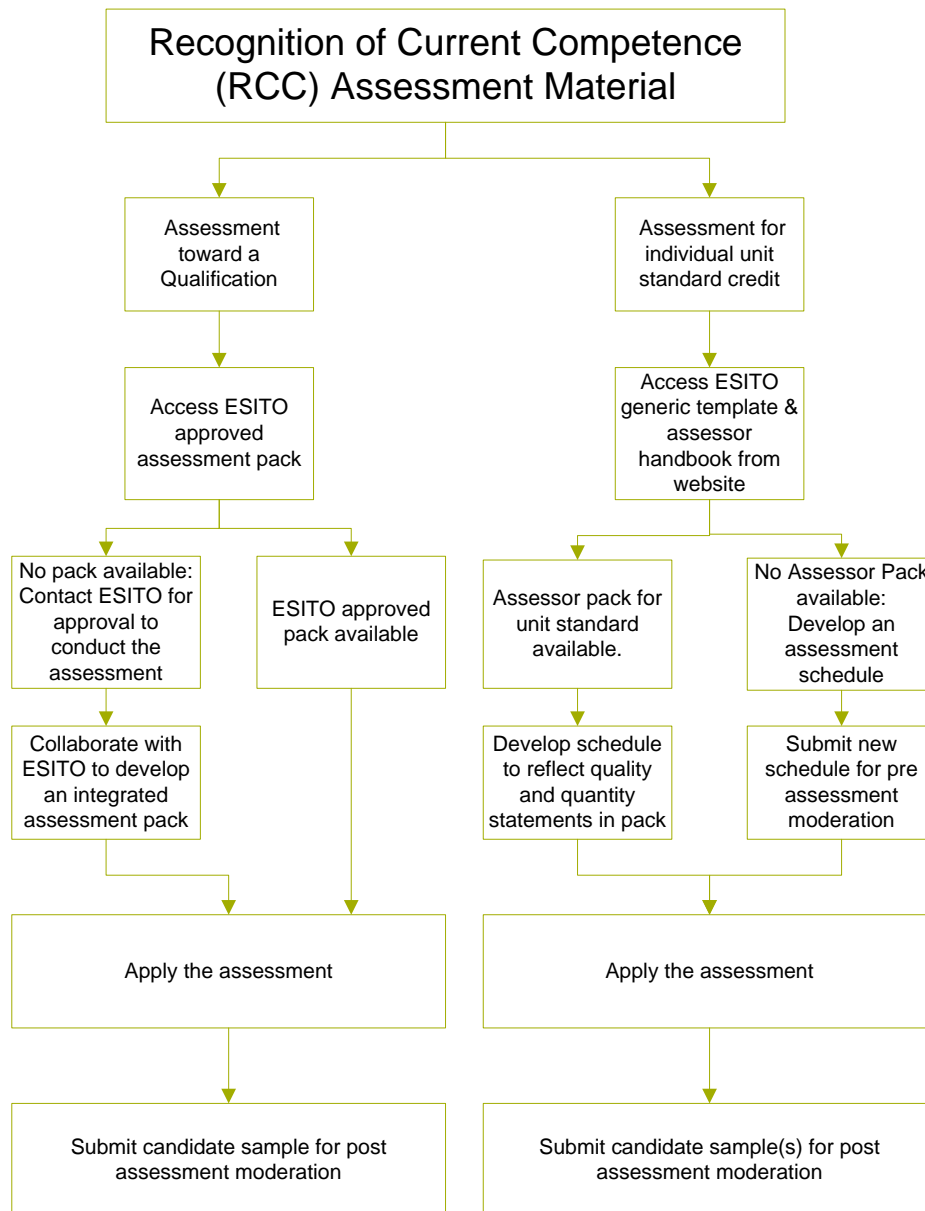
The process for RCC assessment is as follows:

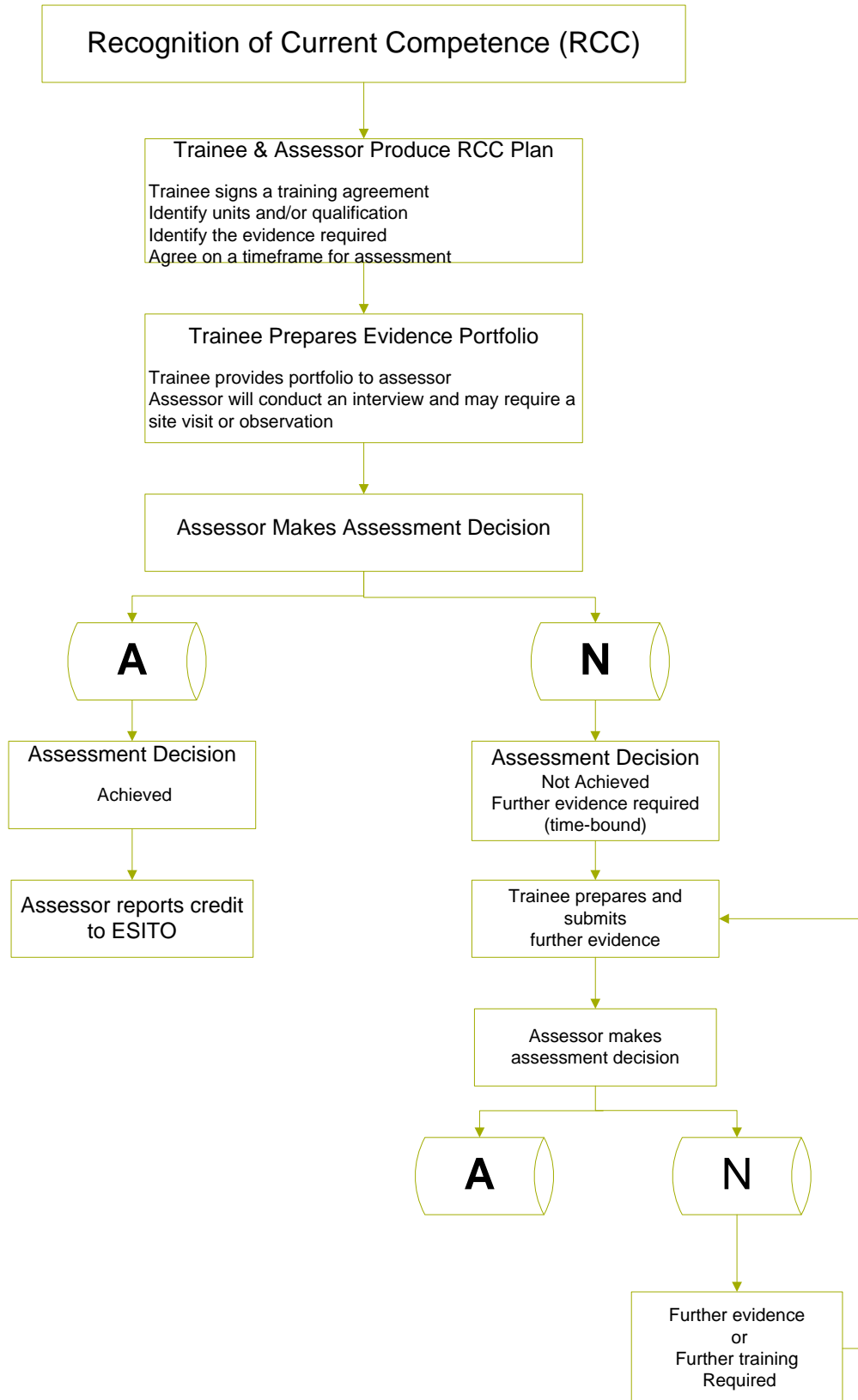
- The candidate enters into a Training Agreement with ESITO.
- The candidate identifies an assessor.
- The assessor and the candidate will meet and agree on the unit standards or qualification for RCC assessment and perform a skill and knowledge gap analysis.
- The assessor and the candidate will agree on the type and source of the evidence required and the timeframe.
- The candidate will produce a portfolio of evidence and present this for assessment within the agreed timeframe.
- The assessor will check the evidence meets the criteria and is attributable to the candidate.
- The assessor will make the assessment decision and notify the candidate of the decision.
- The candidate will have an opportunity to gather further evidence if required.
- The assessor will conduct an interview with the candidate, the referees and any other person considered relevant to the assessment decision.
- The assessor may conduct an onsite visit if considered relevant to the assessment decision.
- The assessor will report the credit to ESITO.

## 5.7 Associated Forms

- 5.7.1 RCC Candidate Pack
- 5.7.2 RCC Assessor Handbook
- 5.7.3 RCC Line Mechanic Candidate Pack
- 5.7.4 RCC Line Mechanic Assessor Pack

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## 6 Assessment Procedure Version 3

### 6.1 Scope

This procedure is to clarify the process for providing and conducting assessment of trainee knowledge, skills and competencies against established standards and qualifications.

### 6.2 Definitions

Assessment	A process that measures learning and development by assessing a trainee's performance against learning outcomes expressed in unit standard outcomes and title.
Assessment method	A particular strategy used to gather evidence of achievement, the evaluation of learning i.e. trainees understanding of concepts and skills.
Competence	The ability to apply particular knowledge, skills, attitudes and values to the standard of performance required in specified contexts.
Fair assessment	Assessment that avoids contamination from influences unrelated to the matters being assessed; emphasis is placed on avoiding effects arising from differences related to, race, gender, and assessment mode.
Outcome	A learning outcome within a unit standard on the National Qualifications Framework; collectively the outcomes constitute the title (task) of the standard.
Learning outcomes	Expressed in the outcomes of a unit standard. They are target statements of what the trainees will be able to do.
Peer assessment	Assessment of individual performance undertaken by fellow trainees.
Electronic evidence	May include photographs, videos, audio tapes, or any other audio or visual record of trainee performance.
Evidence requirement	Specifies the quality of the evidence required to meet the outcomes of the standard.
Portfolio	A trainee's personal collection of evidence submitted for assessment of achievement.
Re-assessment	An opportunity to re-do part or all of an assessment. A new result may be the outcome.
Unit standard	A nationally registered, coherent set of learning outcomes and associated evidence requirements, together with technical and management information that supports delivery and assessment.
Valid assessment	Assessment that achieves fitness for purpose by using evidence directly related to the type and level of performance required in a specified standard, valid assessment is fair and consistent.

## 6.3 Assessments

Assessments will be developed in accordance with the requirements of the learning outcomes expressed in unit standards.

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

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

## 6.4 Marking

Assessments will be marked by an ESITO registered assessor against the criteria of assessment detailed in model answers and/or an assessment schedule designed specifically for the unit standard.

The process of post assessment moderation will ensure that marking is fair and consistent.

Assessors will ensure that the assessments are marked and returned to trainees within the agreed time-frame, or within the time-frame specified in the pre-assessment plan. ESITO has an expectation that assessments will be marked and returned within a maximum of two (2) weeks.

Marking will include feedback to the trainee; this adds value to the assessment process. In cases of a 'not achieved' result trainees will be given suggestions about how their performance may be strengthened.

## 6.5 Reassessment

In the event of a trainee failing to meet the criteria for a 'A' result at least one reassessment opportunity will be offered. Trainees will be informed of this provision by the Assessor when reporting the assessment decision to the trainee.

A new due date will be negotiated between the trainee and the assessor.

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## 6.6 Oral Assessment

Oral assessment may take 2 distinctly different forms, i.e. Oral questioning and Professional discussion.

Oral questioning	Professional discussion
Oral questioning is generally unplanned.	Professional discussion is a planned assessment method commonly used in the assessment of higher level unit standards and for RCC.
<p>Oral questioning is commonly used to clarify or supplement evidence already provided.</p> <p>It is used as follow up to a written or practical assessment activity, for example:</p> <ul style="list-style-type: none"> <li>To ask supplementary questions in practical observation assessment to clarify trainee understanding and common practice.</li> <li>To confirm trainee underpinning knowledge of practical or written tasks.</li> </ul>	<p>Professional discussion is a structured interview in which a candidate is expected to provide the evidence required for assessment.</p> <p>Eg: to demonstrate evidence of their ability to analyse:</p> <ul style="list-style-type: none"> <li>Unusual or rarely occurring situations or scenarios.</li> <li>The reasons for specific actions and alternatives considered by the candidate.</li> <li>Factors taken into consideration for a particular action.</li> <li>Evaluation of successes and failures to establish learning points for the future.</li> </ul>
Oral questioning often uses a question and answer format (particularly for lower level unit standards)	Professional discussion is a conversation rather than a question and answer format and is candidate led.
Oral questioning is also used when a trainee requests oral assessment of a questionnaire in place of written questions and answers.	Professional Discussion is useful in assessing analytical and decision-making abilities.

## 6.7 Oral questioning

Trainees may request oral assessment of questionnaires. This might be requested by trainees who have learning disabilities. Where appropriate the assessor will arrange for this form of assessment to take place.

The trainee's oral answers must be recorded either in writing or with an audio recording device. This is necessary to demonstrate that the assessment criteria have been met. Evidence may include assessor checklists or notes; these should be written up as soon as possible following the assessment and signed off by the Assessor.

Assessors should avoid directing and leading the candidate.

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## 6.8 Professional discussion

Professional discussion should not be used in isolation but as part of a planned assessment event.

Evidence of performance must always be supplied as required by the standard.

The Professional Discussion process may be applied to formalised non-framework based qualifications, practicing licences or experience within a workplace where skills and knowledge may meet the requirements of a Diploma, National Certificate or unit standard(s).

### Planning

The process must be part of the assessment plan. The assessor must arrange a meeting with the candidate to determine the experience the candidate has gained equivalent to the standard and or qualification and identify any gaps. Assessors must be clear about the purpose of using professional discussion and agree to a list of areas/points to be covered. A written copy must be supplied to the candidate.

The assessor must inform the candidate how the main points of the discussion will be assessed and recorded. A record of the discussion should be produced to show how the planned discussion has been covered.

### Facilitation

During the discussion, the assessor may use a number of techniques to ensure the discussion remains focused and effective i.e. periodically summarising points covered, questioning to probe for more information or to clarify certain points of the discussion. Assessors should avoid directing and leading the conversation.

There should be a gradual 'handing over' to allow the candidate to enter into a full discussion where they have the opportunity of doing most of the talking.

## 6.9 Recording oral assessment evidence

Evidence for either method i.e. oral questioning and professional discussion may be in writing or by capturing the conversation in an electronic format (e.g. audio or video taping).

Protocols for electronically recording oral evidence:

- Seek candidate's permission to electronically record oral conversations.
- Electronic files should be submitted to ESITO in a digital format.

The recorded evidence must be submitted with the assessment material for any post assessment moderation requested. To enable moderation to take place and verify the assessor decision of the candidate competence.

## 6.10 Written Assessment

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

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

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Questionnaires should be marked in accordance with the specifications within the assessment schedule or model answer sheet within the assessor pack.

## 6.11 Observation

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

## 6.12 On–Job Assessment

To maintain the National Standard ESITO develops Assessment Packs and Activity Sheets for the trainees as a guide to evidence required for competence in a particular unit standard. These are pre assessment moderated and published on the ESITO web site.

Model Answers and Assessment Schedules are developed to provide a guide to assessors of evidence required to achieve competence and describe the quality and quantity of the evidence to be submitted by the trainee. These are pre assessment moderated and published on the ESITO web site.

## 6.13 Electronic Evidence

Electronic evidence of trainee performance must be clearly referenced with the trainee name, unit standard (title, level, credit, version and relative outcome or evidence requirement). Assessors and moderators must be able to identify each 'session' by trainee, and evidence relative to the standard.

## 6.14 Assessment Packs

Contain the tasks required to produce the evidence to establish trainee competence. The Trainee Packs will contain a combination of:

- Questionnaire – this will contain questions covering the unit standard requirements for demonstration of knowledge.
- Practical observation sheets – these contain the practical skill requirements of the unit standard.
- Letter of Attestation – this document is underpinning evidence of the trainee's ability to perform the requirements of the unit standard within the work place. These documents are signed by a supervisor that holds the required Legislative Qualification for undertaking supervision of the trainee in the electrical supply industry.
- Supporting evidence – the trainee is required to produce documentation as evidence of having been involved in the required tasks within the workplace.

## 6.15 Assessor Packs

Assessment packs are supported by Assessor Packs. These packs detail the assessment event and assessment decision parameters. Assessment schedules contain evidence and judgement statements.

- Evidence statements detail the evidence used to support competence e.g. questionnaires, observation evidence, company documents, attestations, certificates, etc.
- Judgement statements describe acceptable performance levels, i.e. they define the standard (quantitative and qualitative) expected for the task in relation to the

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outcome(s) being assessed. Model answers give an example of expected answers, these examples are indicative and assessors must use their professional experience in judgment of the appropriateness of trainees' answers.

## 6.16 Model Answers

Unless other wise stated model answers are indicative and should be used as a guide, the assessor should use professional judgement when considering trainee evidence.

## 6.17 Activity Sheets

Activity sheets detail trainee workplace exposures to skill required in assessment. Activity sheets are designed to help standardise the exposures trainees have to tasks and to provide primary evidence of skill performance.

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## 6.18 On-Job Assessment Process

Step	PRE- ASSESSMENT ACTIVITY
1	The trainee and ESITO representative (may be assessor) meet to discuss assessment readiness and produce a pre assessment plan.
2	Pre-Moderated assessment packs can be accessed on the ESITO website. The assessor will meet the trainee and explain the assessment guide explaining the evidence that is required to demonstrate competence. The assessment will be in the Trainee Manual or the Assessor will download and print the trainee assessment pack for the unit standard under assessment and give a copy to the trainee.
3	The assessor and trainee both sign the assessment pack in their designated places.
4	The trainee ensures that evidence of 3 exposures has been recorded for practical tasks, this may be achieved through activity sheets or observation sheets or a combination of both; the criteria is 3 competent exposures.
5	The trainee completes remaining tasks e.g. questionnaire and compiles the documentation required in support of the assessment and presents all documentation to the assessor.
	ASSESSMENT
6	The assessor applies the assessment schedule by checking the evidence against the evidence and judgement statements.
7	The assessor makes a competency decision. The assessor informs the trainee of the assessment result and offers reassessment where appropriate.
	POST- ASSESSMENT ACTIVITY
8	The assessor reports the credit of unit(s) to ESITO, using standard ESITO format.
9	The assessor files the assessment documentation for up to 12 months, for moderation purposes.
10	The assessor sends formal notification of the assessment result to the trainee.

## 6.19 Associated Forms

6.19.1 Credit Registration Form

6.19.2 Assessor Pack

6.19.3 Trainee Assessment Pack

## 7 Assessment Sufficiency Policy Version 1

### 7.1 Scope

ESITO applies a consistent policy of sufficiency in all material used in judgement of achievement for unit standard assessment. This standard is also imposed on all provider material that is used in assessment of ESITO standards.

### 7.2 Definition

Sufficiency of assessment refers to the quality and quantity of evidence required in order to achieve fair and consistent assessment decisions across unit standards within the ESITO scope of consent to assess.

### 7.3 Sufficiency

Sufficiency has been established in the following way and must be reflected in material developed to assess ESITO unit standards.

#### Practical observations/practical assessment

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

- When the unit standard has a range statement that defines the sufficiency.
- When workplace conditions dictate differing sufficiency, ESITO will determine acceptable number of observations. Eg differing sufficiency may be applied when involvement with a task is accrued over a period of time such as installing geo thermal equipment and specific high voltage cable jointing.

#### *Rationale*

*Three (3) observations are considered to provide evidence of consistency in practical performance.*

#### Theory/written / oral assessment

Answers to all questions within an assessment task are required to be assessed as correct.

#### *Rationale*

Questionnaires should reflect the requirement of the unit standard and be designed to gather sufficient evidence. Where an answer requires clarification, oral questioning is a valid method to confirm sufficiency.

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## 8 Assessment Stakeholder Evaluation Version 1

### 8.1 Scope

To enable continual improvement ESITO requires evaluation of assessment and the assessment process from trainees and other stakeholders.

### 8.2 Requirements / Procedure

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

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

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

### 8.3 Associated Forms

#### 8.3.1 Trainee Evaluation Form

EAMA Procedures doco number: 8	Version 1	EAMA Procedure Title: Stakeholder Assessment Evaluation	
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## 9 Assessment Technical Expert Validation Version 6

### 9.1 Scope

Assessors may use Technical Experts to validate an assessment where skills or knowledge under assessment exceeds that of the assessor or where the assessor requires collaboration.

### 9.2 Definitions

A technical expert is defined as:

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

OR

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

### 9.3 Requirements / Procedure

- When a Technical expert is used Technical Expert Report Form must be completed, and attached to the assessment.
- The assessor must verify that the Technical Expert meets the definition above and certify that the check has been carried out on the assessment pack evidence form.
- The assessor making judgment must be registered to assess that unit standard.

### 9.4 Associated Forms

#### 9.4.1 Technical Expert Assessment Validation

<b>EAMA Procedures doco number:</b> 9	Version 6	<b>EAMA Procedure Title:</b> Technical Expert Assessment Evaluation	
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## 10 Assessment Trainee Appeal Procedure Version 3

### 10.1 Scope

This process is used in the event of a trainee appealing an assessment decision. Appeals may occur when an 'N' decision is challenged or the trainee may feel disadvantaged because of the assessment process.

### 10.2 Requirement

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

### 10.3 ESITO Appeals Procedure

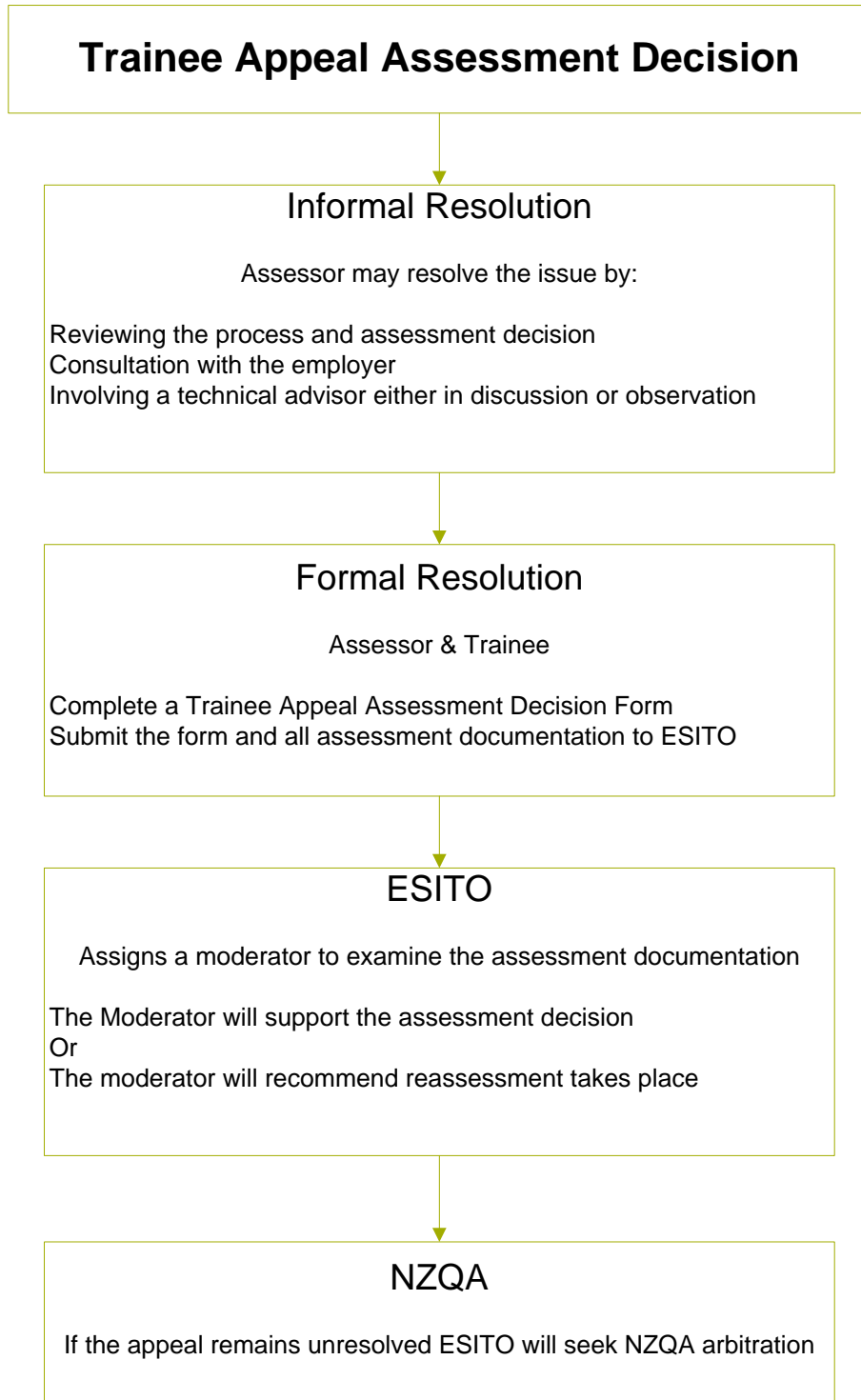
Where a trainee wishes to appeal the result of an assessment, the following process will apply:

- The trainee should consult the assessor, with the reasons for the appeal.
- An informal resolution may be achieved by:
  - a. Consultation with the trainee employer.
  - b. Re-assessment.
  - c. Gaining a second opinion e.g. Technical Expert.
- If the appeal is not resolved. The assessor will contact ESITO to alert the ITO that the formal appeal process has begun.
- The assessor and the trainee complete the Appeal Process Form.
- The assessor will submit the form and all assessment documentation to ESITO.
- ESITO will assign a moderator to examine the assessment process and report on the assessor's decision.
- ESITO will notify the assessor and trainee of the result of the moderators report.
- ESITO will intervene if the moderation does not support the assessor decision and either credit the standard or arrange reassessment.
- Should this process not resolve the matter ESITO will apply to NZQA for arbitration.

### 10.4 Associated Form

#### 10.4.1 Trainee Assessment Decision Appeal

EAMA Procedures doco number: 10	Version 3	EAMA Procedure Title: Trainee Appeal Procedure		
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# 11 Assessment Reporting NZQA Unit Standards Version 1

## 11.1 Scope

This policy outlines the processes to be used for the annual reporting by ESITO of assessments planned for NZQA managed unit standards.

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

## 11.2 Procedure

- Tertiary Assessment & Moderation (TAM) sends notification to ESITO November / December requesting an intention to assess plan.
- ESITO lists the NZQA managed unit standards expected to be assessed in that year. This must be completed and sent to NZQA by January (if written) or February if sent online.
- TAM selects the unit standards for moderation and sends the plan to ESITO April/May. This plan has submission dates, the standards to be moderated and the moderators address.
- ESITO must contact TAM before the submission date if any changes to the plan are to be made.
- ESITO sends materials to the moderator; the moderator sends a report to TAM and ESITO.
- ESITO must follow-up on the moderation decisions of the reports with the assessor / provider.
- If the moderator does not receive the materials within three weeks of the submission due date an Assessment Materials Not Received (AMNR) report is sent to ESITO.

## 11.3 Non-Compliance Occurs When

Moderation requirements are not met (AMNR) as above. TAM will require a written action plan within a specified time frame. Ongoing unresolved non-compliance will ultimately result in the withdrawal of accreditation, a system or standards.

## 11.4 Calendar

January	February	March	April	November	December
NZQA Assessment Plan due if sending hard copy	Assessment Plan due if sending online to NZQA	Moderation plan due back from NZQA request this if not received		Assessment plan requested by NZQA	Report on moderation activity requested by NZQA

## 12 Moderation Procedure Version 1

### 12.1 Scope

ESITO implements the moderation process to ensure that assessment is fair, valid and consistent. Moderation is an integral part of effective assessment. A centrally established and directed external moderation system has been set up by the Electricity Supply Industry Training Organisation (ESITO).

### 12.2 Definitions

Pre-assessment moderation	This process checks that assessment material is appropriate and valid.
Post-assessment moderation	This process verifies that assessment decisions made about trainees competence are consistent and at the right academic and or practical level.
AMAP	Accreditation and Moderation Action Plans outline the industry sector requirements for consent to assess (accreditation) of organisations to deliver and assess programmes registered on the National Framework by NZQA.
Moderation Plan	A planned and approved cycle of internal pre and post assessment moderation.
Moderation sample	Trainee samples will be nominated by the National Moderator in accordance with the Annual Moderation Plan.

### 12.3 Implementation of Moderation

The overall co-ordination of moderation is the responsibility of ESITO Industry Standards and Development Coordinator.

The Industry Standards and Development Coordinator is responsible for each moderation event and will be responsible for co-ordinating moderation and maintaining records of meetings and assessments under moderation.

### 12.4 Appointment of Moderators

ESITO will appoint moderators to implement the Annual Moderation Plan. Moderators are contracted to ESITO for this service and are assigned moderations by the ESITO National Moderator.

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

### 12.5 Moderation Control Points

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

- High unit level.
- High risk – (safety etc within the industry).
- High usage.

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- Commonality i.e. the same unit assessed by providers, this aids benchmarking and achieving a National Standard.
- Units called by other SSB and NZQA.
- Newly registered assessor.
- Newly accredited provider.
- Industry alert (reports from other ITO or assessors of best practice not being followed).
- Assessors reporting low numbers of credits.
- All RCC assessments will subject to post assessment moderation.

## 12.6 Moderation Samples

Moderation samples are defined as follows:

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

Moderation samples will be called quarterly from assessors and providers. The sampling criteria is determined by moderation requirements as follows:

- Pre-assessment moderation is required for any material newly developed or modified.
- Post assessment moderation is conditioned by assessor activity.

Copies of samples of moderated material will be retained by ESITO for the purposes of audit and check moderation. These samples will be determined by the check moderation requirement for the particular quarter.

All moderated material that is under appeal, non compliance or resubmission will be retained until the moderation requirements are resolved.

## 12.7 Moderation Requests

Moderation requests are managed by the ESITO IT system ITOMIC, which produces letters of request, directed to the Assessor or Provider and the Moderator. The letter will stipulate the standard and the trainee scripts required.

The data base produces a monthly report identifying non compliance e.g. no material sent to the moderator, resubmissions past due date. These are followed up on a monthly basis by the Moderation Co-ordinator. ESITO will acknowledge Assessors who have consistently proven through moderation to conduct assessments that meet the National Standard by reducing the requirement of moderation compliance within any quarter.

## 12.8 Moderation Methods

- Moderation site visits scheduled with prior consultation – may include desk top moderation and/or observation.
- Spot moderation of any assessor at any time.
- Pre-assessment moderation.
- Post-assessment moderation.

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## 12.9 Pre-Assessment Moderation

This moderation process is conducted by ESITO moderators to ensure assessments are fair, valid and to the National Standard.

- All assessment material applied by Workplace Assessors when assessing ESITO qualifications will be pre-assessment moderated.
- All assessments that have under gone review will also be pre-assessment moderated.
- When submitting trainee samples / scripts for post assessment moderation, evidence of pre-assessment moderation is to be supplied.

Pre assessment moderation reports are to be produced on the approved ESITO form and sent to ESITO when completed, moderation may be conducted on-line. ESITO will contact the assessor/provider with the moderation result.

## 12.10 Post Assessment Moderation

This moderation process is conducted by ESITO moderators to ensure the assessment and assessment schedule have been applied fairly and that the assessment decisions about trainee competence are valid.

Moderators conducting post assessment moderation will alert ESITO if the material has not been pre assessment moderated ESITO will ensure that the material is moderated and the assessor / provider informed of any modifications required.

ESITO encourages a mentoring process between moderators and assessor / providers to achieve assessments and assessment material that meets the National Standard. This process may be informal e.g. phone call or email contact. ESITO may also request the moderator make a visit to the assessor / provider to resolve problems. Consistent problems may be referred to the National Moderator and may lead to non-compliance (procedure 16).

Moderators will also check the assessment material against the standard to ensure that the material is current and the assessment remains valid.

- If the assessment material requires modification the moderator will indicate this on the post assessment moderation form.
- If the moderator indicates that there is no evidence of pre-assessment moderation ESITO will assign the material to a moderator to complete pre-assessment moderation.

Moderators are required to give feedback on the unit standard that the assessment relates to.

- If the moderator considers the standard requires review the ESITO Unit Standard Review form will be completed and submitted with the Moderation Report.

Post assessment moderation reports are to be produced on the approved ESITO form and sent to ESITO when completed; post assessment moderation may be conducted on-line. ESITO will contact the assessor/provider with the moderation result.

## 12.11 Check Moderation

Check moderation is used to maintain and strengthen the national standard and to resolve appeals against assessment or moderation decisions. Moderators are assigned to verify an assessor or moderator decision in assessment or moderation the material may be sent to up to three moderators for check moderation. ESITO will determine the unit standards and the assessment material to be check moderated.

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Considerations for check moderation may include any of the following:

- High risk / high usage assessments.
- Appeal of assessment decisions.
- Appeal of moderation decisions.
- New assessment material.

Check moderation is employed to:

- **Ensure consistency and maintain the national standard:**

An assessment will be assigned to a number of moderators who perform moderation on the material. Moderation is performed across three or more moderators for the same unit standard and assessment samples. ESITO collates the results to gage consistency of decisions across the sample. Should there be considerable differences ESITO will contact the moderators for comment and the material will be discussed at a moderators' forum. In the event of the moderation decisions being discussed within the moderators' forum the moderator's identity will be protected.

- **Resolve appeal of moderation or assessment decisions:**

Check moderation will be performed by at least one other moderator. ESITO will refer to the moderation decisions in resolving the appeal.

## 12.12 Associated Forms

12.12.1 Pre Assessment Moderation Report (electronic format)

12.12.2 Pre Assessment Moderation Report (manual format)

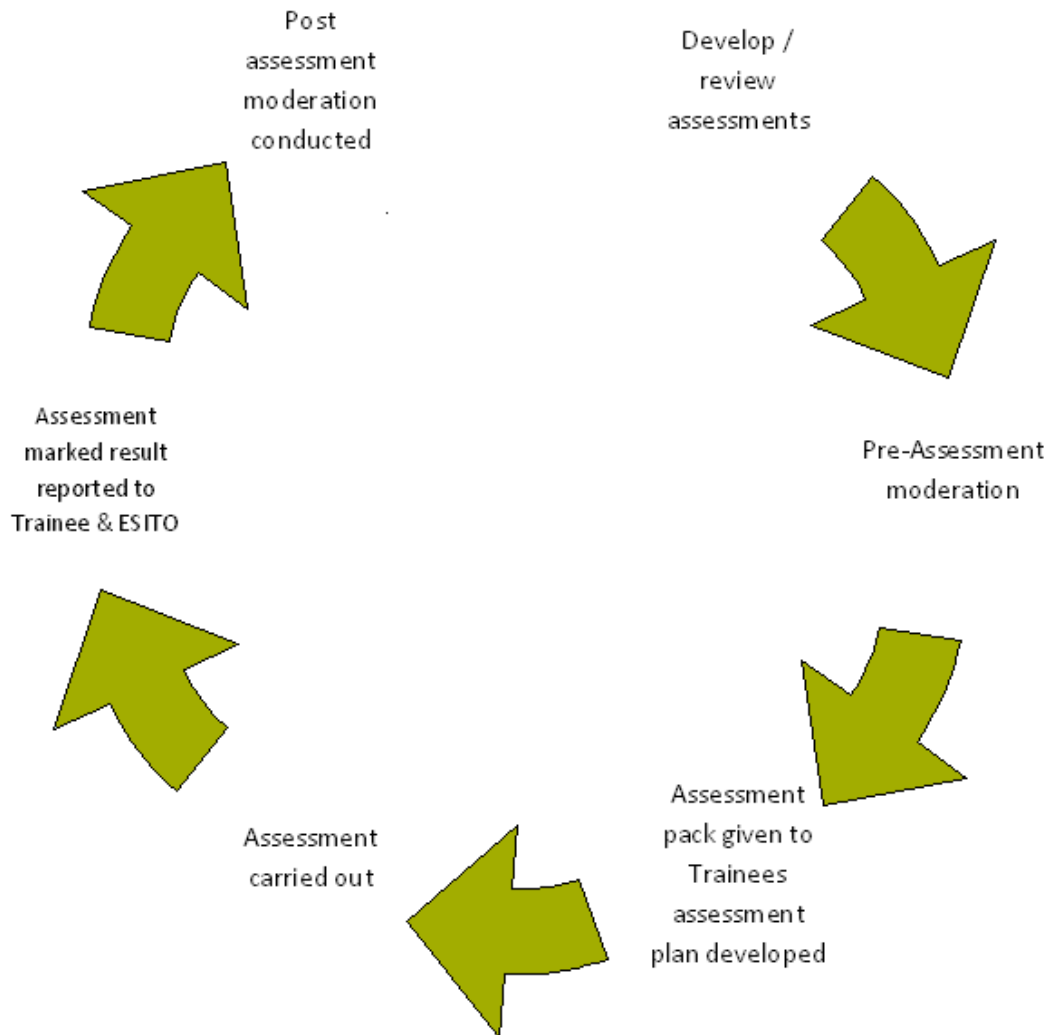
12.12.3 Post Assessment Moderation Report (electronic format)

12.12.4 Post Assessment Moderation Report (manual format)

12.12.5 Unit Standard Review

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## Moderation Process



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## 12.13 Moderation of Registered Assessors

The first 2 assessments conducted by a newly appointed assessor are to be sent to ESITO for moderation. This is to ensure that the assessor is complying with best practice assessment and is conducting assessment to ESITO National Standards.

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

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

When moderation is due, ESITO will notify the assessor in writing detailing the assessment(s) required for moderation and who the moderator is that the samples should be sent to. It is the responsibility of the assessor to hold assessment documentation for at least 12 months. The assessor is required to assemble all the relevant assessment evidence and forward it to the moderator within the specified timeframe. Feedback from the moderation will be received on completion of moderation.

## 12.14 Moderation of Accredited Training Providers

Providers will be evaluated on a cyclical basis against the criterion contained in the ESITO AMAP. There are eight criterion, three of which will remain constant i.e. ESITO Criterion Six, Seven and Eight.

- The visit will focus on the implementation of the selected criterion in accordance with the ESITO Accreditation, Moderation & Assessment Procedures 0120.
- Visits will be detailed in the Annual Moderation Plan.
- The visit may include unit standard moderation.

Training provider moderation visit outcomes may be:

- All criterion requirements met.
- Minor suggestions for change.
- Recommended changes to training provider procedures and/or activities, to be complied with by the date specified by ESITO and agreed with the provider.
- Unsatisfactory - resulting in referral to the ESITO Chief Executive.

## 12.15 Desk Top Moderation

Desk top moderation may be conducted this will be performed either at the ESITO office or the Provider Office.

A moderation report with recommendations for action arising from the moderation process will be produced for desktop moderation detailing the following:

- The number of assessments sampled.
- The form of moderation undertaken.
- Details of the trainees and assessors whose assessment were examined.
- Inconsistencies between the unit and the assessment and schedule.
- Inconsistencies between the schedule and the assessor judgments.

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Moderator and Provider:

- Agree on any issues within the assessment material and process.
- Confirm the corrective actions necessary with specified completion dates.
- Advise ESITO of recommended actions and provide a preliminary report.
- Once all recommended modifications are complete a copy of the final report is to be sent to ESITO.

Re-submission of paper moderation:

- If the training provider does not complete the modifications by the due date the ESITO National Moderator will contact the provider / assessor.
- Further inaction will result in the ESITO National Moderator applying the non-compliance process.

## 12.16 Associated Forms

### 12.16.1 Provider Moderation Visit Forms

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## 13 Moderation Decision Appeal Version 6

### 13.1 Scope

This procedure is used in the event of an assessor or training provider appealing the result of a moderation recommendation.

### 13.2 Procedure

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

#### Stage 1

- a) The appeal should be notified to the moderator, with the reasons for the appeal clearly stated in writing.
  - b) The moderator comments on the appeal.
  - c) The appeal is considered by the ESITO National Moderator who can recommend:
    - Acceptance of the moderation recommendation.
    - Check moderation; by another moderator.
- or
- Mediation to resolve the dispute.

#### Stage 2

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

#### Stage 3

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

### 13.3 Associated Forms

#### 13.3.1 Moderation Decision Appeal Form

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## 14 Moderator Registration Version 7

### 14.1 Scope

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

### 14.2 Definitions

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

### 14.3 Procedure

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

### 14.4 Moderator Training

ESITO will arrange a series of training workshops for moderators. The workshops will provide training to NZQA Unit Standard 11551 *Moderate assessment*, and details of the ESITO specific moderation system.

### 14.5 ESITO Moderator Selection

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

- Their experience as an assessor.
- Their experience of specific skill areas of the industry.
- Qualifications relevant to the industry.
- An assessment of their suitability to undertake moderation activities.
- Industry requirements regarding the number of moderators and their location.
- Achievement of unit standard 11551 Moderate Assessment.

### 14.6 Registration

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

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

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

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

## 14.7 Moderator Contract

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

## 14.8 Re-Registration

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

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

- Attended at least 1 assessor forum within the year of registration.
- Complete at least 5 moderation activities per year.
- Complete NC Adult Education and Training Level 4 or be actively working towards the qualification.

## 14.9 Associated Forms

### 14.9.1 Moderator Registration Application

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## 15 Moderation Reporting Decisions Version 6

### 15.1 Scope

To maintain a consistent moderation procedure for all moderators and to allow ESITO to maintain moderation records that are current for moderation that is in progress and or completed.

### 15.2 Moderation Methods

Moderation of assessment can be conducted in the following ways:

- a. Moderation of assessment material and trainee scripts and or products – paper moderation.
- b. Moderation visits these will only be conducted at the request of ESITO National Moderator.

### 15.3 Moderation process

Pre and post assessment moderation will be conducted as follows:

#### Pre – Assessment Moderation Management

- ESITO will select the units to be moderated, and assign a moderator.
- ESITO notifies the assessor in writing those unit standards required for moderation and the due date of the submission.
- ESITO notifies the moderator with the assessor details, units for moderation and timeframes.
- The assessor sends the material directly to the moderator.
- The moderator prepares the ESITO approved form viz. 'Pre-assessment Moderation Report' giving clear direction to assessors and / or providers of any modifications to be made.
- Moderation should be completed within 30 days of receiving material.
- Moderation decisions will be 'meets the standard, or 'requires resubmission'.
- Resubmission requests will be time bound.
- Moderators will return the material and report to ESITO. ESITO will communicate the moderator's decision to the assessor / provider.

#### Post – Assessment Moderation Management

- ESITO will select the units to be moderated, and assign a moderator.
- ESITO notifies the assessor in writing the unit standards required for moderation and the due date of the submission.
- ESITO notifies the moderator with the assessor details, units for moderation and timeframes.
- The assessor sends the material directly to the moderator.
- Moderation should be completed within 30 days of receiving material.
- The ESITO approved form is to be used for moderations viz. 'Post Assessment Moderation Report' Form.
- The moderator may request further evidence from the assessor, this request should be time bound. Requests should be clearly recorded on the post moderation report.
- If there is no evidence of pre-assessment moderation having taken place this will be noted on the moderation report.

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- When the assessment meets the National Standard the moderator will send a copy of the Post Assessment Moderation Report and the assessment samples to ESITO.
- ESITO will communicate the moderation decisions to the assessor / provider and return the samples. This completes the process.
- Non compliance with moderation and timeframes will be communicated to ESITO by the moderator for action.

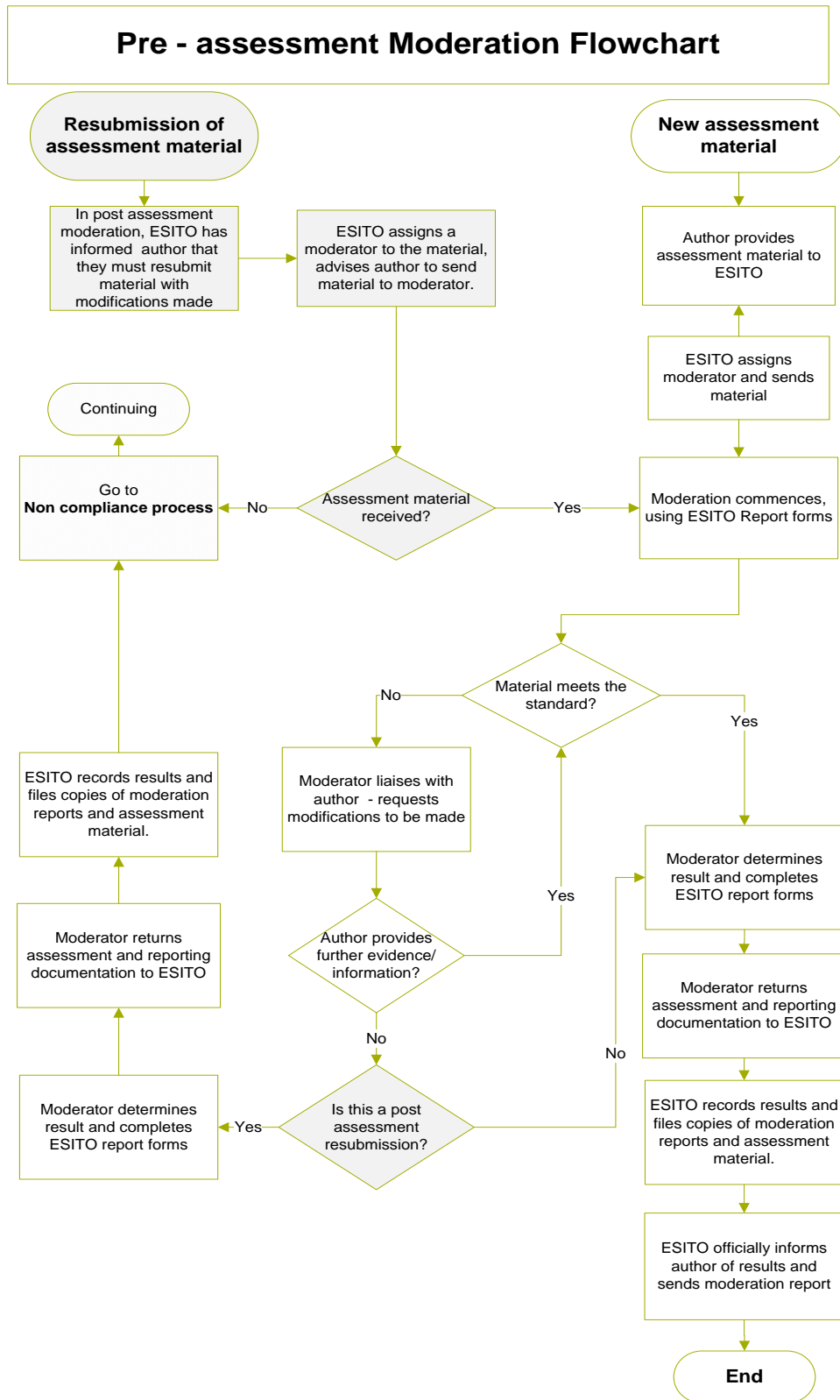
## 15.4 Timeframes

The timeframe for receiving moderation samples is one month.

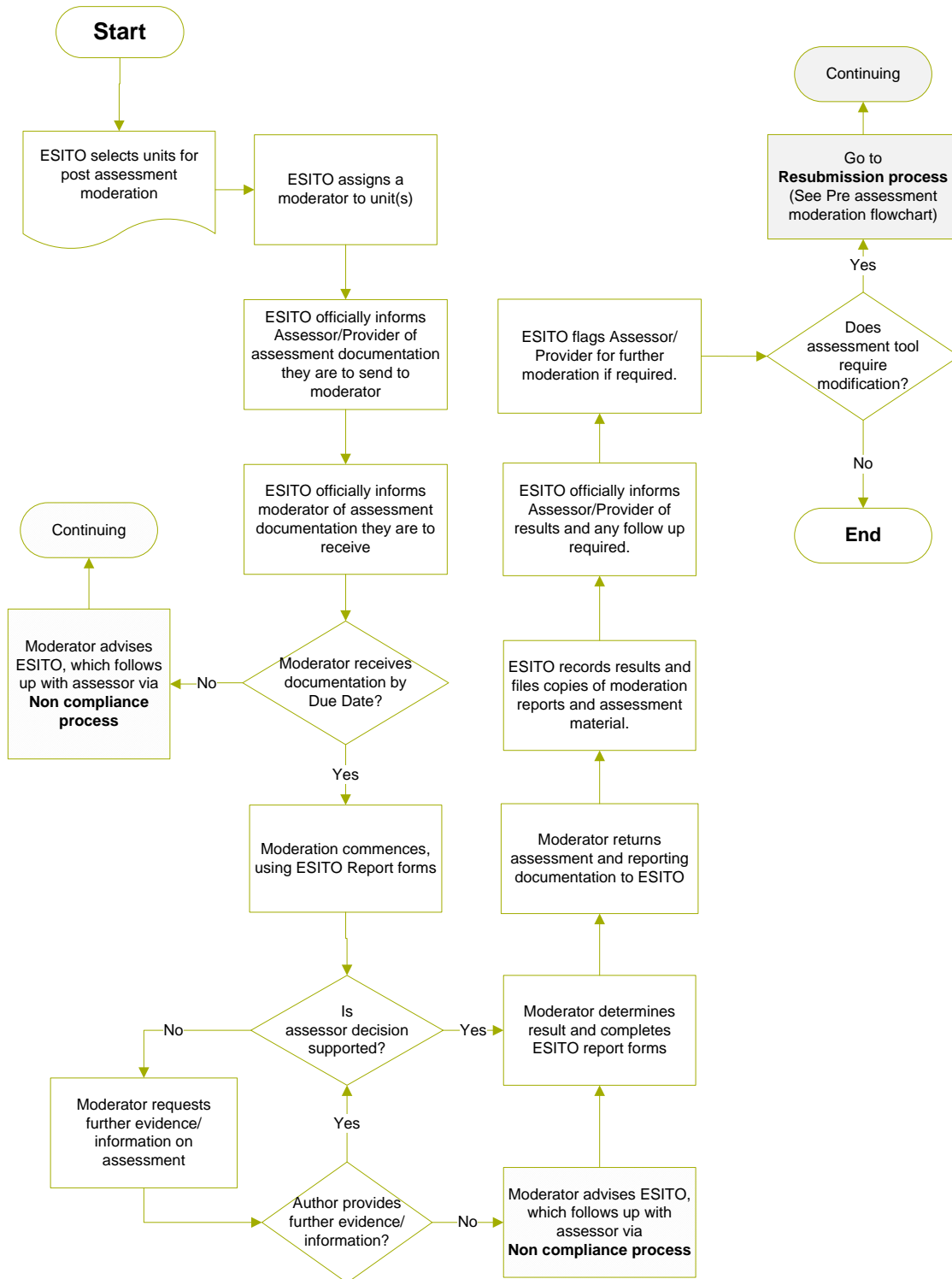
If the material is not received the moderator will contact the assessor and establish the reasons why and renegotiate a due date.

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

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## Post - assessment Moderation Flowchart



## 16 Moderation Non-Compliance Version 1

### 16.1 Scope

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

### 16.2 Definitions of Non-Compliant Performance

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

### 16.3 Non-Compliance Process

Where there is evidence of non-compliance with the requirements for moderation ESITO will seek remedial action. The initial approach will be informal contact between the moderator and the assessor / provider or ESITO and the assessor / provider.

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

- Pre-assessment moderation.
- Provider site visit.
- Professional development.
- Request for provider to produce an action plan for remediation of the issues.
- Scope to assess limitations.

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

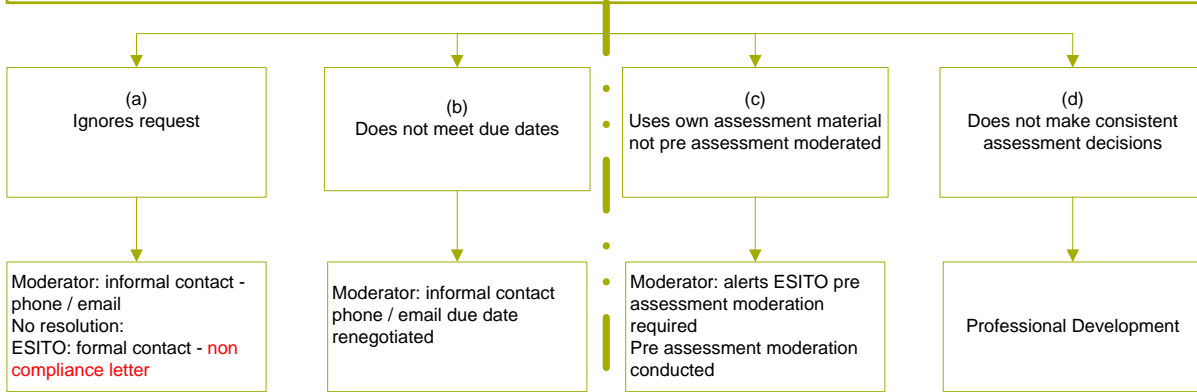
- Referral to the ESITO Moderator Panel.
- Referral to the ESITO Board.
- Removal of the assessor registration (consent to assess).
- Removal of provider consent to assess.

### 16.4 Associated Forms

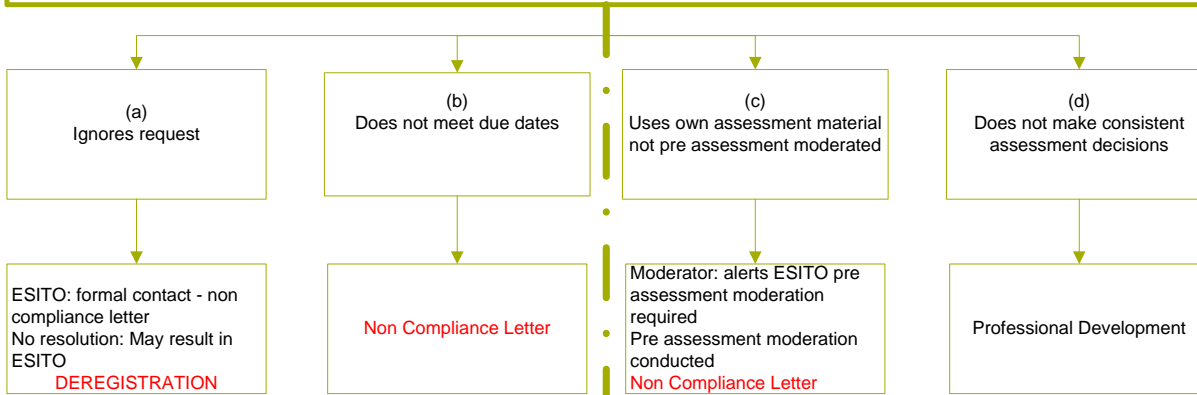
#### 16.4.1 Moderation Non-Compliance Notice

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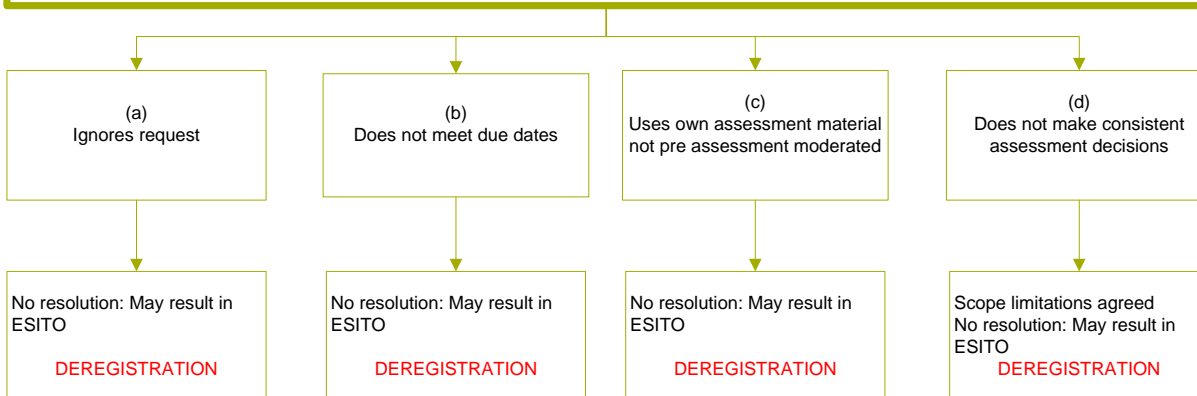
## Moderation Non-compliance Flowchart Assessment material requested from Assessor



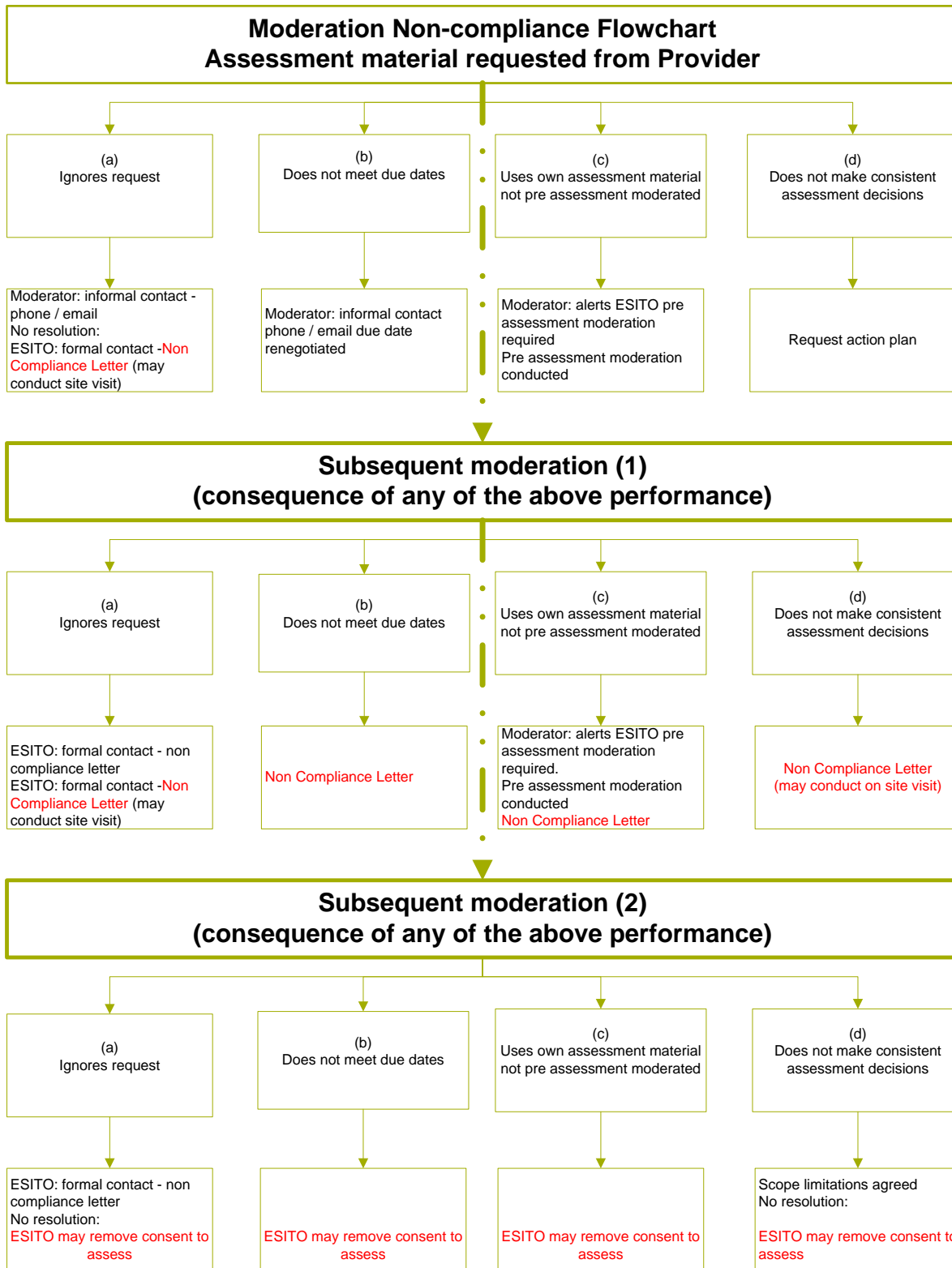
## Subsequent moderation (1) (consequence of any of the above performance)



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



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



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

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## 17 Moderation Management Version 1

ESITO Moderation is managed from lists developed quarterly, the information for these lists comes from ESITO Trainee Management System and quarterly reports accessed from NZQA these lists are retrospective.

### 17.1 Moderation Panel

The permanent moderator panel intentionally mirrors the governance structure of the ESITO Board, it allows for representation across the ESI sectors and other key stakeholders. While the panel itself does not sit in a governance capacity, it does have the opportunity to represent industry interests by influencing key decisions relating to quality assurance matters. In this regard, and aligned to ESITO governance, the panel could be considered as holding kaitiakitanga – a guardianship role.

### 17.2 Moderation Panel Structure

The panel consists of seven positions, one held by the ESITO National Moderator. The positions are:

- National Moderator.
- Asset Owner.
- Distribution sector.
- Transmission sector.
- Generation sector.
- Retail/Business Administration.
- Provider.

At any given time, the composition of the panel will include:

- Four experienced moderators who have served at least one term.
- One moderator with qualifications in Adult Education (at least to level 4).

Panel members may co-opt additional people on to the panel for specific tasks.

### 17.3 Responsibilities

Panel members will provide support and advice on over arching quality assurance strategy and policy to the National Moderator and the Industry Standards and Development Manager.

Planning and delivery of Moderation Services:

- Set the Annual Moderation Plan.
- Determine criteria and cycle of Provider visits.
- Participate in accreditation visits, where appropriate.
- Monitor the peer moderation process.

Promotion and monitoring of assessor and moderator professional development:

- Induction processes.
- Ongoing professional development processes.
- Contributing technical expertise for qualification development.
- Maintaining moderation registration requirements as per the EAMA.
- Providing moderation services as per any contractual arrangements.

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## 17.4 Relationships

Panel members will maintain effective partnerships with the following stakeholders:

- The ESITO Industry Standards and Development (ISD) Manager.
- The ESITO National Moderator.
- The ESITO Technical Advisor.
- ESITO ISD team members.
- Assessors and moderators.
- Industry Experts.
- Asset Owners.
- TEO's.
- Industry Sector Groups.
- Relevant government agencies.

## 17.5 Panel Selection Criteria

The following persons are eligible for nomination to the Moderation Panel. Any person who:

- Is currently an ESITO registered moderator AND
- Has held that position for a minimum of two years.

The following attributes are required:

### Technical Expertise

- Expertise as a moderator.
- Experience of specific skill areas of the industry.
- Achievement of Unit Standards 4098 (or 4099) 11551 and 11552.
- Sound understanding of NZQA Quality Assurance Standards.
- National Certificate in Adult Education and Training, Level 4 (or continuing to work towards this).

### Personal Attributes

- Excellent relationship management skills.
- High level of negotiation and facilitation skills.
- Excellent interpersonal skills.
- Strong analytical skills.

## 17.6 Election of Panel Members

Panel members will be nominated from within the larger Moderator group.

1. Moderators are invited to nominate a person for each vacant seat on the panel (a possibility of 6 nominations in all).
  - The nominees will be from the current moderator group.
  - Self nominations are accepted.
2. Nominations are tallied and the person with the most nominations for each position will hold the seat.
3. Where there are no nominations for a position, ESITO may invite a moderator from within the existing moderator pool on to the panel.

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4. Where there is a tie for a position, ESITO will cast the deciding vote.
5. In casting any deciding vote, ESITO will select a person that compliments the skill sets of the other panellists (Section 4, Criteria for Panel Selection, applies).

### 17.7 Length of Tenure

- Two years, after which a member may stand for re-election.
- A member may continuously serve on the panel for up to 6 years. (A maximum of two re-elections).

### 17.8 Meetings

The panel will meet at least three times per year. The timeframe below is provided as a guideline:

- April - timed to occur prior to the qualification review
- July/August - mid point.
- October - to coincide with the Annual Connection and the General Moderators Meeting.

### 17.9 Honorarium

An honorarium may be claimed. The honorarium will be set by ESITO and the terms will be appended to the moderators' contract for service.

### 17.10 Reimbursement of Expenses

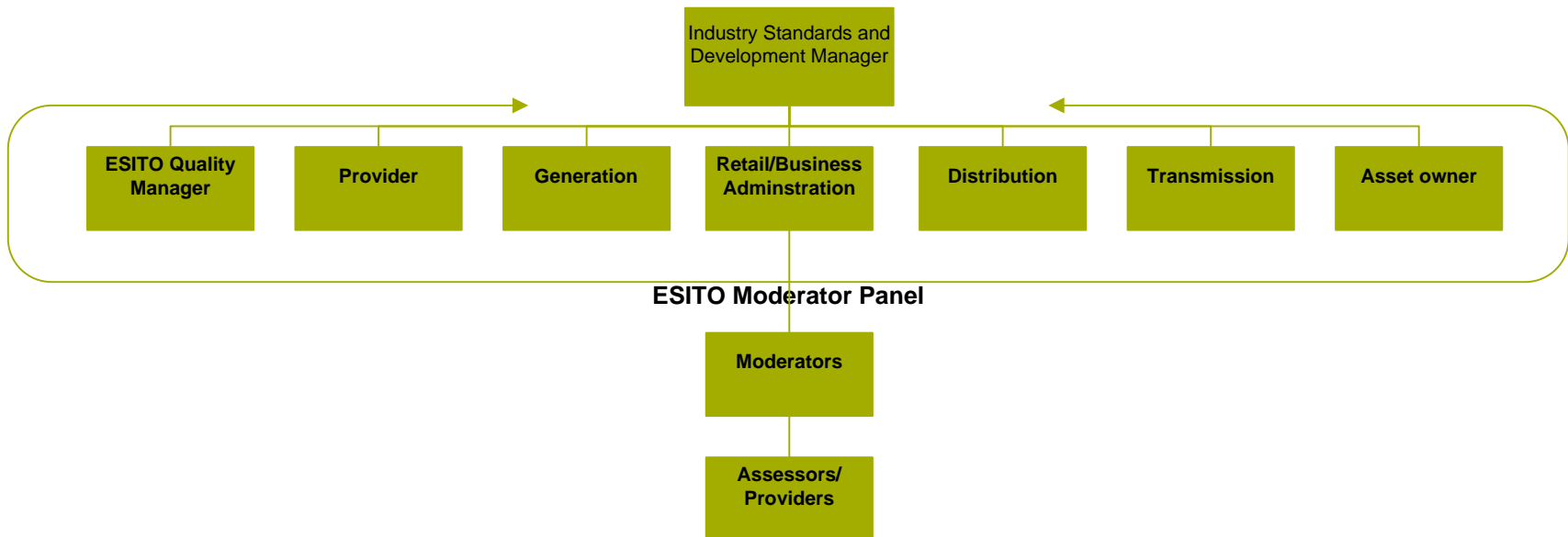
Reimbursement of expenses will be as per the Contract for Services and will include reimbursement for travel time, mileage and parking.

### 17.11 Travel and Accommodation

ESITO will arrange any travel and accommodation required.

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## ESITO Moderation Panel



## 18 Moderation of ESITO by other Standard Setting Bodies Version 6

### 18.1 Scope

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

### 18.2 Definitions

Moderation	Moderation is a quality assurance process, it is the method by which the National Standard is established and maintained across all providers and assessors ensuring assessment is fair, valid and consistent. The ESITO philosophy is that this process should be one of support, development and interaction.
Standard Setting Bodies	A collective term that covers industry training organisations that set and manage standards registered on the National Framework within a specific industry scope.

### 18.3 Request from Standards Setting Bodies

When a moderation request is received from an SSB, ESITO will provide the requested moderation samples from material that has already been pre-assessment moderated within the ESITO moderation plan.

- ESITO will request the relevant assessment material from the assessors or training providers who have assessed those unit standards.
- Assessors and/ or training providers are required to hold assessment material for a one year period.
- ESITO will require the samples to be submitted within fourteen days. A stamped addressed ESITO envelope will be included with the request.
- ESITO will have the material moderated by an ESITO moderator prior to the sample being sent to the SSB.
- ESITO will inform the assessor / provider of the moderation decisions of the SSB.
- ESITO will follow-up any modification requirements of the reports.
- Non-compliance of requests for SSB moderation material will follow the process ESITO process of non-compliance.

## 19 NZQA Annual Moderation Activity Reporting Procedure Version 6

### 19.1 Scope

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

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

### 19.2 Requirements / Procedure

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

This report requires comment on the following areas:

- An over view of all moderation activities with reference to the Accreditation and Moderation Action Plan (AMAP).
- Details of expenditure on EXTERNAL moderation activities.
- Problem resolution in relation to the moderation system and timeframes for completion.
- Procedures used to evaluate/review moderation systems.

#### Summary

- The form to be used is the annual reporting for National Moderation Template supplied by NZQA.
- This template is to be completed and returned to the Assessment and Moderation Unit of NZQA by March 31<sup>st</sup>.

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## 20 Training Provider Consent to Assess Version 6

### 20.1 Scope

Training providers may apply to ESITO to gain consent to assess (accreditation) in Electricity Supply Industry unit standards. ESITO will support consent to assess for providers that demonstrate they can meet and maintain the conditions within the Accreditation and Moderation Action Plan 0120 (AMAP).

### 20.2 Application Requirements

The following requirements must be met by an NZQA registered training provider before ESITO grants consent to assess against ESITO registered units and qualifications.

- The Provider must be accredited by the New Zealand Qualifications Authority (NZQA) or an equivalent overseas organisation.
- The Provider has formally agreed to comply with the standards set by ESITO for training, assessment, moderation, reporting and documentation.
- The Provider has an established Quality Management System with appropriate documentation.
- The provider will produce and submit training and assessment material for moderation.
- The training to be provided by the Provider effectively meets the training and development needs of ESITO's member companies.
- The provider must have sufficiently trained trainers and assessors.
- Formal recognition of the accreditation has been signed by ESITO's Industry Standards Manager.

### 20.3 Evaluation visits

ESITO will visit providers one year after consent to assess ESITO standards is approved and thereafter, visits will be cyclical.

The objective of the quality assurance evaluation visit is to enhance relationships and communication with our providers and to promote good practice. A visit to the Provider site will be made by an assigned ESITO moderator accompanied by an ESITO staff member. The evaluation will focus on the provision of training within the Electricity Supply Field.

Evaluation visits to providers will involve evaluation against the criterion contained in the ESITO AMAP. There are eight criteria, three of which will remain constant i.e. ESITO Criteria Six, Seven and Eight.

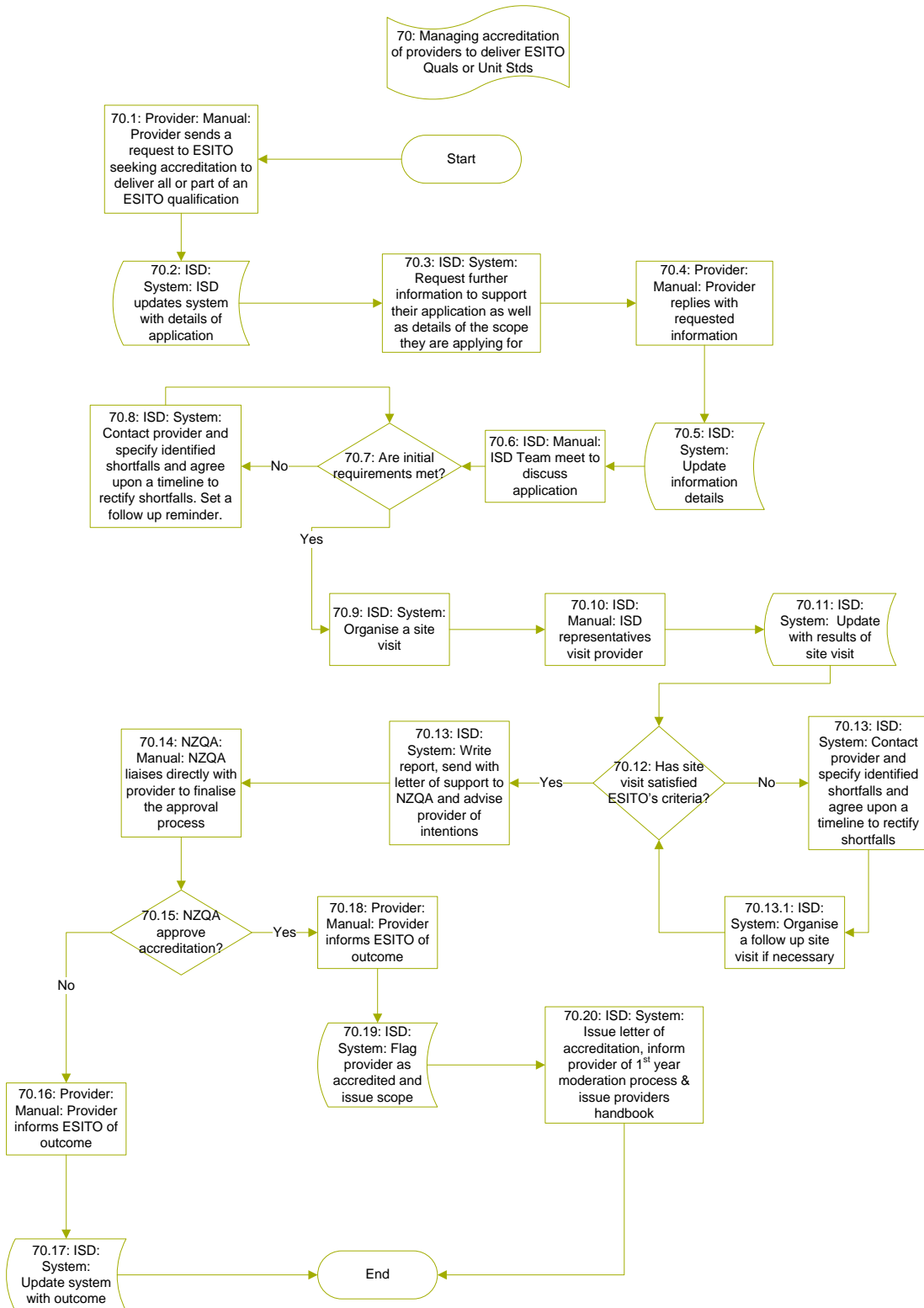
- The visit will focus on the implementation of the selected criterion in accordance with the ESITO Accreditation, Moderation & Assessment Procedures 0120.
- Visits will be detailed in the Annual Moderation Plan.
- The visit may include unit standard moderation.

Training provider moderation visit outcomes may be:

- All criterion requirements met.
- Minor suggestions for change.
- Recommended changes to training provider procedures and/or activities, to be complied with by the date specified by ESITO and agreed with the provider.
- Unsatisfactory - resulting in referral to the ESITO Chief Executive.

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## Consent to Assess Process Flowchart



## 21 Removing ESITO Consent to Assess Version 6

### 21.1 Scope

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

- Maintaining and implementing all the consent to assess criteria detailed in the ESITO Accreditation and Moderation Action Plan (AMAP) 0120.
- Maintaining and implementing the recommendations and directions detailed in ESITO's Moderation and Audit Reports.
- Maintaining and implementing ESITO's formal reporting and documentation requirements.
- Providing training outcomes that meet the agreed expectations of the industry client.

### 21.2 Appeal Loss of Accreditation

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

The appeal decision will be by majority vote by the panel and the decision is final.

### 21.3 Steps of Appeal

Supply formal written notification to ESITO's Industry Standards and Development Manager requesting an appeal and detailing the rationale for the review.

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

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

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

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

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## 22 Removing Invalid Assessment Results Version 1

### 22.1 Scope

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

### 22.2 Identification of Invalid Unit standard

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

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

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

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

### 22.3 Actions to resolve the risk

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

Trainee:

- Further training.
- Re-assessment.

Provider/assessor:

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

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

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## 23 Catalogue of ESITO EAMA Forms

EAMA code	ESITO Assessment Procedures Form Description	Version
3.13.1	<b>Registered Assessor Application Form</b> This form is to be completed by assessors making application for registration as an ESITO registered assessor.	7
3.13.2	<b>Application for Assessor Extension of Scope</b> To be used by assessors when seeking extension to assessment scope.	2
4.4.1	<b>SHAG Assessor Evidence Plan</b> This form is to be used when assessing SHAG unit standards.	6
5.7.1	<b>RCC Candidate Assessment Pack:</b> This portfolio is to be used in RCC assessment of unit standards; this is not the format for qualification assessment.	1
5.7.2	<b>RCC Assessor Handbook</b> This is a reference guide for assessors. RCC assessors should access this handbook prior to conducting RCC assessment.	1
5.7.3 5.7.4.	<b>RCC Line Mechanic Candidate Pack</b> <b>RCC Line Mechanic Assessor Pack</b> This material is an integrated assessment pack for units toward the Line Mechanic qualifications number 0874 & 1389	1
6.19.1	<b>Credit Registration Summary</b> This form is to be used by assessors to report credit to ESITO.	3
6.19.2	<b>Assessor Pack</b> This pack must include an assessment schedule which describes the assessment event. It will give a clear indication of the parameters of competence and how the assessment decisions are to be made. Specific Unit standard criteria should be related to the evidence required with qualitative and quantitative judgement statements.	1
6.19.3	<b>Trainee Assessment Pack</b> This format is to be used for all ESITO assessment material.	1
8.3.1	<b>Trainee Assessment Evaluation</b> Use this form for trainees to give an evaluation of the assessment fairness and process.	6
9.4.1	<b>Technical Expert Assessment Validation</b> When a Technical Expert is used to confirm/validate trainee competence in assessment this form is to be completed and held with the assessment material.	3
10.4.1	<b>Trainee Assessment Decision Appeal</b> This form is used when a trainee appeal becomes a formal complaint.	7
12.12.1 12.12.2	<b>Pre Assessment Moderation Report</b> There are 2 forms 12.12.1 is to be used manually 12.12.2 is the electronic version. These forms are to be used when moderating new material prior to assessment or in moderation of other providers assessment material against the standard for suitability.	1
12.12.3 12.12.4	<b>Post-assessment Moderation</b> There are 2 forms 12.12.3 is to be used manually 12.12.4 is the	1

	electronic version. These forms are to be used when moderation of trainee scripts are being checked to ensure the assessment schedule has been applied consistently and fairly.	
12.12.5	<b>Unit Standard Review Form</b> This form is to be used when making a submission for review of a unit standard.	7
12.16.1	<b>Provider Moderation Visit Forms</b> These forms are to be used to moderate providers, they cover the AMAP criterion for moderation visits.	7
13.3.1	<b>Moderation Appeal Form</b> This form is to be used when an assessor wishes to appeal the moderators report decisions.	7
14.9.1	<b>Moderator Registration Application Form</b> This form is to be used when applying for registration as an ESITO moderator.	8
16.4.1	<b>Moderation Non-Compliance Notice</b> This form will be used to notify assessors/providers of non-compliance with moderation requirements.	6