



ESITO Training Provider Accreditation & Moderation Handbook

2009

Contact:


Natalie Simmons
NZI Building, 11 Garden Place
PO Box 1245
HAMILTON
Ph: 07 834 3892 Fax: 07 834 8160
natalies@esito.org.nz



ESITO Training Providers Accreditation & Moderation Handbook

Contents

Section	Page	
EAMA 4.1	ESITO Accreditation as a Provider	3
EAMA 3.1	ESITO Assessor & Training Provider Moderation Procedures	4
EAMA 3.2	ESITO Standard Setting Body Moderation Procedures	15
EAMA 3.4	ESITO Moderation Appeal Procedure	17
EAMA 3.4.1	ESITO Moderation Appeal Coversheet	18
EAMA 3.8.1	ESITO Provider / Moderator Details Form	19
EAMA 3.8.2	ESITO Criterion One – Development & Evaluation of Teaching Programmes	20
EAMA 3.8.3	ESITO Criterion Two – Financial, Administrative & Physical Resources	25
EAMA 3.8.4	ESITO Criterion Three – Staff Selection, Appraisal & Development	26
EAMA 3.8.5	ESITO Criterion Four & Five – Student Entry / Support Guidance & Support Systems	28
EAMA 3.8.6	ESITO Criterion Six – Off-Site Practical or Work Based Components	30
EAMA 3.8.7	ESITO Criterion Seven & Eight – Assessment / Reporting	31
EAMA 3.9.1	ESITO Pre-Assessment Moderation Flowchart	35
EAMA 3.9.2	ESITO Post-Assessment Moderation Flowchart	36

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 4.1	ESITO Accreditation as a Provider


The following requirements must be met by an NZQA registered training provider before they can be accredited by ESITO.

- The Provider must be accredited by the New Zealand Qualifications Authority (NZQA) or an equivalent overseas organisation.
- The Provider has been assessed by ESITO as having met all of the criteria set out in the ESITO Accreditation and Moderation Action Plan (AMAP) 0120.
- The Provider has formally agreed to comply with the standards set by ESITO for training, assessment, reporting and documentation.
- The training to be provided by the Provider effectively meets the training and development needs of ESITO's member companies.

Formal recognition of the accreditation has been signed by ESITO's Industry Standards Manager.

This document is non-controlled and out-dated if printed.

COPYRIGHT ©2008 Electricity Supply Industry Training Organisation. ESITO.
Reproduction, Adaptation, or utilization either in part or in whole is prohibited without the prior written consent of ESITO.

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.1	ESITO Assessor and Training Provider Moderation Procedures

1. Scope

This policy details the standard requirements for the moderation of ESITO registered assessors and training providers.

2. Definitions

ESITO Assessor

The ESITO assessor registration system is the same for both workplace assessment, and off-job assessment on training provider programmes.

REGISTRATION CATEGORY

ESITO has three categories of registered assessors:

Category One


Assessors who have successfully completed Unit standard 4098 *Use standards to assess candidate performance* and meet the ESITO selection criteria will be designated as category one assessors. Category one assessors must use ESITO approved or category two assessor developed assessment instruments to assess any unit standards for which they hold accreditation.

Category Two

Assessors who hold Unit standard 11552 *Design assessment* and Unit Standard 4098 *Use standards to assess candidate performance* and meet the ESITO selection criteria will be designated as category two assessors. Category two assessors can design and use new assessment instruments for any unit standards for which they hold accreditation. Assessors who are internal workplace assessors must have this designed material pre moderated by ESITO before use.

Category Three

Assessors who hold Unit standard 11551 *Moderate assessment*, Unit standard 11552 *Design assessment*, Unit standard 4098 *Use standards to assess candidate performance* and meet the ESITO selection criteria will be designated as category three assessors. Category three assessors may be appointed to the ESITO moderation panel and conduct moderation on selected unit standards for ESITO.

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.1	ESITO Assessor and Training Provider Moderation Procedures

ESITO recognises and categorises assessors in the following manner;

- ITO Registered **Internal Workplace Assessors** – employed by companies for on-job assessment of unit standards that are accredited with the ITO.
- ITO Registered **External Assessors** – Training Provider Trainers who deliver training and assess to unit standards.

Note: An internal workplace assessor can be employed by a training provider. When this occurs the assessor works under the QMS of that provider.

ESITO NATIONAL MODERATOR

The appointment of the national moderator is to oversee all moderation activities implemented by the moderation panel. The national moderator will also be the chairman of the ESITO moderation panel.

ESITO MODERATOR


Moderator

A moderator means an individual responsible for carrying out moderation processes. A moderator may be an external moderator used by ESITO to moderate the assessments of different organisations or ESITO workplace assessors.

A moderator is an independent person who has acknowledged expertise to confirm that assessment results reflect intended standards.

Moderation

A term that broadly covers processes used for assuring the consistency of assessment with the required standard. It is a system “to ensure that different applications of standard assessments remain within acceptable limits.

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.1	ESITO Assessor and Training Provider Moderation Procedures

3. Requirements / Procedure

IMPLEMENTATION OF MODERATION PROCEDURE

The overall co-ordination of moderation is the responsibility of:

Contact Name: Natalie Simmons– Industry Standards and Development Coordinator
ITO: Electricity Supply Industry Training Organisation (ESITO)
Address: PO Box 1245
Hamilton 3240
Telephone No: 07-834 3898
Fax No: 07-834 8160
E-mail: natalies@esito.org.nz
Website: www.esito.org.nz

Moderation Information (MI)

A centrally established and directed external moderation system has been set up by the Electricity Supply Industry Training Organisation (ESITO).

The Moderation process

The Moderation Process will ensure fair and consistent assessment across industry. The key elements involve:


Moderation Panel

The moderation panel is appointed by the ESITO to guide and advise those responsible for assessments in the regions. Implementation and facilitation of the moderation panel is the responsibility of the National Moderator. The moderation panel may consist of ESITO moderators, and representation may be from accredited providers and workplace assessors, and ESITO management. The moderation panel will report to the national moderator on a required basis. The key purpose of the moderation panel is to facilitate national consistency of assessment.

Appointment of Moderators

ESITO will appoint moderators to implement the Annual Moderation Plan. Selection will be based on moderation expertise and knowledge of industry training programmes.

The Industry Standards and Qualification Developer is responsible for each moderation event. He will be responsible for co-ordinating the moderation event and maintaining records of meetings.

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.1	ESITO Assessor and Training Provider Moderation Procedures

Moderation Activities

The moderation activities of the Moderation Panel will include:

- Liaison with the ESITO National Moderator, sector, regional and ESITO assessors to ensure valid assessment practice,
- Ensuring assessments are correctly administered according to ESITO guidelines,
- Ensuring valid assessment methods are consistently applied at all assessment points, including assessment centres,
- Advising workplace assessors and accredited training providers on the use of supplied assessment activities and assessment guides for ESITO Unit Standards,
- Resolving any issues of uncertainty relating to assessment,
- Maintaining a record of moderation activity, visits and reporting in written form to ESITO regarding the operation of the annual moderation plan, and
- Recommendations for the continued registration of assessors.

Moderation Procedures, Timing and Sampling

The Moderation Panel will be required to assure ESITO through an adequate sample that:


- National standards are being met;
- Assessments are fair and valid assessment practice occurs; and
- Only trainees who are meeting the national standard of competence are being credited with registered unit standards.

Moderation activities will be conducted as per the ESITO Annual Moderation Plan. This level of activity will ensure that all active assessors are moderated within the registration period.

See Annual Moderation Plan (Published by ESITO January of each year)

Moderation may be applied by:

- Moderation site visits scheduled with prior consultation,
- Spot moderation of any assessor at any time,
- Spot audits scheduled with prior consultation,
- Moderation of specific unit standards by workplace assessors,
- Pre-assessment moderation by workplace assessors,
- Post-assessment moderation by workplace assessors.

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.1	ESITO Assessor and Training Provider Moderation Procedures

Registered Assessors Moderation

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 minimum 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; and
- Discussions with learners.

It will be the responsibility of the assessor to hold all other documentation of assessment. Assessment evidence should be held for at least 12 months. When moderation is due, the assessor will receive notification by mail detailing the assessment(s) required to be moderated and where to dispatch. 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.

Non-Compliance of assessors with moderation processes


- Formal notification of non-compliance; and
- Recommendation for action which may include:
- Coaching; or
- Retraining; or
- Removal of the assessor from the register.

Accredited Training Provider Moderation

The moderation activity for training providers may be:

Annual visits to providers will involve three of the seven criterion contained in the ESITO AMAP. This visit will not cover any unit standard moderation but ensure that the selected criterion in accordance with the ESITO Accreditation, Moderation & Assessment Procedures 0120 are being observed.

- 2006 Criterion 1, 5 and 7
- 2007 Criterion 1, 3 and 4

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.1	ESITO Assessor and Training Provider Moderation Procedures

Training provider outcomes may be:


- All criterion requirements meet
- Minor suggestions for change
- Recommended changes to training provider procedures and/or activities that must be complied with by the date specified by the moderator and agreed with the provider
- Unsatisfactory results resulting in referral to the ESITO management team.

Accredited training provider trainers will be moderated using the same process as for workplace assessors.

Moderation requests for assessment material of unit standards governed by a standards setting body other than ESITO unit standards. This may include but is not limited to; ETITO, FITEC.

Moderation records will include details of:

- The number of assessments sampled;
 - The form of moderation which occurred;
 - Details of the learners and assessors whose assessment were examined;
 - Major deficiencies in assessment in the validity of assessment material and assessor judgements; and
 - A report with recommendations for action arising from the moderation process.
1. After moderation, the moderator and training provider are to agree on any non-compliance issues and confirm the corrective actions necessary with specified completion dates. A copy of this preliminary report to be provided to ESITO.
 2. Once all corrective actions are completed, a copy of the final report to be sent to ESITO.
 3. If the training provider does not complete the corrective actions by the due date, a report on the actions taken and training provider non-compliance must be reported to the ESITO National Moderator.

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.1	ESITO Assessor and Training Provider Moderation Procedures

The ESITO National Moderator will then apply the non-compliance process:

- Formal notification of non-compliance; and
- Recommendation for action which may include:
 - Appointment of another moderator to meet with the training provider to resolve the issues; or
 - Removal of the provider from the ESITO approved provider register; or
 - Referral to the ESITO Board

Monitoring of the moderation processes

The monitoring of moderation will be the responsibility of the ESITO Board. The Board will review reports received from the National Moderator, and where appropriate, discuss key issues.


Non-Compliance of Moderation Procedures

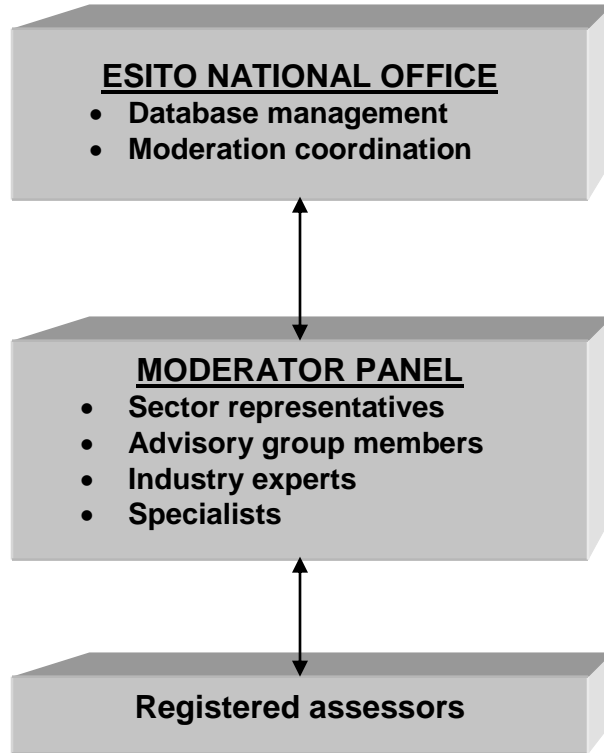
Cases where the industry's defined moderation processes have not been properly applied will be referred to the ESITO Board for action.


The Board will consider the following options in cases of serious non-compliance:

Non-Compliance of Moderation Panel

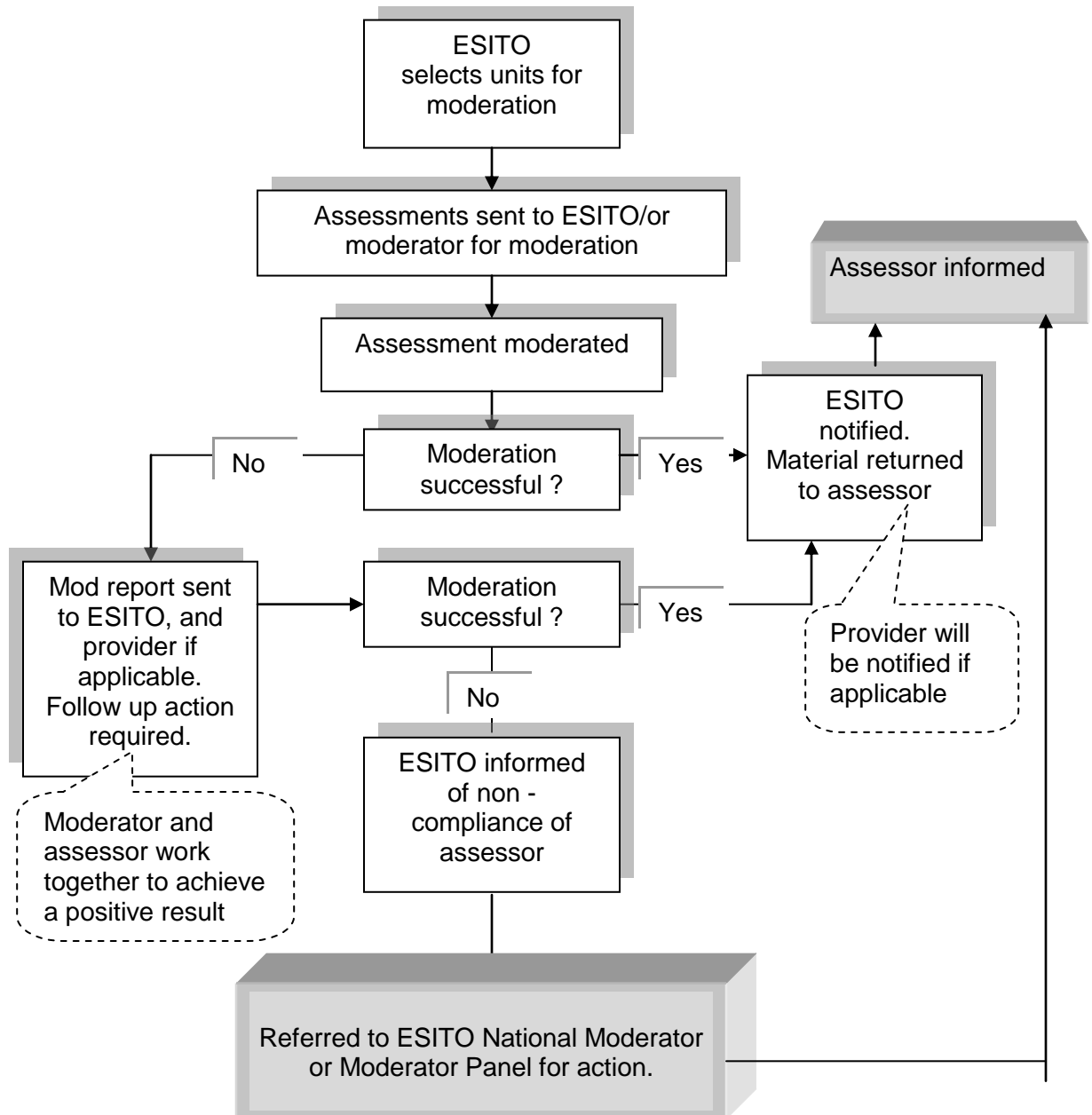
- full review of panel activities;
- replacement of panel members; and
- reconstituting the panel.

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.1	ESITO Assessor and Training Provider Moderation Procedures




	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.1	ESITO Assessor and Training Provider Moderation Procedures

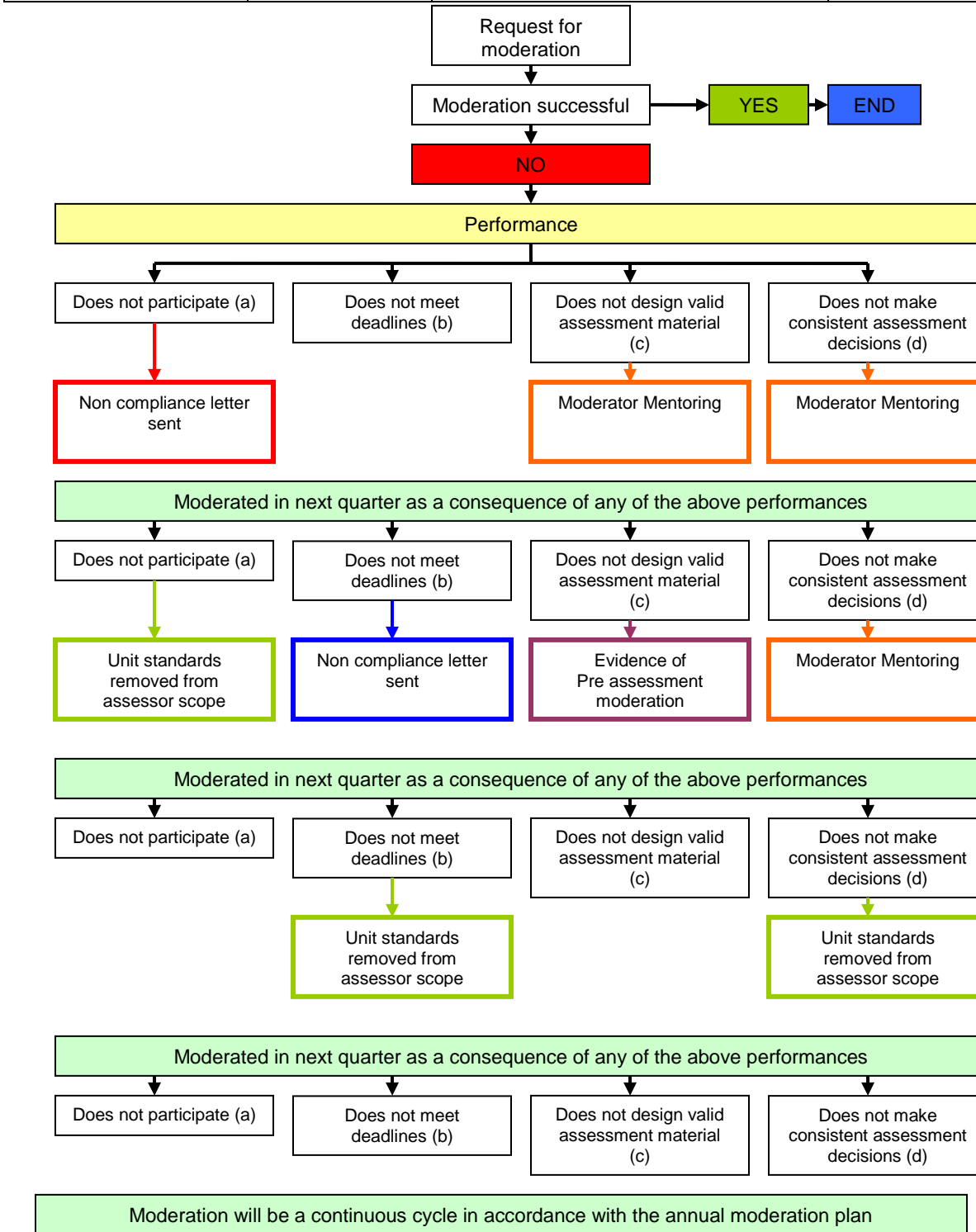
REGISTERED WORKPLACE ASSESSOR AND TRAINING PROVIDER MODERATION PROCESS




The moderation non-compliance procedures flowchart is on the following page:

This document is non-controlled and out-dated if printed.

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.1	ESITO Assessor and Training Provider Moderation Procedures



This document is non-controlled and out-dated if printed.

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.1	ESITO Assessor and Training Provider Moderation Procedures

Definitions of performance:

- (a) **Does not participate** - no contact with moderator and no delivery of assessment material.
- (b) **Does not meet deadlines** - participates in moderation however requires extensions through various reasons.
- (c) **Does not design valid assessment material** - is required to modify assessment material.
- (d) **Does not make consistent assessment decisions** - lack of evidence, not adhering to best practice in assessment.

Non compliance letter - a standard letter sent to the assessor and associated PTE if applicable, reminding the assessor of their obligations as an ESITO registered assessor and the implications if they do not participate in moderation.

Unit Standards removed from assessor scope - a letter sent to the assessor and associated PTE if applicable, stating that the subject unit standards within a domain will be removed from the assessors database for a period of six months.


Evidence of Pre-assessment moderation - Poor design of assessment material would be a result of no pre-assessment moderation. When submitting material for moderation, evidence of pre-assessment moderation is to be supplied. This may include;

- any internal pre-assessment moderation completed,
- the use of pre-assessment moderated material such as those downloaded from the ESITO website,
- Peer assessment activity check by a designer of assessment material or a moderator.

Moderator Mentoring - when a moderator conducts post-assessment moderation, feedback is given to the assessor by way of a moderation report.

This feedback will be written but can also be verbal or a visit when suggested by ESITO. ESITO encourages the participation between assessors, and moderators and assessors.

This mentoring process is designed to lead the assessor to improving assessment practices and improvement must be seen in order for this process to be effective. If there is no improvement from the assessor after several opportunities then they will be referred to the National Moderator for consideration on registration.

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.2	ESITO Standard Setting Body Moderation Procedures
		Version 5

1. Scope

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

2. Definitions

ESITO ASSESSOR

The ESITO assessor registration system is the same for both workplace assessment, and off-job assessment on training provider programmes.

Moderation

A term that broadly covers processes used for assuring the consistency of assessment with the required standard.

It is a system “to ensure that different applications of standard assessments remain within acceptable limits”.

Standards Setting Bodies

A collective term that covers industry training organisations and national standards bodies


National Standards Body

A body recognised by the board of the Qualifications Authority as having responsibility for standards in framework areas outside the scope of specific industries; commonly known as a NSB.

3. Requirements / Procedures

Request From National Standards Setting Bodies

When a moderation request is received from a NSB, ESITO will provide the requested by requesting the relevant assessment material from the ESITO assessors or training providers who have assessed those unit standards.

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.2	ESITO Standard Setting Body Moderation Procedures


It will be the responsibility of the assessor or training provider to hold all documentation of assessment. When a NSB moderation is advised, the assessor or training provider will receive notification detailing the assessment(s) to be moderated and a stamped envelop addressed to ESITO. The assessor is required to assemble all the relevant assessment evidence and forward to ESITO within fourteen days.

Feedback from the moderation will be given on completion of the NSB Moderation

Non-Compliance of Assessors with Moderation Processes

- Formal notification of non-compliance; and
- Recommendation for action which may include:
- Coaching; or
- Retraining; or
- Removal of the assessor from the register.

Note: Not all ITO's conduct moderation in a similar manner. Assessors can be called upon to service moderation at any time for other ITO'S.

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.4	ESITO Moderation Appeal Procedure

1. Scope

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

2. Requirements / Procedure

ESITO MODERATION APPEAL PROCESS

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; and
- c) The appeal is considered by the ESITO National Moderator who can recommend:
 - i. Acceptance of the moderation recommendation;
 - ii. Re-moderation; by another moderator, or
 - iii. Mediation to resolve the dispute.


Stage 2

- d) If the National Moderator is unable to satisfactorily resolve the appeal,
- e) The National Moderator will aim to resolve the appeal by two options:
 - i. Acceptance of the recommendation;
 - ii. Forming a special appeal panel from the moderation panel.

Stage 3

If the ESITO National Moderator or appeal's process is unsuccessful, then the final recourse for an assessor is to appeal to NZQA for arbitration. This will be done via ESITO National Office.

EAMA 3.4.1 ESITO Moderation Appeal Coversheet is to be used when making an appeal of moderation.

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.4.1	ESITO Moderation Appeal Coversheet

Providers are advised to contact ESITO, telephone 07 834 3892 or fax 07 834 8160, email kated@esito.org.nz before using this form when appealing moderation decisions on assessment(s). Please note that an appeal must be made **within 3 weeks** of the date of the moderation results letter and moderation report.

Provider Name: _____

Assessor Registration Number and Name: _____

Moderation Report Received Date: _____

The following are enclosed with this form:

Copy of moderation report


Reasons for appealing moderation decision (in detail)

Date received at ESITO: _____

Position and Name: _____

Please send the completed cover sheet and details of reasons for the appeal with a copy of the moderation report to the:

National Moderator,
ESITO,
PO Box 1245,
HAMILTON 3240

	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.1	ESITO Provider / Moderator Details Form	Version 6

PROVIDER DETAILS

Organisation's

Name _____

Location _____

Contact _____

Phone _____

Email _____

MODERATION DETAILS

Moderator Name _____

Email _____

Phone _____

Dates

Moderation Scheduled

Moderation Completed

Moderator Report By

Provider Response

Assessments _____

Site Visit _____

Follow-up visit* _____


* Only if required

This document is non-controlled and out-dated if printed.


COPYRIGHT ©2008 Electricity Supply Industry Training Organisation. ESITO.
 Reproduction, Adaptation, or utilization either in part or in whole is prohibited without the prior written consent of ESITO.

	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.2	ESITO Criterion One – Development & Evaluation of Teaching Programmes	Version 6

Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings (Write UA if unavailable)	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
	Yes	No			
A	Quality Management System in place for the development, delivery and evaluation of learning programmes (Peer, learner and industry links)				
<i>I</i>	<i>Programme Materials</i>				
<i>ii</i>	<i>Programme Delivery</i>				
<i>iii</i>	<i>Existing Programme Currency</i>				
<i>iv</i>	<i>Appropriateness of Delivery Method</i>				
B	Industry Links (One of the following established and operational)				
<i>i</i>	<i>Industry Advisory Committee Established</i>				
<i>ii</i>	<i>Representative on an Industry Training Provider Organisation</i>				

	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.2	ESITO Criterion One – Development & Evaluation of Teaching Programmes	Version 6

Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings (Write UA if unavailable)	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
	Yes	No			
C	Programme Design				
<i>I</i>	<i>Is the purpose of each programme clearly related to the needs of the clients / learners & stakeholders?</i>				
<i>ii</i>	<i>Are the components of each programme relevant to its purpose?</i>				
<i>iii</i>	<i>Are the planned training, teaching and assessment methods for each programme appropriate to its purpose and learners?</i>				
<i>iv</i>	<i>Is the programme material well presented, current and technically acceptable to industry?</i>				

	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.2	ESITO Criterion One – Development & Evaluation of Teaching Programmes	Version 6

Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings (Write UA if unavailable)	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
	Yes	No			
C	Programme Design (continued)				
v	<i>There is a system of design, resourcing and evaluation that delivers well-structured programmes.</i>				
D	Programme Delivery				
i	<i>Is teaching and training in each programme characterised by a sense of purpose and organisation and a concern for learners as individuals?</i>				
ii	<i>Wherever possible, is learning active and do we give learners responsibility for their own learning?</i>				
iii	<i>Are the responsibilities for programme delivery clear and appropriately allocated?</i>				

This document is non-controlled and out-dated if printed.


COPYRIGHT ©2008 Electricity Supply Industry Training Organisation. ESITO.
Reproduction, Adaptation, or utilization either in part or in whole is prohibited without the prior written consent of ESITO.

	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.2	ESITO Criterion One – Development & Evaluation of Teaching Programmes	Version 6


Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings <i>(Write UA if unavailable)</i>	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
	Yes	No			
D	Programme Delivery (continued)				
iv	<i>Is programme redesign and delivery reviewed and findings acted upon?</i>				
v	<i>Distance Learning Only: Do the processes ensure learners needs and expectations are supported?</i>				
D	Programme Evaluation				
i	<i>New programme material evaluated by internal peers or contractors and industry prior to use</i>				
ii	<i>Regular trainee evaluation of delivered programmes gained and acted upon where appropriate</i>				

	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.2	ESITO Criterion One – Development & Evaluation of Teaching Programmes	Version 6


Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings (Write UA if unavailable)	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
	Yes	No			
C	Programme Evaluation (continued)				
iii	<i>Stakeholder comment gained on trainee outcomes from programmes and acted upon where appropriate</i>				
iv	<i>Regularly monitor and review processes for gaining input from clients and stakeholders?</i>				

	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.3	ESITO Criterion Two – Financial, Administrative & Physical Resources	Version 6

	Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings (Write UA if unavailable)	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
		Yes	No			
A	<i>Financial, administrative and physical resource policies, procedures, responsibilities, evaluation and reviews followed</i>					
B	<i>Policies that demonstrate quality, location, health, safety and comfort of staff and learners</i>					
C	<i>Policies for Health and Safety implemented</i>					
D	<i>Adequate financial resources to provide education and training services?</i>					
E	<i>Systems in place to protect client's course fees paid in advance?</i>					

	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.4	ESITO Criterion Three – Staff Selection, Appraisal & Development	Version 6

Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings (Write UA if unavailable)	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
	Yes	No			
A	Staff Selection, appraisal and development policies and procedures are followed for:				
<i>I</i>	<i>Full Time Trainers</i>				
<i>ii</i>	<i>Part Time Trainers</i>				
<i>iii</i>	<i>Casual Trainers</i>				
<i>iv</i>	<i>Contractors</i>				
B	Trainer selection and appointment to deliver programmes – Trainers have qualifications and/or experience in advance of the training being offered				
<i>I</i>	<i>Full Time Trainers</i>				
<i>ii</i>	<i>Part Time Trainers</i>				
<i>iii</i>	<i>Casual Trainers</i>				
<i>iv</i>	<i>Contractors</i>				


	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.4	ESITO Criterion Three – Staff Selection, Appraisal & Development	Version 6

Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings (Write UA if unavailable)	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
	Yes	No			
A	Staff Development				
<i>i</i>	<i>Development undertaken over the past 12 months by all training staff related to the industry developments and technology advances</i>				
<i>ii</i>	<i>Personal development plans developed for the next 12 months for all training staff related to the industry and training advances</i>				
<i>iii</i>	<i>All full time staff have completed or are completing qualifications to the development, delivery, assessment and evaluation of training programmes.</i>				
<i>li</i>	<i>All training staff have or are completing Unit Standards 4098 and 11552</i>				

Reference: Training Providers Accreditation Moderation Handbook.doc Page 27 of 36

This document is non-controlled and out-dated if printed.

COPYRIGHT ©2008 Electricity Supply Industry Training Organisation. ESITO.
Reproduction, Adaptation, or utilization either in part or in whole is prohibited without the prior written consent of ESITO.


	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.5	ESITO Criterion Four & Five – Student Entry / Support Guidance & Support Systems	Version 6

	Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings (Write UA if unavailable)	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
		Yes	No			
A	<i>Processes exist to ensure learners have access to appropriate guidance and support</i>					
B	<i>Documents supplied to learners adequately cover the following areas:</i> <ul style="list-style-type: none"> • <i>Rules and regulations</i> • <i>Disciplinary procedures</i> • <i>Welfare and learner support services</i> • <i>Complaints procedures</i> • <i>Assessment procedures</i> 					
C	<i>Are all learners inducted into the learning programme?</i>					


Reference: Training Providers Accreditation Moderation Handbook.doc Page 28 of 36

This document is non-controlled and out-dated if printed.


COPYRIGHT ©2008 Electricity Supply Industry Training Organisation. ESITO.
Reproduction, Adaptation, or utilization either in part or in whole is prohibited without the prior written consent of ESITO.

	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.5	ESITO Criterion Four & Five – Student Entry / Support Guidance & Support Systems	


	Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings <i>(Write UA if unavailable)</i>	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
		Yes	No			
D	<i>Are programmes entry requirements appropriate to the level and content of the courses. Do they allow learners a reasonable chance of success?</i>					
E	<i>Does the organisation have policies and processes for handling applications for recognition of current competency?</i>					
F	<i>Does the programme application form have provision for student disclosure of any health factors or physical limitations which might affect the work being performed, personal safety or the safety of others?</i>					

	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.6	ESITO Criterion Six – Off-Site Practical or Work Based Components	Version 6

Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings <i>(Write UA if unavailable)</i>	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
	Yes	No			
A	On-Worksite Training				
<i>i</i>	<i>Procedure for gaining the appropriate entry approval is in place and followed</i>				
<i>ii</i>	<i>Documented evidence of this relationship is established (e.g. a contract or memorandum of understanding):</i>				
<i>iii</i>	<i>Checks are made to ascertain the site is equipped with the appropriate technology and equipment for the training and assessment programme</i>				
<i>iv</i>	<i>Site induction is undertaken and health and safety standards of the site established and fully complied with</i>				

	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.7	ESITO Criterion Seven & Eight – Assessment / Reporting	Version 6


Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings <i>(Write UA if unavailable)</i>	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
	Yes	No			
A	Assessment Evaluation				
<i>I</i>	<i>New assessment material is moderated (internal or external) prior to use?</i>				
<i>ii</i>	<i>Existing assessment instruments are reviewed regularly?</i>				
<i>iii</i>	<i>Checks are made post assessment to confirm the validity and quality of evidence</i>				
B	Assessor Appointments				
<i>I</i>	<i>Checks are made to ensure that assessors appointed to a programme have the appropriate registration to assess the unit standard(s) in that programme Full & Part time, Casual & Contractors</i>				

	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.7	ESITO Criterion Seven & Eight – Assessment / Reporting	Version 6


Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings <i>(Write UA if unavailable)</i>	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
	Yes	No			
B	Assessor Appointments (continued)				
ii	<i>Where other providers are contracted to assess Unit Standards, checks are made with the relevant NSB's or ITO's regarding compliance with their moderation / assessment requirements</i>				
C	Trainee Information				
i	<i>Trainees receive fair and regular feedback on progress and fair reporting of the final achievement</i>				
ii	<i>Trainees are informed about reassessment and appeal opportunities and procedures</i>				

This document is non-controlled and out-dated if printed.


COPYRIGHT ©2008 Electricity Supply Industry Training Organisation. ESITO.
Reproduction, Adaptation, or utilization either in part or in whole is prohibited without the prior written consent of ESITO.

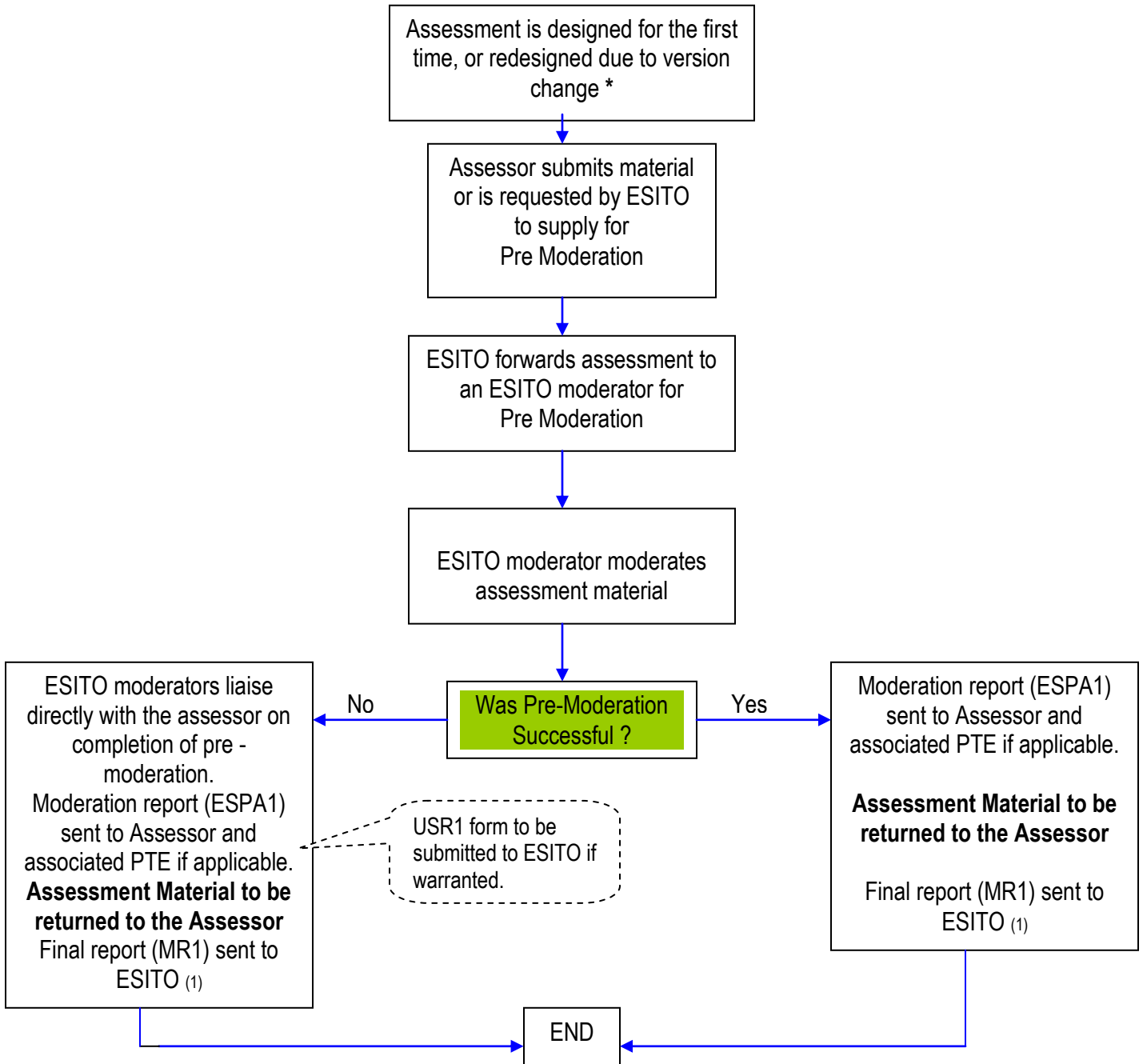
	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.7	ESITO Criterion Seven & Eight – Assessment / Reporting	Version 6

Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings <i>(Write UA if unavailable)</i>	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
	Yes	No			
C	Trainee Information (continued)				
iii	<i>Trainee achievement information is managed in accordance with The Privacy Act 1993, Official Information Act and NZQA requirements</i>				
iv	<i>Opportunities exist for candidates to undertake further assessment if standards are not met</i>				
v	<i>Where the assessment result is NYC the trainee is briefed in writing of the requirements to gain the Unit Standard</i>				

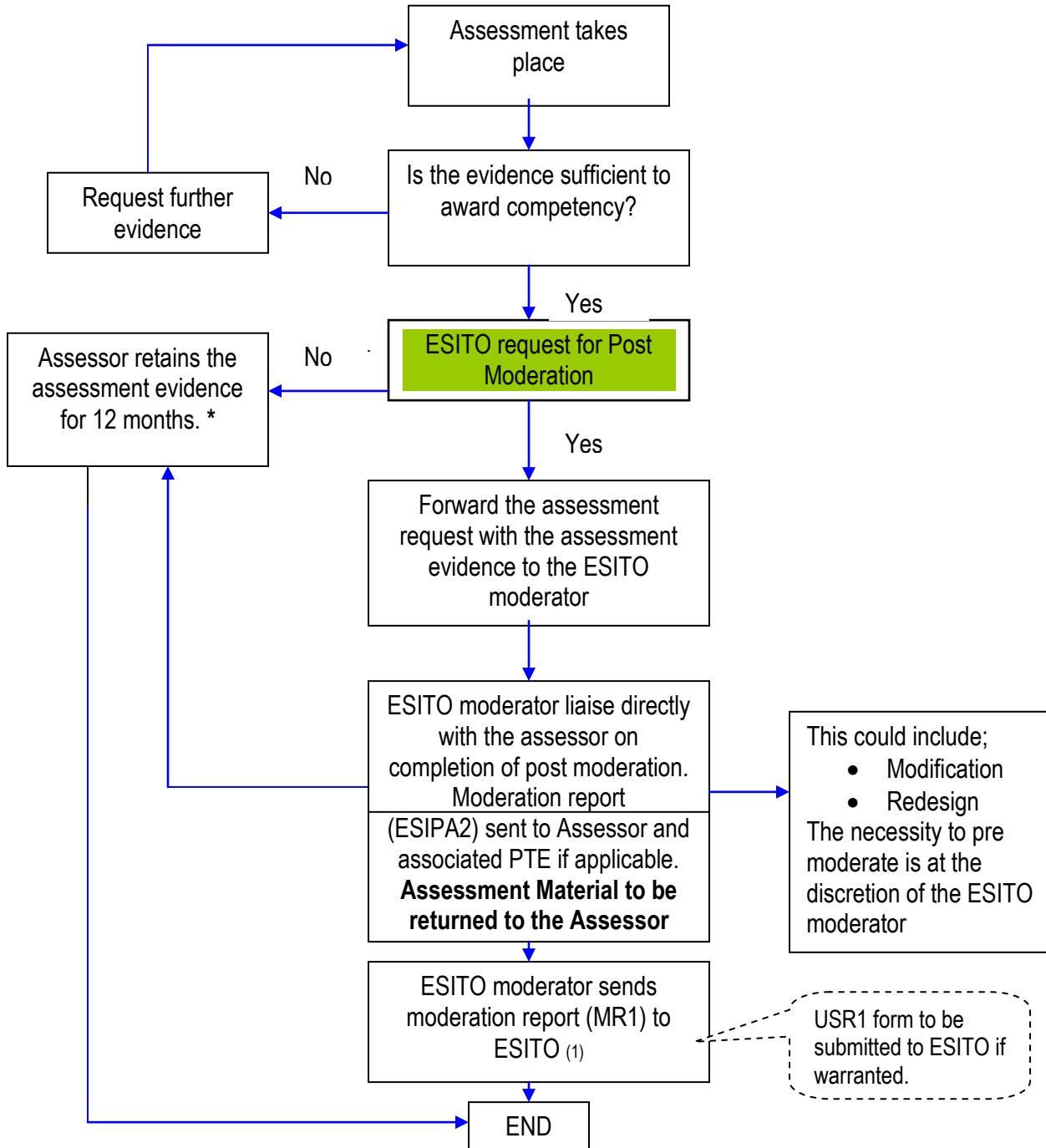
	ESITO Accreditation, Moderation & Assessment Procedures 0120		
	EAMA 3.8.7	ESITO Criterion Seven & Eight – Assessment / Reporting	Version 6

Requirements (R)	Are they met?		List of Evidence Information and/or documents available to support findings (Write UA if unavailable)	Corrective Actions Required Specify details of non-compliance	Corrective Action Plan *State what needs to be done *Completion date *Person responsible <u>Must be developed with the Provider</u>
	Yes	No			
D	Reporting				
<i>i</i>	<i>Procedures are in place and followed to ensure the accuracy of recording assessment outcomes</i>				
<i>ii</i>	<i>Procedures are in place and followed to ensure the accuracy of reporting assessment outcomes to the trainee. Note: This could include the correct reporting of trainee NZQA number, date of birth, real names</i>				

	ESITO Accreditation, Moderation & Assessment Procedures 0120	
	EAMA 3.9.1	ESITO Pre-Assessment Moderation Flowchart



* This only applies to workplace assessors not located at a recognised Training Provider. **Providers have their own internal moderation processes.**
 (1) Only the moderation outcome is to be sent to ESITO.



* This only applies to workplace assessors not located at a recognised Training Provider. **Providers have their own procedures.**

(1) Only the moderation outcome is to be sent to ESITO

This document is non-controlled and out-dated if printed.