



Quality Assurance's
Consent, Moderation and Assessment Policies and Procedures
(CMAPP)
giving effect to the Connexis Governance Policy
(Consent Moderation Requirements (CMR)).

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1. Document Control Policy

1.1. Purpose

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

1.2. Scope

This policy covers:

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

1.3. Definitions

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

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

1.4. New Policy

A new policy will be developed on request of the Quality Team and/or the Head of Marketing and Industry Standards when procedural changes are required. Policy will be accepted and ratified by the Head of Marketing and Industry Standards presented to the moderators' panel in the capacity defined in 13.5 of kaitiakitanga.

1.5. Review

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

1.6. Revision

Revision of the CMAPP that changes the character of the document or any part thereof will be undertaken only on direction of the Head of Marketing and Industry Standards.

The Document Control Record will be updated and the Revision Verification Table will be signed by the Quality team and the Head of Marketing and Industry Standards.

Revision that involves only minor change will be undertaken in consultation with the Quality Team.

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1.7. Change Process

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

- A request for change may result from consultation with industry, trainees, assessors, moderators or Connexis staff.
- 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 for feedback and comment.
- Changes will be accepted and ratified as per sections 2.6 and 2.8.
- The Document Control Record will be updated.
- On completion of this process the changes will be saved as the 'Published Document' in the Connexis document management system, this is the master copy and may not be used as a working file.
- Previous revisions of the CMAPP will be filed in accordance with Connexis document management procedures
- Assessors, moderators and Connexis staff will be notified of changes and new document publication.
- A 'change alert' will be communicated when the change process is completed and the CMAPP is updated as above.

1.8. Publication

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

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

1.9. Associated Forms

1.9.1. Document Control Form

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2. Assessor Registration Policy

2.1. Purpose

The purpose of the Assessor Registration Policy is to provide a clear policy for anyone applying to become a Connexis Workplace Assessor.

2.2. Scope

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

- A workplace assessor; or
- An external assessor.

2.3. Definitions

Assessor	A registered assessor with Connexis who has an approved scope of assessment and meets the registration criteria
Casual Credits	Credits that are achieved outside of a training agreement and total less than 10 credits
External assessors	Reports assessment results through a training organisation and comply with the training providers Quality Management System (QMS).
NZTA	New Zealand Transport Agency
Off Job Assessment	Assessment conducted 'off job' through a training provider.
On Job Assessment	Assessments conducted at trainee's workplace 'on job'. May include practical and theory assessment.
TAG	A Training Agreement signed by a trainee and company before they commence their study programme with Connexis.
Workplace assessors	Report assessment results through Connexis and comply with the policies in this document.
WRT	Wheels Rollers Tracks
WRT Assessors	WRT Assessor may be either Workplace or External assessors

2.4. Connexis Assessor (assessor(s))

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

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

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Connexis recommends that external assessor apply to be a Connexis Assessor. External assessors will be unable to register credits through Connexis Web Portal.

2.5. Connexis Assessor Selection Criteria

Applications must show evidence of demonstrated skill and knowledge within the applicants intended scope.

Connexis assessor's registration approval requirements:

- Nomination by employer and/or Customer Service Area/Account Manager
- Experience within the industry specific to scope application
- Evidence of holding unit standard 4098 - Use standards to assess candidate performance or demonstrate equivalent knowledge.
- Assessment decisions supported in Connexis post assessment moderation for two (2) assessments within assessors Scope of Registration.

2.6. 4098 Workshops

Connexis may arrange opportunities for prospective Connexis assessors to attend workshops, which may include NZQA 4098 Use standards to assess candidate performance and 11281 Prepare candidate(s) for assessment against standards.

2.7. Assessor Registration Application

To register as a Connexis assessor the Assessor Application form must be fully completed and returned. The application must include copies of relevant qualifications, certificates, registrations; NZQA Record of Achievement; current Curriculum Vitae (CV) detailing work experience, drivers licence for WRT applications, evidence of achieving unit standard 4098 or equivalent, and an industry endorsement.

The applicant is required to list requested scope by unit standard and be supported by the applicant's employer. Applications will be reviewed by Connexis staff, and where appropriate a technical advisor.

Successful applicants are notified of approved Scope of Registration within 20 working days.

Unsuccessful applicants are notified reasons why application is declined within 20 working days.

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

2.8. Unique Identifier

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

2.9. Assessor Scope

The scope identifies the unit standards the assessor is registered to assess; and reflects both the qualifications, and experience of the assessor.

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Scope requests

Assessors will attain scope of assessment if they:

- Have achieved the qualification relating to the unit standard, hold EWRB or industry registration;
- hold the unit standard;
- can provide evidence of skill and/or knowledge to at least the level of the unit standard.

Access of an assessor Scope of Registration/Assessment is through the Connexis Web Portal. Documentation on use of the Web Portal is available, once registered.

2.10. Wheels Rollers Tracks (WRT) Assessors

WRT assessors are registered as a Connexis assessor and have registration with the New Zealand Transport Agency (NZTA). WRT assessors are to notify Connexis of the NZTA course provider number prior to conducting any assessments.

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

Assessors must meet the NZTA requirements for assessments and reporting of the WRT unit standards.

2.11. Extension of Assessor Scope

Assessors may apply for an extension of their scope using the Connexis Assessors Application Form and attach all supportive evidence of skill and knowledge to the application.

2.12. Registration Period

The registration period for a Connexis assessor is 3 years or part thereof.

To maintain registration assessors must:

- Attend a Connexis Assessor Professional Development workshop biennially
- Be actively assessing and reporting credits within the assessor registration period
- Demonstrate consistent and fair assessment practices through moderator Supported decisions in the post-assessment moderation process. More than one unsupported decision in any given 12-month period will initiate a review process of the assessors registration and may include a mentor being assigned.

2.13. Re-Registration

Connexis will notify registered assessors to re-register three (3) months prior to the expiry date.

Assessors that do not re-register within 6 months of their registration expiring will be de-registered. De-registered assessors are required to reapply as a new applicant.

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2.14. Assessor Professional Development

Connexis will arrange professional development forums on an annual basis. Assessors must attend one professional development forum biennially.

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

2.15. Assessor Details

Assessor are obligated to notify Connexis of change of details. Assessors can update their details through the Web portal or by completing an Assessors Application form with updated details of their new employers. Assessors must contact the QA team to remove existing email address from web portal. Assessor will re-register on the web portal using new email address.

2.16. Assessing out of Scope of Registration

Assessors should review their scope to identify what unit standards they have scope to assess, prior to assessment occurring. Registered assessors may only report credits within their registered scope. Assessors reporting credit out of scope are in breach of their registration.

Credits reported out of scope by an assessor affects the release of trainee's results reported to NZQA until the breach is resolved.

If an assessor assesses out of Scope of Registration:

- Assessor notified of the breach with an assessors form attached. Assessor application form must be completed and return to the Quality Assurance Team for review. The scope extension must be approved before further assessment is undertaken against the units in question. Assessor will be notified if their application is accepted or declined.
- If assessor application is declined, and assessor continues reporting declined unit standard results or results for unit standards outside of Scope of Registration, the assessor will immediately lose access to report credits, either through the web portal or by manual reporting. An internal investigation regarding the breach will be initiated. A meeting with the assessor will be called to resolve the credit reporting issue. The outcome may result in the assessor being de registered.
- Processing of assessment results will occur for the first infringement. However, subsequent infringements will require re assessment, with credits reported by an assessor with scope to assess that/those standard(s). Assessor is responsible for any financial costs relating to the reassessment of affected assessments results.

2.17. Associated Forms

2.17.1. Assessor Registration Guide

2.17.2. Connexis Assessor Registration Application

2.17.3. 4098 Assessor Registration Form

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3. Recognition of Current Competency (RCC) Endorsement Policy

3.1. Purpose

The purpose of the Recognition of Current Competency (RCC) Endorsement Policy is to provide clarity between an RCC assessor and general assessor and the process to be undertaken to for a current assessor to become RCC Endorsed.

RCC assessment awards framework credits when achievements are current and meet national standards. Evidence includes but is not limited to formal training, attestations, current involvement in industry, professional discussion, a current practising licence from within the industry where appropriate, and may include referee contact.

3.2. Scope

Connexis RCC Endorsed assessors may, within the parameters outlined within this policy and assessor scope limitations, use the RCC method to assess competence against Connexis Qualifications on the New Zealand Qualifications Framework (NZQF).

3.3. Definition

CSAM	Customer Service Area/Account Manager
RCC	Recognition of Current Competency
RoA	Record of Achievement
RPL	Recognition of prior learning

3.4. RCC Assessors

Registration as an RCC assessor requires: assessor to be experienced; hold the relevant qualification(s), hold registration (specific to industry if required), have a good moderation history; and attend RCC training conducted by a Connexis approved trainer.

The RCC endorsement will be within the assessor's field and level of expertise. The assessor may apply for an extension of scope where required to report credits for the whole qualification. The assessor must submit the first three completed RCC assessments for post-assessment moderation.

Connexis has developed and approved integrated RCC assessment packs for qualification assessment. These RCC packs are accessible on request to RCC registered assessors only.

Provider assessment resources for qualifications to be awarded using RCC assessment must be developed collaboratively with Connexis and will remain the intellectual property of Connexis.

RCC endorsement is contingent on post assessment moderation being supported by the moderator. Unsupported moderation decisions will require the assessor to undertake further training, directed by Connexis, or relinquish their registration.

RCC Endorsed Assessor registration will run concurrently with assessor registration.

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3.5. RCC Assessment

RCC is assessment of current skills and knowledge against the requirements of a qualification. Each RCC package allows for evidence to be gathered to meet best practice guidelines in assessment.

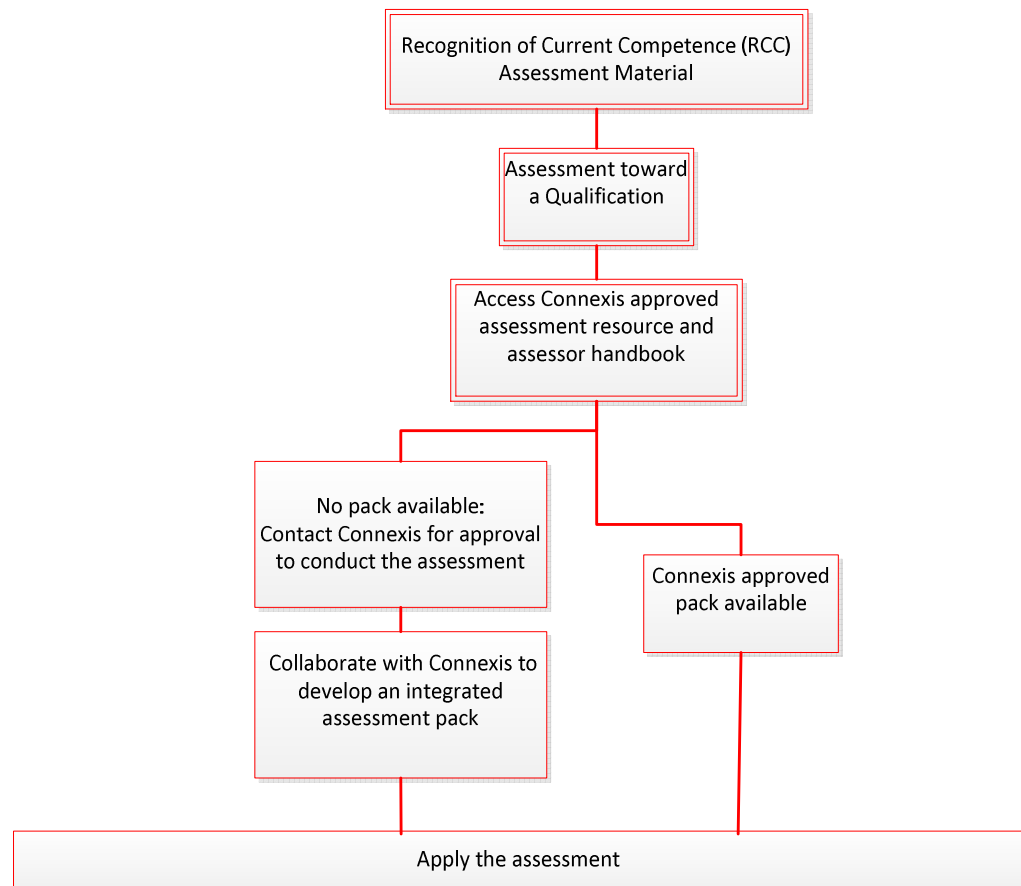
The procedure for RCC assessment is as follows:

- The trainee's Company or Connexis Customer Service Area Manager (CSAM) identifies the trainee has current skill and knowledge to the level of the qualification
- An internal or external RCC endorsed assessor is assigned to trainee
- The trainee enters into a Training Agreement with Connexis
- The CSAM and/or the assessor will meet with the trainee. The qualification under assessment will be agreed and unit standards within the programme identified for RCC assessment. The assessor will perform a skill and knowledge gap analysis
- The assessor or CSAM will agree with the trainee the type and source of the evidence required and the timeframe within which it will be submitted
- The trainee 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 trainee
- The assessor will conduct a professional discussion with the trainee, they will interview 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 make the assessment decision and notify the trainee of the decision
- The trainee will have an opportunity to gather further evidence if required
- The assessor will report the credits to Connexis.

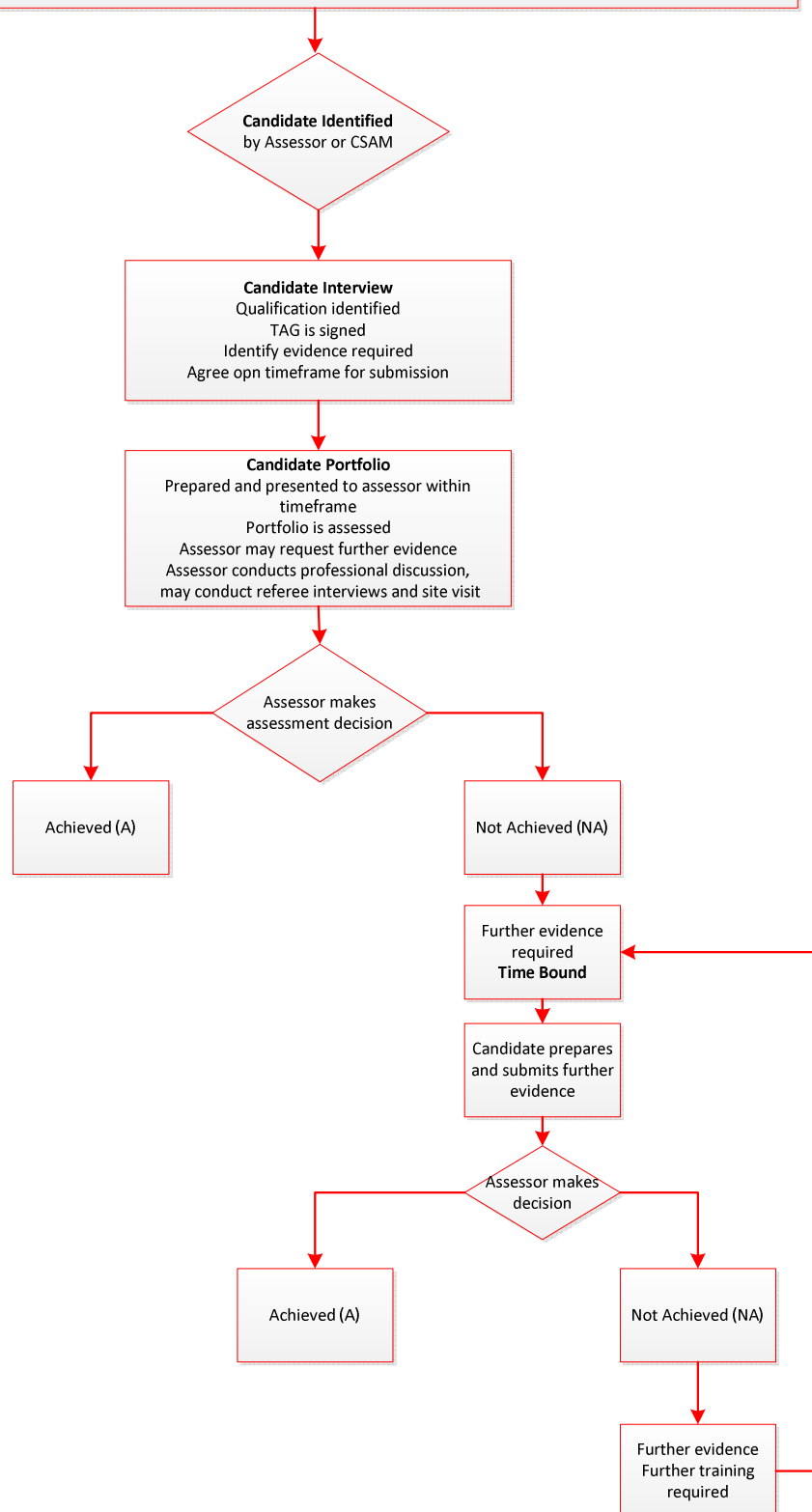
3.6. Associated Forms

RCC Assessor Handbook

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RCC (Recognition of Current Competencies) Assessment



4. Training Provider Consent to Assess Policy

4.1. Purpose

This policy outlines how training providers may apply to Connexis to gain Consent to Assess of Connexis Industry unit standards.

4.2. Scope

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

NZQA registered providers must meet the following requirements before Connexis grants consent to assess against Connexis registered unit standards 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 Connexis for training, assessment, moderation, reporting and documentation.
- The provider has an established documented Quality Management System (QMS)
- The provider will produce and submit training and assessment resources for moderation where appropriate.
- The training to be provided by the Provider effectively meets the training and development needs of Connexis' member companies and industry stakeholders.
- The provider must have appropriately qualified trainers and assessors.
- Formal recognition of consent to assess has been signed by Connexis National moderator
- Review rating of last EER through NZQA. Minimum standard is Confident.

4.3. Evaluation visits

Connexis will visit providers one year after consent to assess is granted. 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 a Connexis Quality Team staff member and may be assisted by an Connexis Moderator. The evaluation will focus on the provision of training within the Connexis managed unit standards.

Evaluation visits to providers will involve evaluation against the criterion contained in the Connexis CMR(s).

- Visits will be detailed in the Annual Moderation Plan.
- The visit may include unit standard moderation.

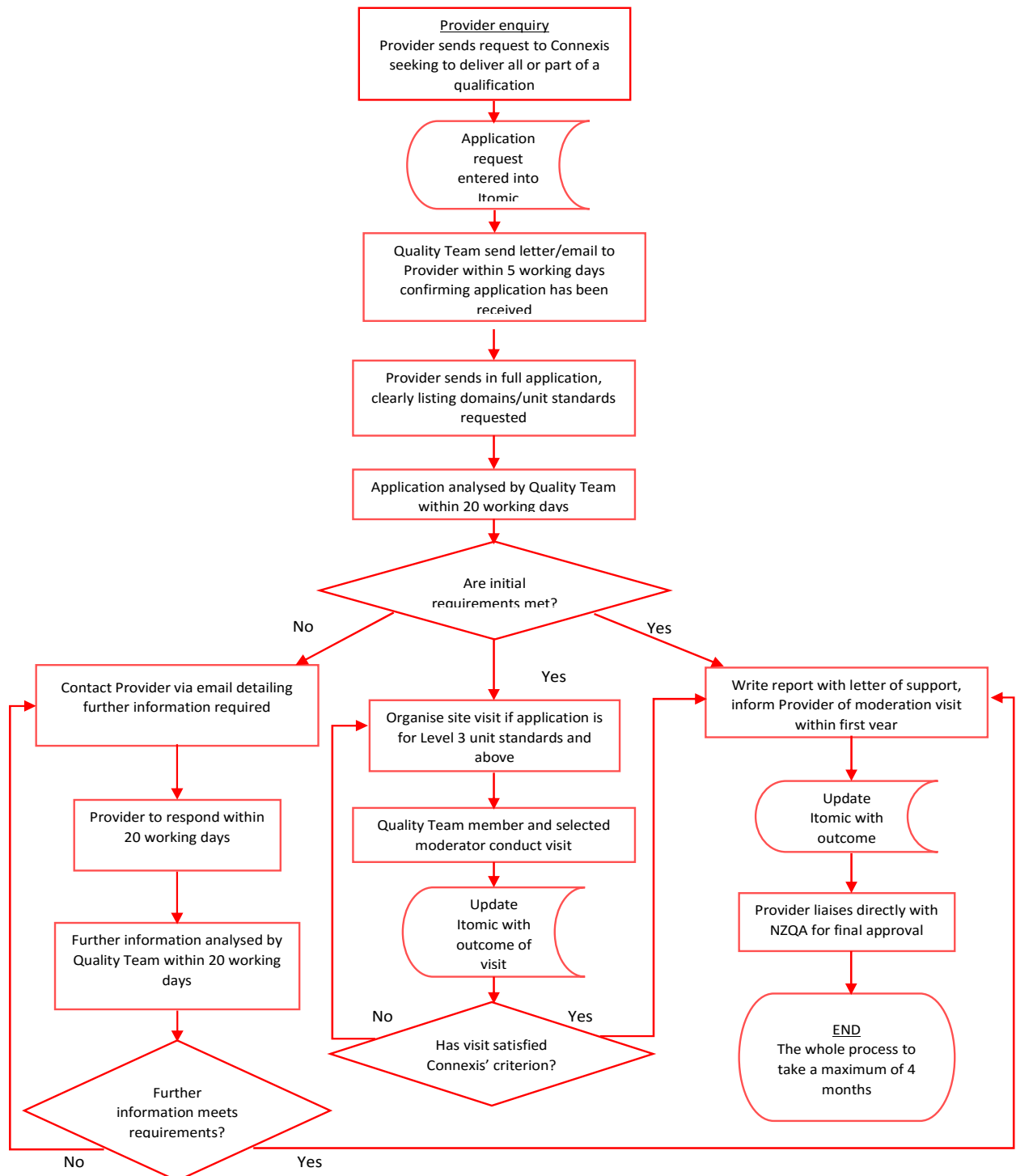
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Training provider evaluation visit outcomes may be:

- All criterion requirements met.
- Minor suggestions for change.
- Changes to training provider procedures and/or activities required. An action plan to be completed and agreed timeframes to be met
- Unsatisfactory - resulting in non-compliance. An action plan is to be completed by the provider with specific timeframes to be met. Continuing concerns will be referred to the National Moderator.

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Consent to Assess Process Flowchart



5. Removing Connexis Consent to Assess Version 1

5.1. Scope

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

- Maintaining and implementing all the consent to assess criteria detailed in the Connexis Consent and Moderation Requirements CMRs 0101, 0120 and 0234.
- Maintaining and implementing the recommendations and directions detailed in Connexis' Moderation and Audit Reports.
- Maintaining and implementing Connexis' formal reporting and documentation requirements.
- Providing training outcomes that meet the agreed expectations of the industry client.

5.2. Appeal Loss of Consent to Assess

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

5.2.1. Steps of Appeal

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

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

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

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

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

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6. Assessment Policy

6.1. Purpose

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

6.2. Scope

This policy covers:

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

6.3. Definitions

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

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

6.4. Assessments

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

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

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

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

6.5. Assessment Resources

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

- Theory questions – this will contain theory questions covering the unit standard requirements for demonstration of knowledge.
- Practical observation sheets – these contain the practical skill requirements of the unit standard.
- Letter of Attestation – This letter underwrites the trainee's readiness to undertake assessment by their employer. The document is signed by an employer representative that holds any required Legislative Qualification and/or company authority for undertaking supervision of the trainee.
- Supporting evidence – the trainee is required to produce documentation as evidence of having been involved in the required tasks within the workplace. Such evidence must be attributable to the trainee.

6.6. Assessor Guides

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

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Model answers give an example of expected answers. Unless otherwise stated model answers are indicative and should be used as a guide, the assessor should use professional judgement when considering trainee evidence

Evidence statements detail the evidence used to support achievement, e.g. theory questions, observation evidence, company documents, attestations, certificates, etc.

Judgement statements describe acceptable performance levels, i.e. they define the standard (quantitative and qualitative) expected for the task in relation to the outcome(s) being assessed.

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

6.7. Assessing

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

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

The process of post-assessment moderation will ensure that marking is fair, consistent and meets the national standard.

Assessors will ensure that the assessments are assessed and returned to trainees within the agreed time-frame, or within the time-frame specified in the pre-assessment plan.

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

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

6.8. Reassessment

In the event of a trainee failing to meet the criteria for an 'Achieved' result, at least one reassessment opportunity will be offered. Trainees will be informed of this provision by the Assessor when reporting the assessment decision to the trainee. Trainee and assessor will work through any resubmissions.

6.8.1. 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

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	<p>assessment of higher level unit standards and for RCC.</p> <p>The assessor's role is to guide the discussion and the trainee's role is to clearly establish their skill level and experience. (The trainee should lead the discussion).</p>
<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> <p>To ask supplementary questions in practical observation assessment to clarify trainee understanding and common practice.</p> <p>To confirm trainee underpinning knowledge of practical or written tasks.</p>	<p>Professional discussion is a structured interview in which a trainee is expected to provide the evidence required for assessment e.g.: to demonstrate evidence of their ability to analyse:</p> <p>Unusual or rarely occurring situations or scenarios.</p> <p>The reasons for specific actions and alternatives considered by the trainee.</p> <p>Factors taken into consideration for a particular action.</p> <p>Evaluation of successes and failures to establish learning points for the future.</p>
<p>Oral questioning often uses a question and answer format (particularly for lower level unit standards).</p>	<p>Professional discussion is a conversation rather than a question and answer format and is trainee led.</p>
<p>Oral questioning is also used when a trainee requests oral assessment of a questionnaire in place of written questions and answers.</p>	<p>Professional discussion is useful in assessing analytical and decision-making abilities.</p>

6.8.2. Oral Questioning

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

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

Assessors must avoid directing and leading the trainee.

6.8.3. Professional Discussion

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

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Evidence of performance must always be supplied as required by the graduate profile outcome statement.

The professional discussion process may be applied to formalise non-framework based qualifications, practising licenses or experience within a workplace where skills and knowledge may meet the requirements of a Diploma, New Zealand Certificate or unit standard(s).

Planning

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

Assessors must be clear about the purpose of using professional discussion and agree to a list of areas/points to be covered. A written copy must be supplied to the trainee.

The assessor must inform the trainee how the main points of the discussion will be assessed and recorded. A record of the discussion must be produced.

Facilitation

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

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

6.8.4. Recording Oral Assessment Evidence

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

Protocols for electronically recording oral evidence:

- Seek trainee's permission to electronically record oral conversations.
- Electronic files should be submitted to Connexis in a digital format.
- The recorded evidence must be submitted with the assessment resource for any post-assessment moderation requests enabling moderation to take place and verify the assessor decision of the trainee's competence.

6.8.5. Written Assessment

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

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

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

Observation

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

On–Job Assessment

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

These are all pre-assessment moderated.

Model Answers within Assessment Guides are developed to provide guidance to assessors of evidence required for achievement and describe the quality and quantity of the evidence to be submitted by the trainee Civil Assessor Guides are available on the Connexis website, and all Electrical assessment tools and resources are available on the Connexis website.

6.8.6. Technical Expert

Where the assessor is required to assess outside of their field of expertise or qualification, provision will be made for Technical Experts to assist the assessor. (Technical Expert procedure page 37).

6.8.7. 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 the trainee, and evidence relative to the unit standard.

6.9. Retaining of Completed Assessment Resources and Evidence

All completed assessment resources and evidence must be retained for a period of 12 months with the exception of WRT assessment resources and evidence which must be kept for 18 months as required by NZTA.

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6.10. On-Job Assessment Process

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

6.11. Associated Forms

6.11.1. Manual Reporting Form

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7. Sufficiency Policy - Electricity Supply Industry Assessment

7.1. Purpose

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

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

7.2. Scope

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

7.3. Sufficiency

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

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

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

7.4. Rationale

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

Practical observation

Connexis recognises that supervisor on-job observations can make a valid contribution to the assessment process in the Electrical Supply Industry. A supervisor has the skills to identify competent and repeatable trainee performance as they see it occurring naturally, on the job. Assessors may arrange for a trainee's supervisor to make up to two of the three observations required in some practical assessment resources.

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

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8. Assessment Stakeholder Evaluation Policy

8.1. Purpose

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

8.2. Scope

The scope of stakeholder evaluation is:

- Company Management
- Manager/supervisor of trainees
- Trainees

8.3. Requirements/Procedure

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

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

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

8.4. Associated Forms

8.4.1. Trainee Evaluation Form

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9. Assessment Technical Expert/Verifier Policy

9.1. Purpose

The Assessment Technical Expert/Validation Policy is to provide a consistent method for assessors

9.2. Scope

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

9.3. Definitions

A Technical Expert/Verifier is defined as:

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

OR

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

OR

- May be the trainee's supervisor or manager.

9.4. 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 can certify that the check has been carried out on the assessment evidence form.
- The assessor making judgment must be registered to assess that unit standard.

9.5. Associated Forms

9.5.1. Technical Expert/Verifiers Assessment Validation

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10. Assessment Trainee Appeal Policy

10.1. Purpose

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

10.2. Scope

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

10.3. Requirement

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

10.4. Connexis Appeals Procedure

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

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

10.5. Associated Form

10.5.1. Trainee Assessment Decision Appeal

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Trainee Appeal Assessment Decision

Informal Resolution

Assessor may resolve the issue by:

Reviewing the process and assessment decision
Consultation with the employer
Involving a technical advisor either in discussion or observation

Formal Resolution

Assessor & Trainee

Complete a Trainee Appeal Assessment Decision Form
Submit the form and all assessment documentation to Connexis

Connexis

Assigns a moderator to examine the assessment documentation

The Moderator will support the assessment decision
or
The moderator will recommend reassessment takes place

NZQA

If the appeal remains unresolved Connexis will seek NZQA arbitration

11. Removing Invalid Assessment Results

11.1. Scope

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

11.2. Identification of Invalid Unit standard

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

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

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

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

11.3. Actions to resolve the risk

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

Trainee:

- Further training.
- Re-assessment.

Provider/assessor:

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

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

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12. Moderator Registration Version 1

12.1. Scope

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

12.2. Definitions

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

12.3. Procedure

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

12.4. Moderator Training

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

12.5. Connexis Moderator Selection

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

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

12.6. Registration

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

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

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

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

12.7. Moderator Contract

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

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

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

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

12.8. Associated Forms

12.8.1. Moderator Registration Application

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13. Moderation Panel

13.1. Scope

Moderation is managed retrospectively through the Connexis Database Management System (Itomic) and data from quarterly reports accessed from NZQA.

13.2. Moderation Panel

The permanent moderator panel intentionally mirrors the governance structure of the Connexis Board, as it allows for representation across the Connexis 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. The panel are holding a kaitiakitanga, or guardianship role.

13.3. Moderation Panel Structure

The panel consists of ten positions, two of which are held by the Connexis Quality Assurance Advisors and the remainder by Industry Moderators.

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

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

13.4. Responsibilities

Panel members will provide support and advice on overarching quality assurance strategy and policy.

Planning and delivery of Moderation Services by assisting with:

- Assist with the Annual Moderation Plan.
- Assist with criteria and cycle of Provider visits.
- Participate in provider evaluation visits, where appropriate.

The panel members assist with professional development of assessor and moderator:

- Professional development
- Contributing technical expertise for qualification development.

13.5. Relationships

Panel members will maintain effective partnerships with the following stakeholders:

- The Connexis National Moderators.
- The Connexis Quality Assurance Team
- The Connexis Technical Advisors.
- Connexis field staff.
- Assessors and moderators.

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- Industry Experts.
- Asset Owners.
- Tertiary Education Organisation's.
- Industry Sector Groups.
- Relevant government agencies

13.6. Panel Selection Criteria

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

- Is currently a contracted Connexis moderator AND
- Has held that position for a minimum of two years OR
- Exceptional circumstance may necessitate Connexis co-opting from the main moderation pool

The following attributes are required:

- Technical Expertise
- Expertise as a moderator.
- Experience of specific skill areas of the industry.
- 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.

13.7. Election of Panel Members

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

Moderators are invited to nominate a person for each vacant seat on the panel (a possibility of 10 nominations in all).

- The nominees will be from the current moderator group.
- Self-nominations are accepted.

Nominations are tallied and the person with the most nominations for each position will hold the seat.

Where there are no nominations for a position, Connexis QA Team may invite a moderator from within the existing moderator pool on to the panel.

Where there is a tie for a position, Connexis QA Team will cast the deciding vote.

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In casting any deciding vote, Connexis QA Team will select a person that compliments the skill sets of the other panellists (Section 4, Criteria for Panel Selection, applies).

13.8. Length of Tenure

- Two years, after which a member may stand for re-election.

13.9. Meetings

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

- April -after General Meeting
- August/Sept - mid point

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

13.9.1. Reimbursement of Expenses

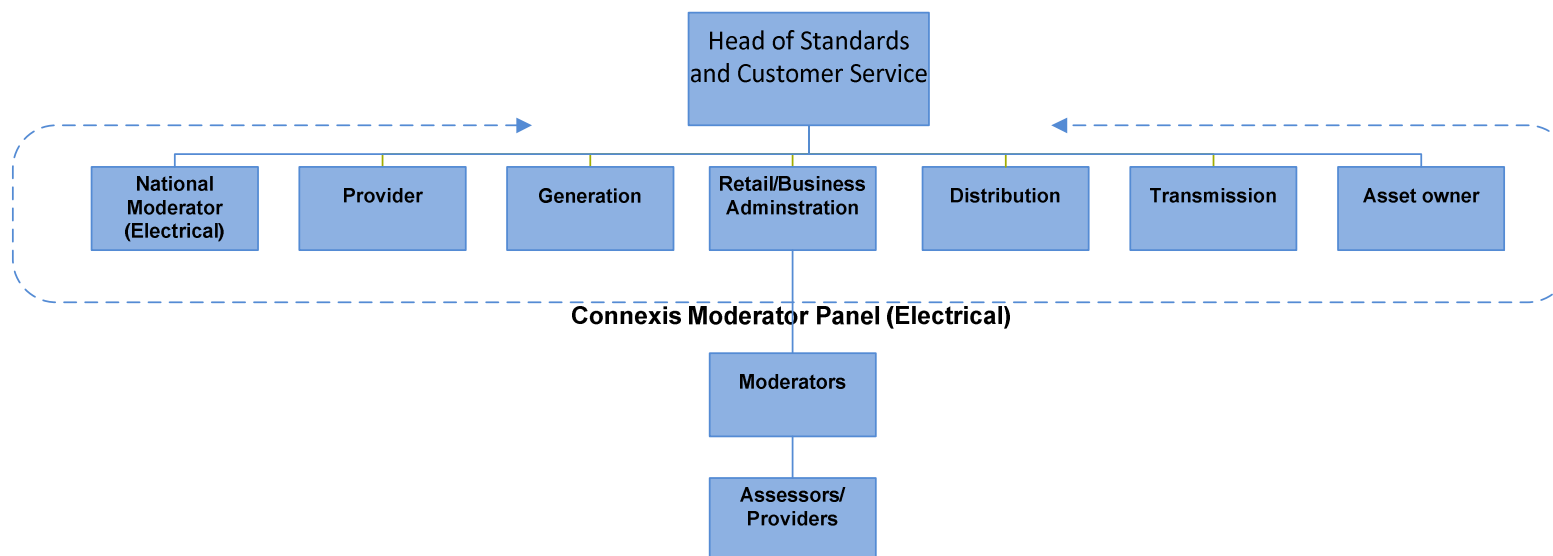
Reimbursement of expenses will be as per the Contract for Services and will include reimbursement for travel time, mileage and parking.

13.9.2. Travel and Accommodation

Connexis will arrange any travel and accommodation required.

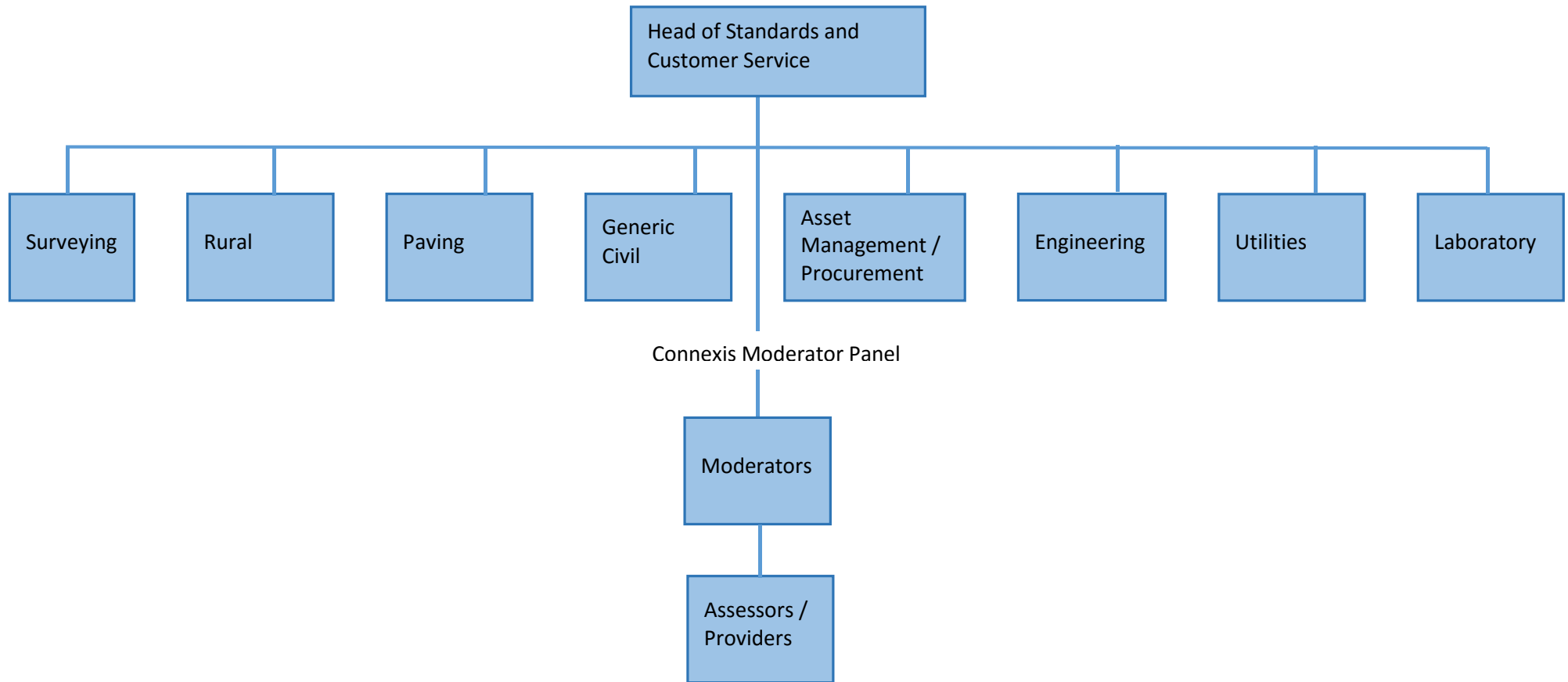
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Connexis Moderator Panel (Electrical)



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Connexis Moderator Panel (Civil)



14. Moderation Procedure

14.1. Scope

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

14.2. Definitions

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

14.3. Implementation of Moderation

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

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

14.4. Appointment of Moderators

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

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

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14.5. Moderation Control Points

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

- High unit standard level
- High risk – (safety/risk. within the industry)
- High usage
- Commonality i.e. the same unit assessed by providers, this aids benchmarking and achieving a national standard
- Unit standards called by other SSBs and NZQA
- Newly registered assessors
- New providers with consent to assess Connexis managed unit standards
- Industry alert (reports from other ITOs or assessors of best practice not being followed)
- Assessors reporting low numbers of assessments
- The first 3 RCC assessments will undergo post-assessment moderation. Subsequent moderation requests will be based on the frequency and amount of reporting

14.6. Moderation Samples

Moderation samples are defined as follows:

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

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

- Pre-assessment moderation is required for any newly developed or modified assessment resources that relate to Connexis managed unit standards.
- Post-assessment moderation is conditioned by CMR requirements and the Connexis moderation plan.

Assessment samples moderated by Connexis will not be returned. Assessors will receive a report on completion of the moderation.

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

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14.7. Moderation Requests

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

14.8. Moderation Methods

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

14.9. Pre-Assessment Moderation

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

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

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

14.10. Post Assessment Moderation

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

Connexis encourages a mentoring process between moderators and assessor/providers to achieve assessment and assessment decisions that meet the national standard. This process may be informal e.g. phone call or email contact. Connexis may also request the moderator visit the assessor/provider to offer support or resolve problems.

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

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

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14.11. 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 assessment sample/s may be sent up to three moderators for a Check Moderation. Connexis will determine the unit standards and the assessment samples to be Check Moderated.

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 resource

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 assessment sample/s. Moderation is performed across three or more moderators for the same unit standard and assessment samples. Connexis collates the results to gauge consistency of decisions across the sample.

- Resolve appeal of moderation or assessment decisions:

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

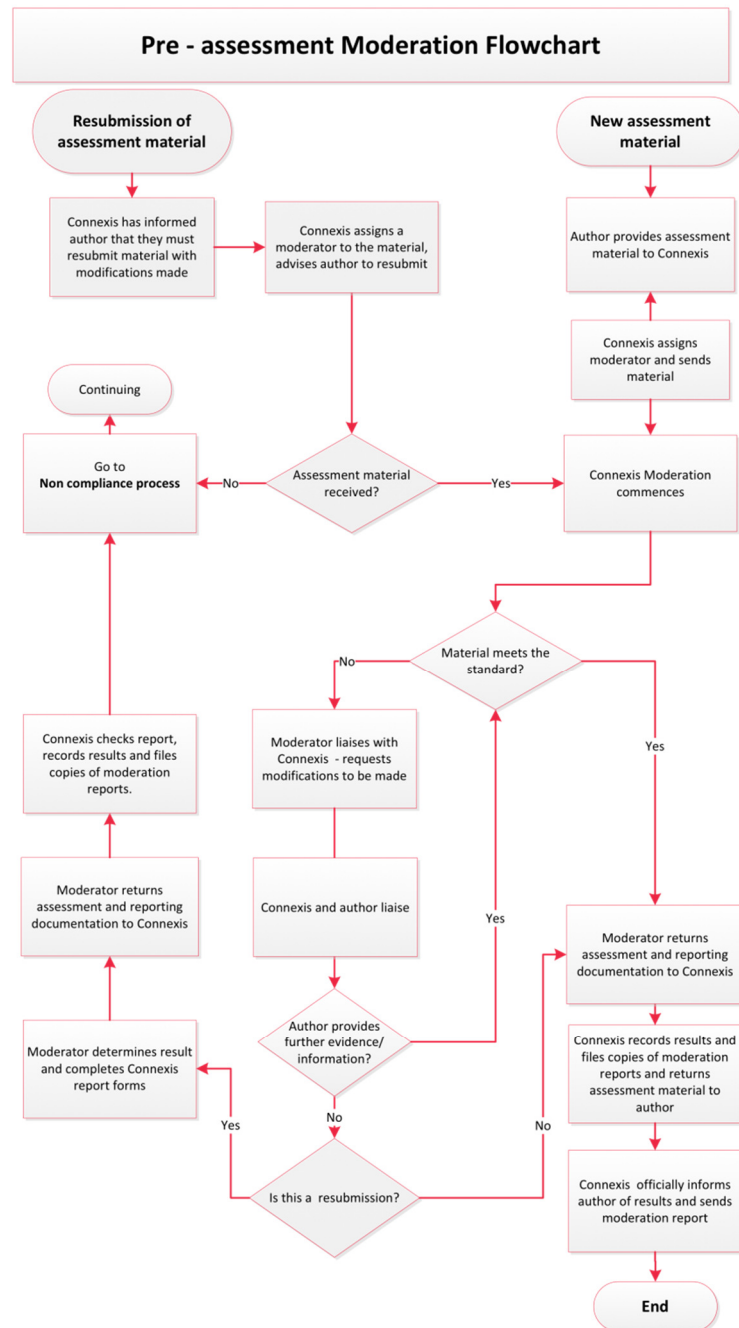
14.12. Associated Moderation Forms

[14.12.1. Pre Assessment Moderation Report](#)

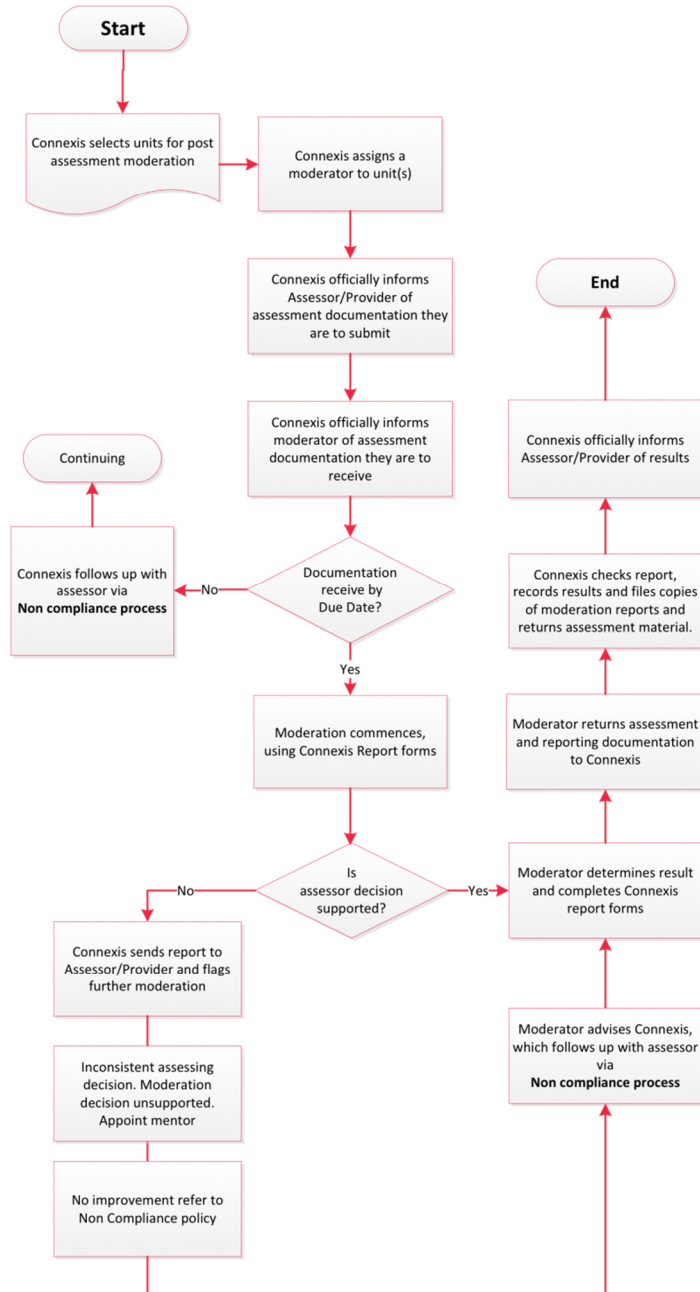
[14.12.2. Post Assessment Moderation Report](#)

[14.12.3. Unit Standard Review Form](#)

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Post - assessment Moderation Flowchart



14.13. Moderation of Registered Assessors

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

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

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

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

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

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

14.14. Evaluation visits of Training Providers with Consent to Assess

Providers will be evaluated on a cyclical basis against the criterion contained in the Connexis CMR 120 or CMR 101. The visit will focus on the criterion documented in the CMR and may include the following:

- Sampling of assessment evidence.
- Interviewing Assessors.
- Observation of assessment activity.
- Check of assessment equipment/assessment environments.
- Discussion with management.
- Processes for staff recruitment.

Training provider evaluation visit reports will be furnished within two weeks of the evaluation visit. Outcomes of the visit may be:

- All criterion requirements met.
- Minor suggestions for change and a plan of action to meet the changes may be required.
- Required time bound changes to training provider procedures and/or activities.
- Unsatisfactory – resulting in non-compliance. Connexis will require a time bound plan of action to meet requirements of the report.

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14.15. Associated Forms

14.15.1. Provider Evaluation Criteria

14.15.2. Evaluation visit report template

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15. Moderation Decision Appeal

15.1. Scope

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

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

Stage 1

- The appeal should be notified to the moderator, with the reasons for the appeal clearly stated in writing.
- The moderator comments on the appeal.
- The appeal is considered by the Connexis National Moderator who can recommend:
- 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 Connexis will request arbitration from NZQA.

15.2. Associated Forms

15.2.1. Moderation Decision Appeal Form

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16. Moderation Reporting Decisions

16.1. Scope

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

16.2. Moderation Types

Moderation of assessment may be conducted in the following ways:

- Paper, postal or desktop moderation. Moderation of assessment samples, and trainee scripts and or products.
- Site visits, provider evaluation visits these will be conducted by Connexis staff and an industry moderator. The criteria will be communicated prior to the visit.
- Moderation of electronic evidence may be recorded professional discussions, video record, photos.
- Peer group moderation this will be carried out for specific qualifications and will involve a Connexis nominated industry specialist/expert, a moderator and Connexis staff.

16.3. Moderation process

Pre and post assessment moderation will be conducted as follows:

Pre – Assessment Moderation Management

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

- The assessor, provider or Qualifications and Resources Manager will submit the resource to the Connexis Quality Team.
- The Connexis Quality Team will assign and notify the moderator.
- The assessment resource is sent to the moderator.
- The moderator completes the moderation on the approved form. Moderator decisions will be 'meets the standard, or 'requires resubmission'.
- Moderators will return the assessment resource and completed report to Connexis.
- Connexis will communicate the moderator's decision to the assessor/provider.
- Resubmission requests will be time bound.

Post – Assessment Moderation Management

- Connexis will select the unit standards to be moderated, and assign a moderator.
- Connexis notifies the assessor and moderator in writing the unit standards required for moderation and the due date of the submission.
- The assessor submits the assessment samples directly to the moderator.

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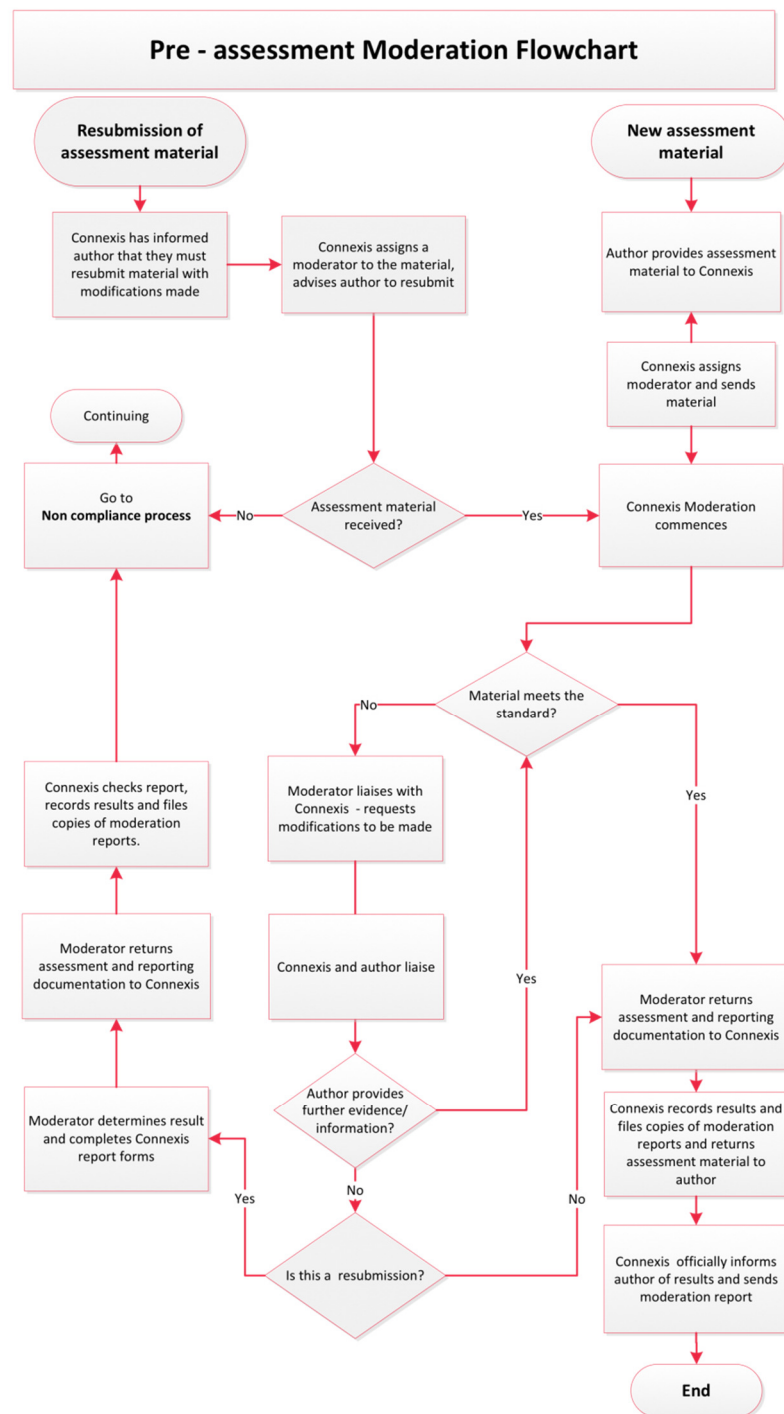
- Moderation should be completed within 20 working days of receiving the assessment samples.
- The moderator will complete the moderation using the Connexis approved post assessment moderation form.
- The moderator may contact the assessor for event clarification.
- The moderator may request further evidence from the assessor, this request should be time bound.
- If there is no evidence of pre-assessment moderation having taken place this will be noted on the moderation report.
- When moderation is complete the moderator will send a copy of the Post-Assessment Moderation Report and the assessment samples to Connexis.
- Connexis will communicate the moderation decisions to the assessor / provider and return the samples. This completes the process.
- Non-compliance with moderation and timeframes will be followed up by Connexis.

16.4. Timeframes

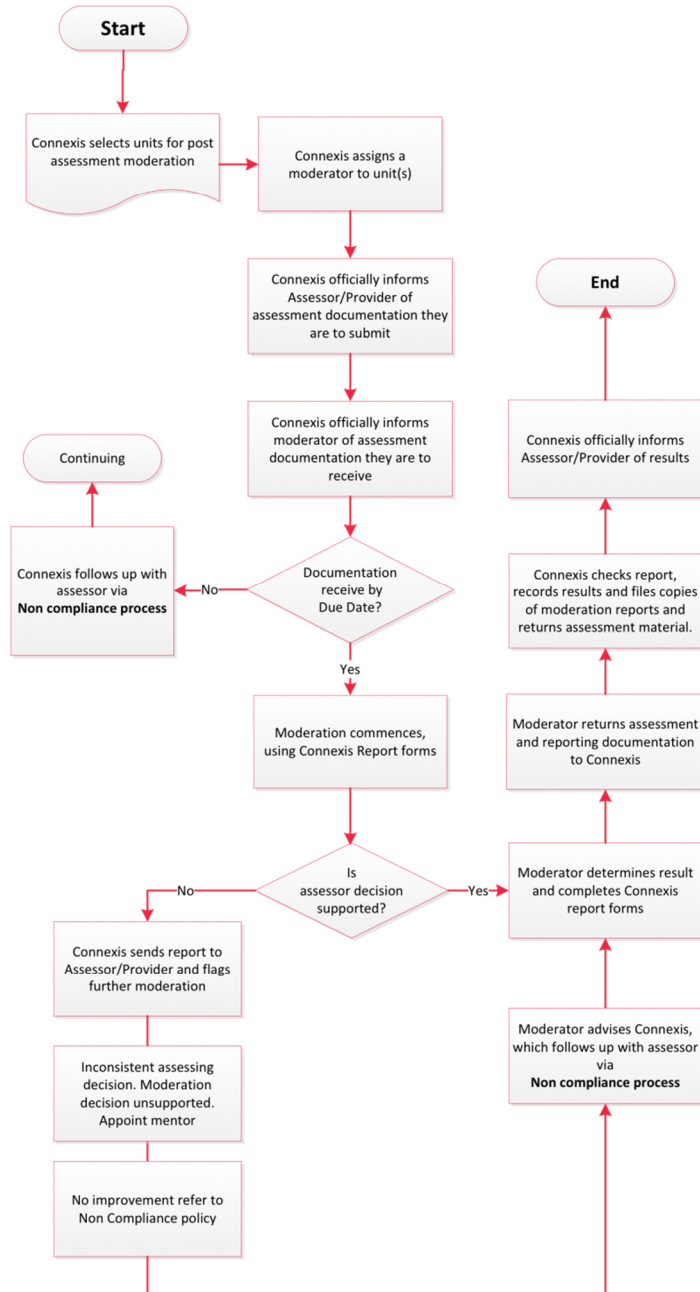
The timeframe for receiving moderation samples is 20 working days. If the assessment samples are not received the National Moderator will contact the assessor and establish the reasons why and renegotiate a due date.

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

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Post - assessment Moderation Flowchart



17. Moderation Non-Compliance

17.1. Scope

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

17.2. Definitions of Non-Compliant Performance

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

17.3. Non-Compliance Process

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

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

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

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

- Referral to the Connexis Moderator Panel.

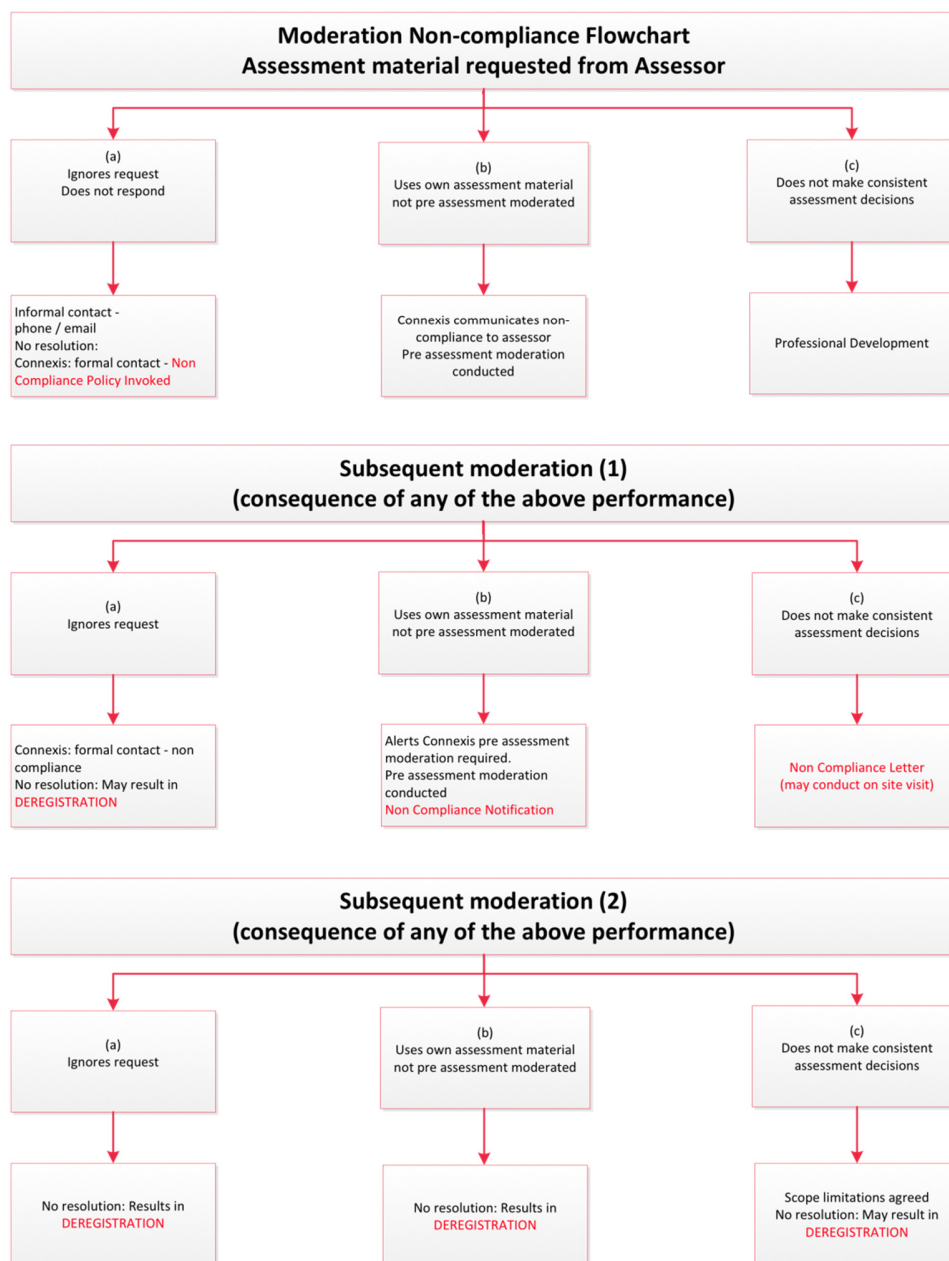
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- Removal of the assessor registration (consent to assess).
- Referral to the Connexis Board.
- Removal of provider consent to assess.

17.4. Associated Forms

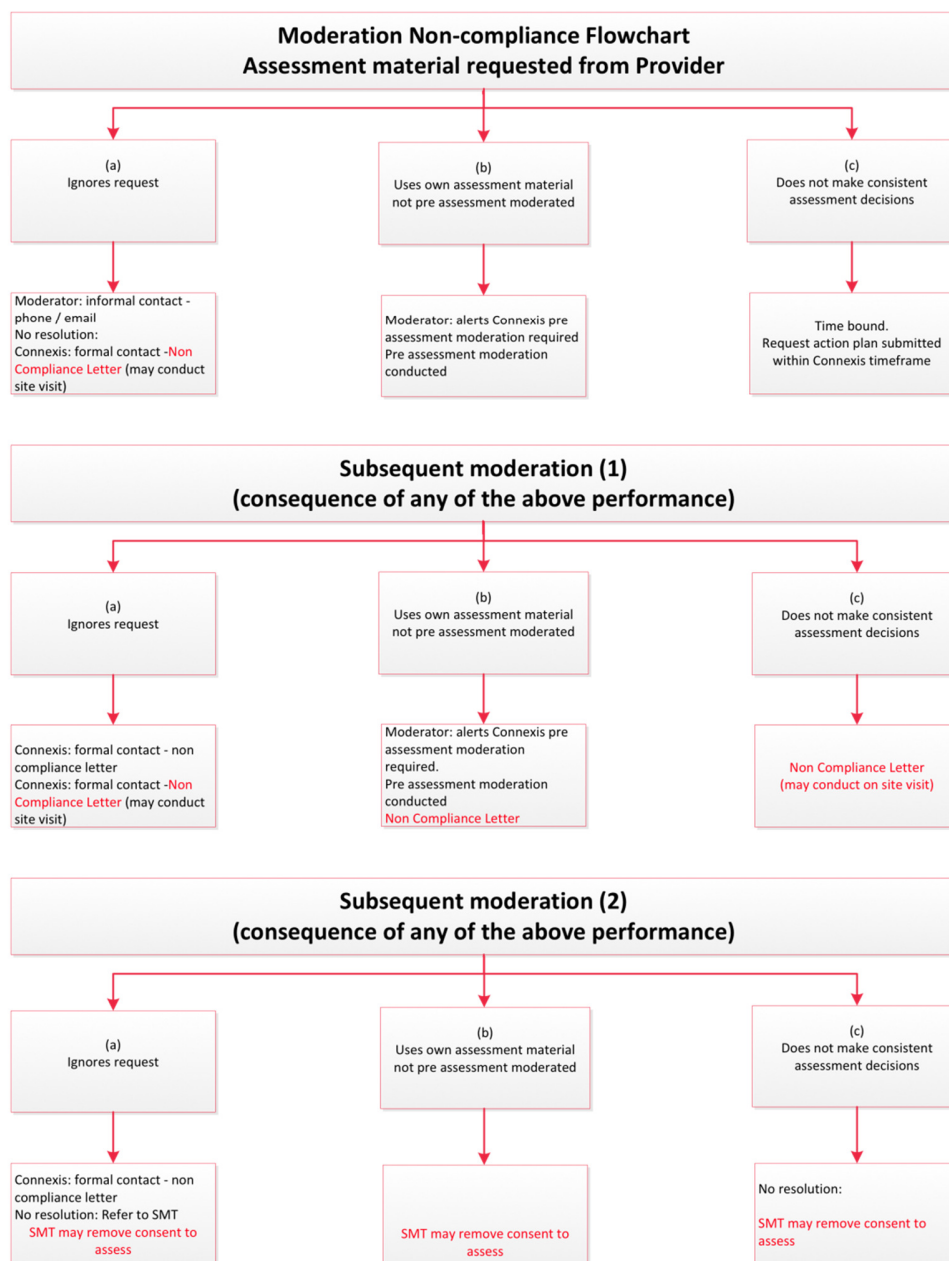
17.4.1. Moderation Non-Compliance Notice

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

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

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18. Assessment Reporting NZQA Unit Standards Policy

18.1. Purpose

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

18.2. Scope

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

18.3. Procedure

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

18.4. Non-Compliance

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

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18.5. Calendar

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

19. Moderation of Connexis by other Standard Setting Bodies

19.1. Scope

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

19.2. Definitions

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

19.3. Request from Standard Setting Bodies

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

- Connexis will request the relevant assessment samples from the assessors or training providers that have reported credits for those unit standards within requested timeframe.
- Non-compliance with requests for SSB moderation assessment samples will follow the Connexis process of non-compliance.
- Assessors and/or training providers are required to hold assessment samples for a 12 month period unless the assessments are NZTA related where an 18 month period is required.
- Connexis will require the assessment samples to be submitted within a timeframe prior to the SSB's submission due date.
- Connexis will have the assessment samples moderated by a Connexis moderator prior to the assessment sample being sent to the SSB.
- Connexis will inform the assessor / provider of the moderation decisions of the SSB.
- Connexis will follow-up any modification requirements.
- Failure of the SSB moderation will follow the process of SSB failed moderation

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20. NZQA Annual Moderation Activity Reporting Procedure

20.1. Purpose

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

20.2. Scope

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

20.3. Requirements/Procedure

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

This report requires comment on the following areas:

- An overview of all moderation activities with reference to the Consent and Moderation Requirements (CMR).
- Details of expenditure on EXTERNAL moderation activities.
- Problem resolution in relation to the moderation system and timeframes for completion.
- Procedures used to evaluate/review moderation systems.

Summary

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

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21. Catalogue of Connexis CMAP Forms

CMAP code	Connexis Assessment Procedures Form Description	Version
3.13.1	Registered Assessor Application Form This form is to be completed by assessors making application for registration as a Connexis registered assessor. G:\Quality Assurance\Quality Assurance Administration\Assessor Registration Guide and Application Form	7
3.13.2	Application for Assessor Extension of Scope To be used by assessors when seeking extension to assessment scope. G:\Quality Assurance\Quality Assurance Administration\Assessor Registration Guide and Application Form	2
4.4.1	SHAG Assessor Evidence Plan This form is to be used when assessing SHAG unit standards. G:\Quality Assurance\CMAP Connexis Moderation Assessment Policy\Archive\EAMA\EAMA Ver 11\Template Forms	6
5.7.1	RCC Candidate Assessment Pack: This portfolio is to be used in RCC assessment of unit standards; this is not the format for qualification assessment. G:\Quality Assurance\Assessors\RCC assessors	1
5.7.2	RCC Assessor Handbook This is a reference guide for assessors. RCC assessors should access this handbook prior to conducting RCC assessment. G:\Quality Assurance\Assessors\RCC assessors\Handbook RCC assessors	1
5.7.3 5.7.4.	23.1.1 - RCC Line Mechanic Candidate Pack RCC Line Mechanic Assessor Pack This material is an integrated assessment pack for units toward the Line Mechanic qualifications number 0874 & 1389	1
6.19.1	Credit Registration Summary	3

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

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