

# Independent Registered Assessor Code of Practice

**Transport and Logistics Industries  
(Independent Assessors)**



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## Introduction

Thank you for choosing to become a MITO Independent Registered Assessor for the transport and logistics industries. If you need any help or advice about your role as a MITO Registered Assessor, please contact a MITO Senior Advisor - Quality and Compliance on 0800 88 21 21.

As a MITO Registered Assessor you will be assessing the unit standards which reflect your area of expertise.

### Driver Licensing and Licence Endorsement

To be registered to assess unit standards to issue driver licence classes and/or driver licence endorsements, you need approval from Waka Kotahi to become a Waka Kotahi course provider. Contact details can be found on the [Waka Kotahi website](#). If the application to Waka Kotahi is not successful, your application to MITO will correspondingly be declined.

## Your Responsibilities

As a MITO Registered Assessor you are required to:
Meet all health and safety requirements appropriate to the unit standard being assessed and comply with the Health and Safety at Work Act 2015, and all other relevant regulations and procedures including site safety before, during and after completing assessments
For assessment for driver licensing and endorsement purposes, understand and agree to comply with the requirements of the Waka Kotahi Statement of Approval Conditions for course providers.
Ensure that you comply with the principles of the Privacy Act 2020, particularly in respect to the storage, use and disposal of personal information.
For driver licensing and endorsement assessment, maintain valid and current driver licences and endorsements for assessing the unit standards in your scope and advise MITO of any change to the current status of your driver licence.
Comply with all policies, procedures, standards and requirements which relate to MITO Registered Assessors as described in this Code of Practice.
Demonstrate the necessary skill and knowledge required to make competent assessment judgements and/or carry out assessments in an objective, impartial and professional manner.
Provide learners with original, authentic learning and assessment resources.
Ensure that all communications including print, email, website information etc. make it clear that credit for unit standards will be reported to NZQA through the MITO Business Division of Te Pūkenga Work Based Learning Limited in the approved capacity as a MITO Registered Independent Assessor
Only assess the unit standards listed on your MITO Registered Assessor scope.
Keep your skills and knowledge up-to-date in the areas you are assessing and maintain certificates or any other qualifications or requirements for assessing the unit standards in your scope.
Participate in visits from MITO to conduct assessment observation when scheduled.

Complete and maintain all assessment documentation in accordance with MITO's requirements. Assessment documentation is to be retained for a period of two years from the date of assessment.

Assess at least 20 unit standard assessments per annum. This requirement may be reduced if you only assess unit standards for a specialised purpose outside of driver licensing and endorsement unit standards. This will be determined on a case-by-case basis.

Participate in moderation as requested by MITO.

Report all results to MITO according to MITO's reporting requirements.

Keep your contact details updated with MITO. You must return calls and emails to you as requested by MITO.

Achieve moderation outcomes in line with MITO's objective of nationally consistent, quality assessment decisions.

Let MITO know about anything which may affect your role as a MITO Independent Assessor. For example, if you:

- wish to be de-registered
- change your assessor status
- are awaiting the hearing of charges against you in a civil or criminal court of law.

Help learners and/or MITO where required with resolving appeals against assessment results.

Declare any conflict of interest which arises while you are a MITO Registered Assessor.

## Professional Standards

As a MITO Registered Assessor, you are obliged to abide by professional standards. Failure to do so may result in de-registration.

You must:

- undertake your assessment duties professionally, honestly, and ethically, while respecting the rights of others
- conduct all written and verbal communications with any individual or organisation you have contact with in your role as a MITO Registered Assessor in a respectful and professional manner
- respect learners' privacy by only disclosing their personal or academic information to authorised parties
- not ask for or accept gifts, rewards or benefits that may compromise or be seen to compromise your integrity, or the integrity of your role
- not behave in a manner that may bring MITO into disrepute
- take reasonable care with the security of information relating to assessments
- keep your MITO assessor stamp in a secure place.

## Up-skilling

You must be committed to up-skilling in areas which are relevant to your role as an assessor. This includes up-skilling in assessment practice and in your area of expertise as appropriate. You must participate in an up-skilling session on MITO assessment and moderation policies and procedures at least once every three years.

If you need advice on up-skilling, please contact a MITO Senior Advisor - Quality and Compliance on 0800 88 21 21.

## Conflict of Interest

A conflict of interest must be declared when you have a private, personal, or business interest which could influence your objective professional judgement and/or your responsibilities to MITO as outlined in this manual. A good test of whether or not something could be seen as a conflict of interest is whether others would trust your judgement if they knew the situation or relationship existed. For example, if you were required to assess a learner who is a family member it would constitute a potential conflict of interest and should be declared. Another example of a conflict of interest situation which should be declared is if you have a personal or employment issue with a workplace where you are required to assess.

You completed a Conflict of Interest form when you applied for registration or re-registration.

### Please note

If any new conflicts of interest arise during your registration period, you must immediately bring these to the attention of MITO using the Conflict of Interest form.

If you are unsure of what may be a real or potential conflict of interest, contact a MITO Senior Advisor - Quality and Compliance on 0800 88 21 21.

Conflict of interest situations will be evaluated on a case-by-case basis and MITO will work with you to resolve the issue. For example, another assessor may be appointed to carry out assessment for the affected learner or workplace. We will notify you of the outcome of a conflict of interest evaluation.

Please note that where the conflict of interest cannot be resolved, de-registration is a possible outcome.

## **Assessing Scope**

MITO gives you authorisation to assess learners against the unit standards in your scope. Your scope relates to industry areas in which you are considered a technical expert.

The unit standards that you are authorised to assess are listed on your scope. If you would like to extend your assessing scope, apply through the MITO Registered Assessor portal.

Please note that MITO has no obligation to include unit standards that you request on your scope.

## **MITO Registered Assessor Stamp**

You must use your assessor stamp on all assessments you carry out as a MITO Registered Assessor.

You must only use your MITO Registered Assessor Stamp on assessment documentation for credits reported through MITO and only to indicate a 'Competent' result. Your assessor stamp should not be applied to any other documentation.

The stamp you are issued remains the property of MITO, and must be returned if you are de-registered.

When you use your stamp, you must ensure that the stamp mark left on the learner assessment document clearly shows your registration number.

It is essential that you keep your MITO Registered Assessor Stamp in a secure place.

## **Assessment**

MITO Registered Assessors assess learners against unit standards for which MITO has consent to assess.

When conducting assessment you must:

- ensure approved assessment materials are used
- evaluate all evidence submitted for assessment

- verify the learner's identity prior to assessment commencing against their photo driver licence for assessment of driver licensing and endorsement unit standards. If the learner has a paper (temporary) driver licence, identity may be verified by alternative photographic identification such as a passport. Where this is not possible identity may be verified by comparing the learner's signature against another document
- take all reasonable steps to ensure that courses are conducted in a proper manner and are not compromised in any way by cheating, impersonation of candidates, or in any other manner
- assess in accordance with MITO's requirements and ensure all assessments are conducted fairly, validly, and consistently
- actively supervise trainees for theory and observed practical assessments for the duration of assessment at all times
- report the results to MITO through the assessor portal within 10 working days.

MITO may arrange for a visit to observe assessment in practice. You will be contacted to arrange a suitable time for this to take place.

### **Providing Effective Feedback**

It is important to provide learners with constructive feedback about their performance, such as:

- keep the feedback private. Make sure that you are not going to be interrupted and that you both have time for the discussion
- tell the learner why something was good, or why it was not up to standard and what they can do to make it better. Try to leave the learner motivated to improve if this is necessary
- if it is necessary, give the learner the opportunity to collect more evidence and/or add explanatory annotations to fill gaps, and where possible avoid repeating the assessment process. Professional judgement should be used to determine when this is appropriate, and when re-assessment is appropriate
- provide praise where it has been earned to build the learner's confidence in their skills.

### **Assessment Resources**

All MITO, Tranzqual and EXITO branded material is copyrighted to MITO. The reproduction and resale of this material is strictly prohibited. You must not copy MITO resources, or store electronic copies in any information retrieval system.

All self-developed or purchased material which is not MITO material, and which you intend to use to assess the unit standards in your scope must be submitted to MITO for pre-assessment moderation before use. Please contact MITO for details.

### **Assessment Documentation**

Your assessment decision must be transparent, i.e. it must be clear on the assessment material how you came to the assessment decision that was made. The assessment documents should clearly show all the evidence you used to decide the learner's competence.

When you have completed an assessment, your details, and the decisions you made must be recorded clearly on the assessment material. You must sign, date and stamp the assessment material when the learner is confirmed as competent. This is required assessment practice and is important for moderation and in case of an appeal against the assessment decision.

Assessment documentation is to be retained for a period of two years from the date of assessment to make sure that there is an assessment audit trail.

### **Technical Verification**

A technical verifier must be used when it is necessary to verify that evidence is authentic to the learner and/or to verify that the learner is competent in the technical requirements of the unit standard(s). A technical verifier is an industry expert, and is employed in a role which enables them to testify to the learner's competence. Contact a MITO Senior Advisor - Quality and Compliance for information about technical verification in the area you are assessing.

### **Assessment Reporting**

You must comply with the following assessment reporting requirements:

- Report all 'achieved' results for assessments you have conducted as a MITO Registered Assessor to MITO in the MITO Assessor Portal
- Report all assessment results to MITO within 10 working days of the assessment being completed
- If you are assessing for a school that holds a MITO MoU, report assessment results to the school within 10 working days of the assessment being completed.

### **Assessment Appeals**

Learners who believe they have grounds to object to an assessment result can appeal to MITO. In the case of a unit standard assessment, the appeal must be received at MITO's National Office within 20 working days of when the assessment took place.

MITO will manage the appeal process, which may include the involvement of technical expert(s).

You will be notified of MITO's decision which is final, MITO's Assessment and Moderation Manager will consider your appeal. The Assessment and Moderation Manager's decision is final.

### **Assessor Support**

#### **MITO Website**

The [MITO website](#) provides updates on assessment practice, news and information about upcoming events. It also provides links to information for your use.

#### **MITO Resources**

Questions or comments relating to MITO assessment material can be emailed to [resourcecomments@mito.co.nz](mailto:resourcecomments@mito.co.nz).

#### **Contact Us**

If you need any help or advice about your role as an assessor or about how to assess, please contact a MITO Senior Advisor - Quality and Compliance on 0800 88 21 21.

## **Moderation**

The purpose of moderation is to ensure that assessment is consistent with the National Standard, that it is fair and valid, and that all assessors are making consistent judgements about learner performance. MITO moderation includes postal moderation and moderation observation visits. MITO will notify you of your moderation requirements via email.

For more information about our moderation requirements, please contact the MITO National Moderation Advisor on 0800 88 21 21.

### **Material for Moderation**

You must submit assessment material and evidence for the number of assessments requested. The evidence you submit must enable the moderator to see how you arrived at your assessment decision and should include assessment material and/or evidence used during the assessment process and for recording and reporting results.

Where you are requested to submit material for moderation by post, you must provide the assessment material and evidence to MITO National Office on or before the submission due date.

Material submitted for moderation must include:

- the assessed material
- assessor evidence guides or marking guides
- the assessment summary or reporting form.

Any assessment evidence that you submit for moderation must be identifiable as authentic to the learner who was assessed. All commercially sensitive information (such as company or learner name) should be removed from the material.

MITO prefers to receive material for moderation electronically, i.e. scanned and emailed. Moderation material posted to MITO should be copies, not original material. Material submitted for moderation will not be returned unless requested.

You will receive a Moderation Outcome Report from MITO when the moderation has been completed. MITO upholds the intellectual property rights and copyrights of other organisations and keeps all moderation outcomes and recommendations confidential.

### **Moderation visits**

Moderation visits may be conducted to observe assessment in practice. You will be informed if a visit is scheduled.

### **‘Not at the National Standard’ Moderation Outcomes**

If your assessment decision is not in keeping with the requirements of the unit standard or is not consistent with the National Standard, this is recorded as ‘Not at the National Standard’ (NANS).

If the reason for the NANS outcome is considered minor, the National Moderation Advisor will provide you with advice in the Moderation Outcome Report and/or moderation outcome cover letter. You will be expected to take corrective action. If it is significant, the National Moderation Advisor may specify requirements for assessment that you must follow for future assessment,

and/or may require further submissions for moderation. A visit by a National Moderation Advisor may be scheduled to observe you conducting assessment and provide guidance.

Your non-compliance with the national standard may indicate an issue that is also affecting other assessors. This is a valuable moderation outcome for MITO because it enables MITO to provide assessors with the necessary guidance, or to take the necessary action (which may even be to change the unit standard) to bring about consistent interpretation and assessment. The aim of moderation is continual improvement.

If the above steps have been taken and you do not meet standards of assessment satisfactory to MITO further action will be taken which will include notification by MITO's Assessment and Moderation Manager and may include de-registration.

### **Appealing a Moderation Outcome**

If you believe you have grounds to object to a moderation outcome you can, after discussing the matter with the National Moderation Advisor, appeal the outcome to the Manager Assessment and Moderation.

Your appeal must:

- be in writing
- be made using the Moderation Outcome Appeal form addressed to the Manager Assessment and Moderation
- be received by MITO within 20 working days of the written notification of the moderation outcome
- state that it is an appeal, the reason(s) for the appeal and/or the rationale for changing the moderation outcome.

The Manager Assessment and Moderation will receive your appeal and manage the appeal process, which may include the involvement of the National Moderation Advisor and technical expert(s).

The Manager Assessment and Moderation decision will be notified to you and to the National Moderation Advisor within 10 working days of your appeal being received by MITO.

MITO's Manager Assessment and Moderation will consider your appeal. The Manager Assessment and Moderation decision is final.

### **Non-compliance with the Moderation System**

If you do not comply with MITO's moderation requests, this is deemed to be non-compliance.

It is recognised that in exceptional circumstances non-compliance may occur. However, non-compliance with the moderation system is a breach of the conditions of your registration and in cases of ongoing non-compliance MITO will take action which may result in non-renewal of your registration, or de-registration.

You will be notified of the non-compliance action taking place including non-renewal and de-registration procedures by MITO's Manager Assessment and Moderation.

## Appeals against non-renewal and de-registration

You may appeal to MITO's Manager Assessment and Moderation against a non-renewal or de-registration decision.

Your appeal must:

- be in writing
- state that it is an appeal of a decision about your non-renewal or de-registration decision
- provide the reasons for the appeal and/or the rationale for the outcome sought
- be received within 20 working days of MITO sending out the letter with notification of the decision.

MITO's Manager Assessment and Moderation will consider your appeal. The Manager Assessment and Moderation decision is final.

## Registration, Re-registration and De-registration

### Registration

You will be registered on an annual basis. If the conditions of your registration or your responsibilities as an Independent Assessor have not been met, your registration may be reviewed.

To be considered for registration as a MITO Registered Assessor you must:

- provide proof of identity (e.g. passport, birth certificate or driver's licence)
- hold unit standard 4098 - Use standards to assess candidate performance
- have at least three years of experience in the previous five years in the area of your assessing scope, or equivalent as determined by MITO
- provide a CV and/or other documentation including qualifications to show that you have the skill and knowledge appropriate to assess against the unit standards in your assessing scope
- comply with the assessment conditions and qualification requirements stated in the relevant unit standards and Consent and Moderation Requirements (CMR)
- provide two character references
- have declared any conflict of interest in the areas that you will be assessing
- provide a copy of your driver licence showing you hold the relevant 'I' endorsement if you will be assessing driver licence classes 2 – 5
- submit a clear, digital passport-style photograph
- pay the applicable registration fee
- hold the unit standards on your NZQA Record of Achievement you will be assessing
- hold a valid and current driver licence if you are assessing driver licence and endorsement or core driving unit standards.
- The decision to register an assessor is at MITO's discretion

Endorsement from industry is required if you are applying to assess any of the following:

- BESS (unit standard 23436)
- Commercial Road Transport Skills domain
- Driver Educator domain
- LCP – transport of passengers with special needs large passenger (school bus driver)

- Steam driven vehicles
- Four-wheel drive
- Vessels' Port Operations - Tug Operations, and Pilot Launch Operations

## **Re-registration**

We will notify you before your registration expires. If you would like to continue as an Independent Assessor, you will need to apply for re-registration through the MITO portal.

To be considered for re-registration, you must meet the criteria for registration **and**:

- show evidence of up-skilling which is relevant to your role as an Independent Assessor
- have met the annual moderation requirements set for you by MITO
- have met your responsibilities and requirements as an Independent Assessor
- have paid all fees and have no outstanding debt with MITO
- have reported all achieved assessment results to MITO, or in the case of a school's assessor reported them to the relevant school, through the MITO Assessor Portal
- have reported all achieved assessment results to MITO within 10 working days
- have reported at least 20 unit standard assessments per annum to MITO during the previous registration period if you are assessing driver licensing/licence endorsement unit standards.

The decision to re-register an assessor is at MITO's discretion

MITO will determine whether you have met the above requirements. The decision to re-register you rests with MITO.

## **De-registration**

You may request to be de-registered as a MITO Registered Assessor at any time by contacting MITO's Assessment and Moderation Co-ordinators on 0800 88 21 21.

MITO may also de-register you if:

- you are not able to assess and report the minimum requirement for registration
- you have not met a moderation requirement set by MITO
- you have a conflict of interest in your role as an assessor that cannot be resolved
- you have not assessed in accordance with, or abided by the requirements of, this Code of Practice
- you have not met the professional standards required of a MITO Registered Assessor outlined in this Code of Practice
- you have not submitted an application for re-registration through the assessor portal by the end of the registration period
- MITO has been made aware that you have been convicted of a criminal offence
- reasonable efforts have been made to contact you, but there has been no response to requests for information
- you have failed, after one written and one oral request, to submit materials for moderation or to negotiate a change to the original request

- you have acted dishonestly in the conduct of and/or recording of assessor outcomes
- a complaint against you is upheld
- you have, through your conduct, brought MITO into disrepute
- you have not reported all results of assessments you have completed as a MITO Registered Assessor to MITO
- you have failed, after two requests, to report assessment results on time for unit standards and/or programmes/qualifications that you are registered to assess
- MITO has been advised by the Waka Kotahi that your course approval status has been revoked or an application to become a course provider has been declined
- you are convicted of an offence under the Land Transport Act resulting in the suspension or cancellation of a driver licence or licence endorsement. Cancellation of registration will be automatic for the unit standards that relate to the class of licence for which the Courts have applied the suspension or cancellation
- you have failed to meet the requirements of the re-registration process
- you are no longer able to demonstrate the necessary skill and knowledge required to make competent assessment judgements and/or carry out assessments in an objective, impartial and professional manner
- you have failed to settle accounts or fees with MITO that have been outstanding for more than 60 days.

If MITO has an issue with your registration where de-registration may be an outcome, you will be informed and the options available to you will be discussed.

### **Appeals against non-renewal and de-registration**

If you believe that you have grounds to object to a decision about your registration, re-registration, de-registration, or the allocation of your assessing scope, please contact the Senior Advisor Quality and Compliance on 0800 88 21 21 to discuss the matter. If the matter is not resolved, you then have the option to appeal the decision to MITO's Manager Assessment and Moderation.

Your appeal must:

- be in writing
- state that it is an appeal of a decision about your registration, re-registration, de-registration or the allocation of your assessing scope
- provide the reasons for the appeal and/or the rationale for the outcome sought
- be received within 20 working days of MITO sending out the letter with notification of the decision.

MITO's Assessment and Moderation Manager will consider your appeal. The Assessment and Moderation Manager's decision is final.