

# Registered Independent Assessor Code of Practice

**Transport and logistics industries**  
(Independent Assessors)





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# Introduction

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

As a MITO Independent Registered Assessor, you will be assessing the unit standards that 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 NZ Transport Agency Waka Kotahi (NZTA) to become a course provider. Contact details can be found on the NZTA [website](#).

If your application to NZTA is not successful, your application to MITO will also be declined.

## Your responsibilities

As a MITO Registered Independent 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 NZTA Statement of Approval Conditions for course providers.
Ensure that you comply with the principles of the Privacy Act 2020, particularly with 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 status of your driver licence.
Comply with all policies, procedures, standards and requirements which relate to MITO Registered Independent 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 MITO in the approved capacity as a MITO Registered Independent Assessor.
Only assess the unit standards listed on your MITO Registered Independent Assessor scope.
Keep your skills and knowledge up-to-date in the areas you are assessing. Maintain certificates, qualifications or requirements for assessing the unit standards in your scope.
When scheduled, participate in visits from MITO to conduct assessment observation.

Complete and maintain all assessment documentation in accordance with MITO's requirements. Retain assessment documentation 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. 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. Return calls and reply to emails as requested by MITO.

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

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

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

Assist learners and/or MITO as needed in resolving appeals related to assessment results.

Declare any conflict of interest that may arise while you are a MITO Registered Independent Assessor.

# Professional standards

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

You must:

- Undertake your assessment duties professionally, honestly, and ethically, while respecting the rights of others.
- Communicate professionally, both in writing and verbally, with individuals or organisations that you interact with in your role as a MITO registered assessor.
- 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.
- Conduct all activity related to your role as a MITO Registered Independent Assessor in compliance with the Privacy Act 2020.
- Keep your MITO assessor stamp in a secure place.

## Up-skilling

You must be committed to up-skilling in areas that 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, contact a MITO Senior Advisor – Quality and Compliance on 0800 88 21 21.

## Conflict of interest

You completed a [Conflict of Interest form](#) when you applied for registration or reregistration. If any new conflicts of interest arise during your registration period, you must immediately bring these to the attention of MITO using the form.

You must declare a conflict of interest when you have a private, personal, or business interest that could influence your objective professional judgement and/or your responsibilities to MITO as outlined in this code of practice.

A good test of whether a situation can 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 is if you have a personal or employment issue with a workplace where you are required to conduct assessments.

If you are unsure if a situation poses a 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.

**Note:** If the conflict of interest cannot be resolved, you may be deregistered.

## Assessing scope

MITO gives you authorisation to assess learners against the unit standards in your scope. Your scope relates to industry areas where you're 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.

**Note:** 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 Independent Assessor.

Your assessor stamp should not be applied to any other documentation.

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

The stamp remains the property of MITO and must be returned if you are deregistered.

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

## Assessment

MITO Registered Independent Assessors evaluate learners against the unit standards that MITO has consent to assess.

When conducting assessments, you must:

- Ensure that approved assessment materials are used.
- Evaluate all evidence submitted for assessment.
- For assessment of driver licensing and endorsement unit standards, prior to assessment, verify the learner's identity against their photo driver licence:
  - If the learner has a paper (temporary) driver licence, their 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 the 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.
- For the duration of assessment at all times, actively supervise trainees for theory and observe practical assessments.
- Report the results to MITO through the assessor portal within 10 working days of the assessment being completed.

MITO may observe assessments 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. Effective feedback should:

- Be private – Ensure the discussion takes place in a quiet setting, free from interruptions, with enough time for both parties to engage fully.
- Motivational – Clearly explain what was done well and what needs improvement, offering specific advice on how to enhance performance. Aim to leave the learner feeling motivated to make progress.
- Give opportunity to improve – If appropriate, offer the learner a chance to gather additional evidence or provide further explanations to address any gaps, while avoiding unnecessary repetition of the assessment. Use professional judgment to decide when this is suitable.
- Acknowledge achievements – Acknowledge and praise the learner’s achievements to reinforce their confidence in their abilities.

## **Assessment resources**

All MITO 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 that 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 by the relevant standard setting body before use. Contact MITO for details.

## **Assessment documentation**

Your assessment decision must be transparent, that is, it must make clear on the assessment material how you came to the assessment decision. 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 decision 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.

To make sure that there is an assessment audit trail, retain assessment documentation for a period of two

years from the date of assessment.

## Technical verification

A technical verifier is an industry expert who is employed in a role that enables them to testify to the learner's competence.

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.

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:

- In the MITO Assessor Portal, report all Achieved results for assessments you have conducted as a MITO Registered Independent Assessor.
- Within 10 working days of the assessment being completed, report all assessment results to MITO.
- 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 from 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, and may only be overturned through MITO's formal complaints process. Contact MITO for more information about the complaints process.

## 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 how to assess, 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, it is fair and valid, and 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, 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.

If 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 assessed learner. All commercially sensitive information (such as, company or learner name) should be removed from the material.

MITO prefers to receive material for moderation electronically (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.

## 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 Quality and Assessment.

Your appeal must:

- be in writing
- use the Moderation Outcome Appeal form and be addressed to the Manager Quality and Assessment

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

You and the National Moderation Advisor will be notified of the appeal decision within 10 working days of your appeal being received by MITO.

The Manager Quality and Assessment's decision is final.

## **Non-compliance**

### **Non-compliance with the moderation system**

Failure to comply with MITO's moderation requests will be considered non-compliance.

### **Non-compliance with the national standard**

If your assessment decision is not in keeping with the requirements of the unit standard or is not consistent with the national standard, this will be deemed 'Not at the National Standard' (NANS).

If the non-compliance 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 other submissions for moderation.

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. 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.

### **Ongoing non-compliance**

In cases of ongoing non-compliance, MITO may take action which could result in the non-renewal of your registration, or deregistration.

You will be notified by MITO's Manager Quality and Assessment of the non-compliance action, which may include non-renewal and deregistration procedures. If you appeal this decision, your appeal must:

- be in writing
- state that it is an appeal of a decision about the non-renewal or deregistration decision
- provide the reasons for the appeal and/or the rationale for the outcome sought
- be received within 20 working days of MITO issuing the letter notifying the decision.

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

# Registration, reregistration and deregistration

## Registration

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

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

- be a fit and proper person
- provide proof of identity (e.g. passport, birth certificate or driver's licence)
- hold unit standard 4098 – Use standards to assess candidate performance
- in the previous five years, have had at least three years of experience 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 that 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.

## Reregistration

We will notify you before your registration expires. If you would like to continue as an independent assessor, you will need to apply for reregistration through the MITO portal.

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

- show evidence of up-skilling that is relevant to your role as a Registered Independent Assessor
- have met the annual moderation requirements set for you by MITO
- have met your responsibilities and requirements as a Registered 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.

MITO will determine whether you have met the above requirements.

The decision to reregister an assessor is at MITO's discretion.

## Deregistration

At any time, you may request to be deregistered as a MITO Registered Independent Assessor by contacting MITO's Assessment and Moderation Coordinators on 0800 88 21 21.

MITO may also deregister 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 Independent Assessor outlined in this Code of Practice
- you have not submitted an application for reregistration 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 and you are no longer deemed to be a fit and proper person
- 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 Independent 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 NZTA 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. We will automatically cancel your registration for the unit standards related to the class of licence that has been suspended or cancelled by the courts
- you have failed to meet the requirements of the reregistration 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 deregistration may be an outcome, you will be informed and the options available to you will be discussed.

## **Appealing a registration outcome**

If you believe that you have grounds to object to a decision about your registration, reregistration, deregistration, or the allocation of your assessing scope, contact a Senior Advisor – Quality and Compliance on 0800 88 21 21 to discuss the matter. If the matter is not resolved, you have the option to appeal the decision to MITO’s Manager Quality and Assessment.

Your appeal must:

- be in writing
- state that it is an appeal of a decision about your registration, reregistration, deregistration 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 issuing the letter notifying the decision.

MITO’s Assessment and Moderation Manager in conjunction with the Group Manager – Qualifications will consider your appeal and decide on the outcome, which is final.



**MITO**

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