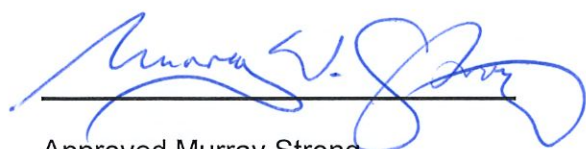


Links – **green** outside rules, **blue** inside rules

Assessment (including Examination) Rules

for

Schools with Consent to Assess 2019



Approved Murray Strong

NZQA Board Chair



Date

Assessment (including Examination) Rules for Schools with Consent to Assess 2019

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1. Authority, commencement and application

- a. These Rules, called the Assessment (including Examination) Rules for Schools with Consent to Assess 2019, are made under section 253(1)(j) of the Education Act 1989 in respect of assessment (including examinations) carried out in relevant Schools with consent to assess.
- b. These Rules replace the Assessment (including Examination) Rules for Schools with Consent to Assess 2018 (which are consequentially revoked) and these Rules are effective from 1 February 2019 until the end of 31 January 2020.
- c. These Rules specify the general requirements for assessment (including examination) in relevant Schools with consent to assess involving the:
 - i. New Zealand Qualifications Framework (NZQF) and standards on the Directory of Assessment Standards
 - ii. New Zealand Scholarship 2019
 - iii. New Zealand University Entrance.
- d. The principles of fairness, validity and transparency of assessment practice for all Candidates are fundamental to the administration of qualifications and New Zealand Scholarship in Schools and underpin these Rules.

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2. Definitions

In these Rules, unless the context otherwise requires:

“Act” means the Education Act 1989.

“Assessment” means collecting and evaluating evidence to establish the level of an individual’s performance, whether carried out by external methods (common assessment tasks, examinations and portfolio submissions), internal methods, or a combination of external and internal methods, or any other approved method.

“Assessment Opportunity” refers to an instance where an opportunity is given to a Candidate to be assessed against a standard.

“Assessment Standard” means a standard listed on the Directory.

“Candidate” means a student entered for assessment against standards on the Directory of Assessment Standards and/or New Zealand Scholarship.

“Chief Executive” means the Chief Executive of NZQA.

“Common Assessment Task” or **“CAT”** is an assessment task that is developed by NZQA, for the purpose of [Rule 7.1.4](#).

“Consent to Assess against standards on the Directory of Assessment Standards” or

“Consent to Assess” is the consent granted to an institution under section 252 of the Act.

“Credit” in the context of the value of a qualification or training scheme, represents ten notional learning hours for one credit.

“Directory of Assessment Standards” or **“Directory”** is the Directory provided for in section 248A of the Act consisting of all standards listed by NZQA for use by institutions as standards for the assessment of students.

“Electronic Devices” are devices with the capability to store, communicate, or retrieve information.

“Entry” refers to the information that Schools send to NZQA indicating the standards that a Candidate is being assessed against.

“Examination Centre Manager” or **“ECM”** means the person responsible for the conduct of the NZQA examinations held at Examination Centres.

“Examination Supervisor” means the person appointed to supervise an external assessment by NZQA examination.

“Exclusions List” means the list of Assessment Standards maintained and published by NZQA which have been identified as having the same learning outcomes.

“Fee Schedule” means the schedule of fees charged by NZQA and published on its website pursuant to section 254 of the Act.

“Instructions to Candidates 2019” are instructions issued in October that outline the examination processes, equipment use restrictions, and the examination timetable to be followed by Candidates who are entered in external NCEA and New Zealand Scholarship examinations.

“Key Date” refers to the dates as published in the Key Date Calendar on the NZQA website.

“Learner Login” is the web-based platform that provides students with secure electronic access to send and receive information to and from NZQA.

“Managing National Assessment” or **“MNA”** is the review by NZQA of the School’s processes or systems for managing assessment for qualifications, including systems for achieving valid, fair, accurate and nationally consistent internal assessment.

“Moderation” provides an assurance that assessment decisions in relation to Assessment Standards are consistent nationally.

“New Zealand Qualifications Framework” or **“NZQF”** means the framework provided for in section 248 of the Act.

“NZQA” means the New Zealand Qualifications Authority as continued under section 256A of the Act.

“New Zealand Record of Achievement” means an individual student’s transcript of standards credited and National or New Zealand qualifications completed, maintained by NZQA.

“Principal’s Nominee” means a staff member nominated by the Principal of a School under [Rule 4.a](#).

“Provider Login” is the web-based platform that provides Schools with secure electronic access to send and receive information to and from NZQA.

“Publish” means to make available on the NZQA website.

“Qualification” means a qualification listed on the NZQF.

“Responses” refers to all work produced by a Candidate for external assessment by NZQA.

“School” means any relevant School with Consent to Assess within the meaning of section 246 of the Act.

“School days” refers to days that the School is open for instruction.

“Separate accommodation” is a special assessment condition where one or more Candidates are accommodated in separate examination rooms to meet their needs.

“Standard” means a standard listed on the Directory, or a New Zealand Scholarship performance standard.

“University Entrance” means the common educational standard established under section 247 of the Act (or its predecessor section) as a prerequisite for entrance to university for people who have not attained the age of 20 years.

“Verification” means a process of confirming grade judgements in the assessment process.

“Verified languages” means Cook Islands Māori, Indonesian, Korean and Lea Faka-Tonga (being those languages where external assessment is carried out by the School and results are verified by NZQA).

“Vocational Pathway” is a certification, under [Rule 8.8](#), recognising a student’s achievement in specific ‘sector-related’ standards.

3. Acronyms used in the Rules

ECM	Examination Centre Manager
ITO	Industry Training Organisation
MNA	Managing National Assessment
NCEA	National Certificate of Educational Achievement
NZQA	New Zealand Qualifications Authority
NZQF	New Zealand Qualifications Framework

4. Nomination and Role of Principal's Nominee

- a. Annually, the Principal of a School with Consent to Assess must nominate a staff member to be the Principal's Nominee (who may be the Principal).
- b. The Principal's Nominee must maintain and monitor quality assurance practices within the School to ensure the validity and credibility of assessment for qualifications.
- c. The expected duties of the Principal's Nominee will include those listed in the role.
- d. Other School staff may assist the Principal's Nominee with duties. The Principal's Nominee however remains responsible for ensuring those staff members carry out their duties appropriately, and for all communication with NZQA in relation to these duties.

5. General Assessment Rules

- a. These general Rules apply to assessment systems by Schools, and by NZQA.
- b. The processes used to assess Candidates will be in accordance with the Assessment Standards listed on the Directory of Assessment Standards, or with the performance standards for New Zealand Scholarship 2019.

5.1 Timing of Assessment – External Assessment

- a. NZQA will publish the 2019 examination timetable for each NCEA qualification and for the New Zealand Scholarship examinations before 18 December 2018.
- b. The key dates for other annual assessment procedures will be published before the end of term one, 2019.
- c. NZQA may publish alternative dates in extenuating circumstances.

5.2 Candidate Eligibility

- a. A Candidate is eligible to be assessed against an Assessment Standard who:
 - i. meets any eligibility criteria specified in the standard concerned; and
 - ii. has had entries for either externally assessed standards or internally assessed standards forwarded to NZQA by a School.
- b. A Candidate enrolled in a school in 2019, is eligible to enter in a New Zealand Scholarship subject in 2019 if NZQA has received the necessary fee (as set out in the Fee Schedule) for the subject. For the avoidance of doubt a School may enter:
 - i. international fee-paying students enrolled with the School; or
 - ii. students enrolled in a school without Consent to Assess but who make entry via the School through a Memorandum of Understanding that exists between the schools; or
 - iii. home-schooled, secondary school equivalent students, who have not completed their secondary education in a previous year, who make an entry as a link student with that School and attest to their eligibility through a Justice of the Peace.
- c. A student is ineligible for assessment against an Assessment Standard or entry in a New Zealand Scholarship subject in 2019 if the student has been **disqualified from entry** under these Rules unless, having been disqualified from entry, the student **appeals or applies for a review** of that disqualification in accordance with these Rules and the outcome of the appeal or review is not known at the time of assessment.
- d. A home-schooled student and other persons who are eligible but not enrolled in a School may be assessed against Assessment Standards through a School, with the associated administrative costs being negotiated between the student (or other person) and the School.

- e. NZQA may permit assessment, despite a person not meeting the eligibility criteria, if extenuating circumstances justify it.

5.3 Conditions of Entry

- a. Upon entry in 2019 for assessment against an Assessment Standard or for entry in a New Zealand Scholarship subject, it is a condition of that entry that the Candidate:
 - i. is subject to these Rules; and
 - ii. permits NZQA to access and use for education purposes, the material produced by the Candidate (for example as published exemplars of Candidate work).
- b. Candidates must pay the relevant fees (as set out in the Fee Schedule) to the School for entry in Assessment Standards, or entry in a New Zealand Scholarship subject, up to the Key Date published by NZQA, and after that date must pay the fees directly to NZQA.
- c. Candidates who have not paid the relevant fee will not have results for the year used to award qualifications and, in relation to a New Zealand Scholarship subject, will not be eligible for the grant of a New Zealand Scholarship Monetary Award in relation to that subject.
- d. NZQA may waive these restrictions if extenuating circumstances justify it for a Candidate.
- e. Schools must manage entries to meet the Key Dates published by NZQA

5.4 Financial Assistance

Eligibility for financial assistance

- a. To be eligible for financial assistance the applicant, (usually the parent or guardian of the Candidate, or a person with relevant care responsibilities) must be the fee payer and meet at least one of the following criteria:
 - i. be receiving a Work and Income or Study Link benefit (benefit-based applications):
 - ii. have a joint family income that would entitle the applicant to receive a Community Services Card from Work and Income (income-based applications):
 - iii. where the total fees to pay would otherwise exceed a limit set by the Minister of Education, a fee payer with two or more children who are Candidates is entitled to partial remission of fees, irrespective of family income.
- b. Financial assistance is available to domestic students but not to international fee paying students or students resident in the Cook Islands or Niue.
- c. Fee payers in families applying for beneficiary or income-related financial assistance are required to pay an administration fee set by the Minister of Education to offset costs of administration and certification.

- d. Applications for financial assistance must be made through the School.
- e. The Fee Schedule for financial assistance is set annually by the Minister of Education and published on the NZQA website.

5.5 Special Assessment Conditions

- a. NZQA may approve entitlement to the following special assessment conditions:

Standard conditions

Reader assistance
 Computer use OR Writer assistance
 Separate accommodation (isolation or small group, depending upon need)
 Rest breaks (with or without extra time)
 Extra time (only available during time bound internal assessments and external examinations when the Candidate is entered for 3 Achievement Standards within an examination session)
 Enlarged papers (to A3 only)
 Special papers including braille translations
 Signed English support for Hearing Impaired

Exceptional conditions

Special Examination Centre
 Signing Supervisor for pre-examination instructions and emergency management
 Assistive technology

Qualifying for special assessment conditions

- b. The following disabilities or disorders are eligible conditions for applications to NZQA for entitlement to special assessment conditions:
 - permanent or long-term sensory impairment:
 - permanent or long-term physical disability:
 - permanent or long-term medical disability:
 - permanent or long-term specific learning disorder:
 - permanent or long-term combinations of such disabilities or disorders.
- c. Candidates with eligible conditions may make a request to their School for an entitlement to special assessment conditions where:
 - i. the disability directly impacts on the Candidate's access to fair assessment for national qualifications; and
 - ii. the special assessment conditions applied for reflect the Candidate's normal way of working.
- d. Where a School receives a request from a Candidate and considers the entitlement should be granted, the School must make an application to NZQA.

Evidence Requirements

- e. In making an application to NZQA for entitlement to special assessment conditions on behalf of the Candidate the School must supply either:
 - i. appropriate documented evidence from School-based testing for use of special assessment conditions from the Candidate's time at secondary school; or
 - ii. a report from an appropriately qualified independent registered professional that recommends special assessment conditions to address the Candidate's specified assessment needs and:
 - 1. the report should be no more than four years old for a specific learning disorder (SLD), or for sensory, physical and medical conditions the report should date from the most recent specialist visit;
 - 2. the report should be completed in time for the start of the first year of assessment for qualifications; and
 - 3. the application must be based on the residual functional impact of the Candidate's disability.

Application process

- f. Applications from Schools must be managed by the Principal's Nominee.
- g. The special assessment conditions being applied for must allow entitled Candidates to demonstrate their knowledge, skills and understanding in assessment, without providing unfair advantage over other Candidates.
- h. Applications must be made by the School in the following two-stage process:
 - i. apply to NZQA for entitlement to special assessment conditions for Candidates in time to meet published timelines; then
 - ii. check external examination entries and attach conditions for specific external standards before final entries for externally assessed standards are due at NZQA for all Candidates with an entitlement to special assessment conditions.
- i. Late notification of an application for special assessment conditions may be accepted by NZQA for any Candidate with newly-identified sensory, medical or physical conditions, or Candidates new to the School.
- j. NZQA may:
 - i. request further information and/or
 - ii. decide to approve, amend or decline an application, with that decision taking effect immediately and/or
 - iii. determine if a late application may be made.
- k. Where NZQA approves entitlement to special assessment conditions for a Candidate, the entitlement will be specified as valid for one year (with subsequent year renewal, including amended renewal, available) and a Candidate may use all or some of these entitlements for each internal or external assessment they undertake, as appropriate.

Exclusions

- I. Special assessment conditions will not be approved by NZQA where the **integrity of the assessment** may be compromised such as:
 - i. the assessment conditions compromise the assessment objectives of the standard in question; or
 - ii. the assessment conditions provide unfair advantage over other Candidates; or
 - iii. the Candidate is an ESOL (English as a Second Language) funded student, where they do not have qualifying sensory, physical or medical conditions.

Responsibilities of Schools

- m. Where a Candidate has been granted entitlement to special assessment conditions, the Candidate's School:
 - i. is responsible for managing the conditions for Candidates with an entitlement; and
 - ii. must ensure that any person appointed to assist Candidates access to assessment (including those providing reader, writer or signing assistance for Candidates):
 - 1. receive appropriate training before they begin working with Candidates; and
 - 2. provide support for Candidates but in doing so ensuring that the integrity of the assessment is not compromised; and
 - iii. must hold up to date documented evidence of the response to intervention from the provision of the special assessment condition.

Appeals and Reviews

- n. The Principal's Nominee may, within 15 School days of the date of the notification of the decision on a Candidate's entitlements to special assessment conditions, lodge an appeal against the decision (*which must include sufficient cogent information and reasoning as to the basis for the appeal*) by application online within the Provider Login. NZQA will consider appeals, in relation to:
 - i. an NZQA decision to decline an application; or
 - ii. the conditions that were approved.
- o. If not satisfied with the outcome of an appeal, the Principal's Nominee may not lodge another appeal for that applicant but may seek a review of the appeal decision (*which must include sufficient cogent information and reasoning as to the basis for the review*) by applying online to NZQA's Chief Executive within 15 School days of the date of the appeal decision.
- p. Where a Candidate has, immediately before the application been using one or more special assessment conditions of a similar kind to that applied for in the application to NZQA, and the decision of the outcome of an appeal or a review has not been made, a School may continue that use for that Candidate pending the Manager's appeal decision and/or the Chief Executive's review decision.
- q. The appeal decision takes effect immediately. However, if a review of the decision is sought the decision is suspended pending the outcome of the review.

- r. The Chief Executive's decision on the review application takes effect on the day after the day the decision is made.

5.6 Reporting

Schools

- a. Schools must establish and use processes to ensure that all Candidate entries and results are accurate for internally assessed standards and entries for externally assessed standards are reported to NZQA to meet published timelines.
- b. Schools must report to NZQA all assessment results for Candidates, including Not Achieved.
- c. Schools are required to submit to NZQA, prior to the start of the external examinations, emergency grades so that these are available if NZQA activates the [emergency grade](#) process.

NZQA

- d. NZQA will release Candidate results for standards assessed in 2019 before 1 February 2020 via the Learner Login.
- e. NZQA will release Candidate results for New Zealand Scholarship subjects assessed in 2019 before 1 March 2020 via the Learner Login.
- f. NZQA may set alternative dates for the release of results to Candidates in extenuating circumstances.
- g. Results release, New Zealand Record of Achievement, and certificates will be in a form determined by NZQA and approved by the Chief Executive.
- h. Certified statements of official results will be available upon written application by the Candidates to NZQA and payment of the search and confirmation fee set out in the Fee Schedule.

5.7 Use of Technology and Equipment for Assessment Purposes

- a. For internal assessment Candidates may use relevant technology and other equipment so long as the use of that technology or equipment is permitted by:
 - i. these Rules; or
 - ii. the Assessment Standard under which the assessment is taking place and any conditions of assessment for the standard (*available on or through the NZQA website*).
- b. For external assessment Candidates may use relevant technology and other equipment so long as the use of that technology or equipment is permitted by:
 - i. these Rules;
 - ii. the Assessment Standard under which the assessment is taking place and any assessment specifications including their supporting documents (*available on or through the NZQA website*); or
 - iii. Instructions for Candidates provided by NZQA to Schools for distribution to Candidates (*and available on the NZQA website*).

- c. For NZQA examinations
 - i. the only calculators that a Candidate may use in a 2019 examination are those approved for use in the published [NZQA Calculator List 2019](#);
 - ii. prior to a Candidate bringing a calculator into the examination room, the Candidate must clear any data by resetting the calculator to its default settings;
 - iii. a Candidate must allow an Examination Supervisor or teacher to check any calculator in the possession of the Candidate, and to clear its memories to default settings if necessary, prior to the Candidate entering the examination room;
 - iv. except where paragraph d of this Rule 5.7 applies, any other electronic device that is brought into the examination room by a Candidate must be in a sealed transparent emergency evacuation pack, must be clearly visible in that pack, and must be switched off;
 - v. a Candidate must not access an emergency evacuation pack during an examination without the explicit permission of an Examination Supervisor (for example when evacuated from the examination room due to an emergency);
 - vi. an Examination Supervisor may remove from Candidates any calculators or any other electronic devices in relation to a Candidate not complying with any of the requirements, and hold the calculator or device for the period of time necessary to determine whether or not any failure to follow instructions or dishonest practice has occurred in terms of [Rule 7.1.9b](#) (and may pass the calculator or device to a teacher at the Candidate's School for that purpose).
- d. An electronic device may be used:
 - i. by Candidates entitled to use the device under [Rule 5.5 \(Special Assessment Conditions\)](#);
 - ii. under controlled conditions agreed to by NZQA with a School;
 - iii. subject to any conditions for the use of electronic devices published by NZQA on its website.
- e. A Candidate not complying with any requirements of this Rule 5.7, and any other report of misuse by a Candidate of calculators or other electronic devices during an examination, will be investigated under [Rule 7.1.9 \(Breaches of the Rules – External Assessment\)](#).

5.8 Assessment Specifications

- a. Assessment specifications for externally assessed Achievement Standards and New Zealand Scholarship are published by 20 December 2018.
- b. Where the examination paper development process has necessitated an amendment to the assessment specification, NZQA will publish the amendments before 31 March 2019.
- c. NZQA may set alternative dates for advising schools of changes to assessment specifications in extenuating circumstances.

5.9 Translation of External Assessments and Moderation Materials

- a. Unless specifically excluded by the assessment specifications, Candidates may present their answers in either English and/or te reo Māori.

- b. Schools must advise NZQA by 1 August 2019 if they have Candidates who wish to be assessed through the medium of te reo Māori and this includes:
 - i. Candidates who require a translated version of the external assessment in te reo Māori; or
 - ii. Candidates who intend to submit written answers for external assessment wholly or partially in te reo Māori (but not including te reo Rangatira or te reo Māori standards).
- c. Schools must advise NZQA by 28 February 2019 if they have Candidates completing internal assessments in te reo Māori who will have their work sent to NZQA as part of the school's external moderation submission.
- d. For international language examination papers, only the instructions and source materials in the paper giving information to Candidates will be translated into te reo Māori.
- e. English externally assessed papers will not be translated into, and must not be answered in, te reo Māori.
- f. NZQA will engage markers and/or translators/interpreters who are able to assess or facilitate the assessment of students in the medium of te reo Māori where possible.

6. School-Based Assessment

This section relates to internal assessment by Schools.

6.1 Schools' Assessment Policy

- a. Schools must maintain an assessment policy and incorporate in that assessment policy the nationally agreed guidelines published by NZQA for **Managing National Assessment**, including:
 - i. internal moderation
 - ii. external moderation
 - iii. special assessment conditions
 - iv. authenticity of student work
 - v. missed or late assessment opportunities, resubmission of assessment material and further assessment opportunities for students
 - vi. appeals of assessment decisions
 - vii. **breaches of the rules**
 - viii. derived grades
 - ix. emergency grades
 - x. managing the use of external providers.

6.2 Course Approval of Courses for International Students

- a. Under section 4E of the Education Act 1989, schools are required to gain NZQA approval for any classes, courses or programmes which are intended exclusively or mainly for international students.

6.3 Managing National Assessment

- a. NZQA reviews School systems for Managing National Assessment (MNA) against Standards listed on the Directory by publication of a MNA report after:
 - i. review of a School's assessment systems at least once every four years to ensure that assessment is valid, reliable, accurate and consistent nationally with the Assessment Standard:
 - ii. a check that the requirements for the *Consent to Assess Against Standards on the Directory of Assessment Standards Rules 2011* are being met:
 - iii. checks on aspects of assessment systems and data on an annual basis; and
 - iv. annual **external moderation** of assessment materials and assessor decisions.

6.4 Internal Moderation

- a. Schools must establish an internal moderation process that meets NZQA's requirements and which is applied each year to every internally assessed standard being assessed, to ensure that judgements are consistent with the Assessment Standard.
- b. Schools must have monitoring systems that ensure the results they report have been subject to the internal moderation process.

- c. Evidence of internal moderation and the school's monitoring of internal moderation must be retained until the end of the following academic year.

6.5 External Moderation

- a. External moderation for internally assessed standards listed on the Directory is a process by which NZQA can provide an assurance that assessment decisions in relation to Assessment Standards are consistent nationally.
- b. NZQA will annually select internally assessed Assessment Standards from across curriculum areas to form the School's moderation plan. Some of these standards may be randomly selected for a National Systems Check to calculate a national teacher/moderator agreement rate, at each NCEA Level.
- c. Each School must submit assessment material to NZQA prior to their moderation submission date for the selected Assessment Standards, which will include samples of students' work selected according to the School's **random selection** process. Schools are required to ensure that teachers have no opportunity to re-mark the sample of student work after it has been selected.
- d. All samples submitted must clearly distinguish each student's work, be easy to read, and account for any privacy issues (for example known protection orders or by using a unique identifier in a way that is permissible under Principle 12 of the Information Privacy Principles of the Privacy Act 1993).
- e. NZQA will carry out external moderation and will provide information to the School, summarising the results.
- f. Schools must address issues that are identified in the external moderation process, including the use of invalid tasks and lack of agreement by the moderator with assessor judgements.
- g. Teachers, through the Principal's Nominee, may appeal to NZQA any content of the external moderator's report.
- h. Where external moderation identifies authenticity issues at a School, NZQA will advise the Principal's Nominee and in the first instance the School is required to investigate a possible **Breach of the Rules - Internal Assessment**.
- i. NZQA will exercise all care in processing assessment material submitted to it for external moderation and in returning them to Schools. NZQA is unable to accept any liability however for the non-delivery of, or damage to, these materials.

6.6 Breaches of the Rules – Internal Assessment

- a. Schools must have written procedures, based on the principles of natural justice, and fairness, for receiving, investigating and making decisions on reported conduct by a Candidate that might constitute a breach of its rules relating to internal assessment like those outlined in the **Breaches of the Rules – External Assessment**.

- b. The procedures must include allowing the Candidate:
 - an opportunity to provide an explanation
 - the right of appeal to a designated person
 - clear and fair timelines.
- c. Where a Candidate has been found to have knowingly, fraudulently or unwittingly breached the rules and the breach undermines the credibility of the assessment, the School must report a “Not Achieved” for the Assessment Standard.

6.7 Assessment Opportunities for Internal Assessment

- a. Assessment evidence used to award grades needs to be available for verification, and approaches to assessment that involve collection of evidence must be documented.
- b. Where manageable, and after further learning has taken place, Candidates may be offered a maximum of one further opportunity for assessment against an Assessment Standard within a year.
- c. All students, including those who did not complete the original assessment for a reason acceptable under the School's policies, must be able to:
 - i. access the further opportunity, if they wish; and
 - ii. use the further opportunity to improve their original grade.
- d. Students must be awarded the higher grade achieved over both opportunities.
- e. If a teacher judges a student has made a minor error or omission that they should be capable of discovering and correcting on their own, a resubmission may be offered to confirm a grade.
- f. A resubmission must be limited to specific aspects of the assessment and no more than one resubmission must be provided per assessment opportunity.
- g. A ‘Not Achieved’ must be recorded for a student who has had an adequate opportunity to be assessed but has failed to avail themselves of this opportunity.

6.8 Industry Training Organisation Managed Systems

- a. Schools must work directly with each relevant Industry Training Organisation (ITO) for assessing Candidates against industry-related standards.
- b. Schools assessing standards managed by an ITO must engage in the national moderation system managed by the ITO. Information about the requirements of each system is found in the Consent and Moderation Requirements (CMR) document attached to each **Assessment Standard**.

7. External Assessment

This section applies to external assessment systems administered by NZQA.

External assessment involves assessment by Common Assessment Task, examination, portfolio submission, or submitted report.

7.1 General Conditions for External Assessment

- a. The following administrative systems will apply to all Assessment Standards that are externally assessed.

Guiding Principles for Sitting Examinations:

- b. Examinations will be held at such times and places as determined by NZQA.
- c. NZQA will publish an examination timetable, by the end of 2018, derived from previous entry data, designed to minimise possible examination clashes for Candidates.
- d. NCEA and New Zealand Scholarship examinations will be sat at the published times in New Zealand, the Cook Islands and Niue.
- e. Where possible, Candidates with examination clashes will have their assessment needs accommodated in line with the administrative guidelines published by NZQA for examination clash management.

7.1.1 Examination Centres

- a. Examination Centres will be established annually by reference to:
 - i. the number of total Candidate entries;
 - ii. the number of examination sessions and Candidate entries within those examination sessions;
 - iii. distance and travel to any other existing established examination centre;
 - iv. the review by NZQA of Candidate entries for the previous year including absentee numbers and standards not attempted; and
 - v. the cost-effective use of limited resources.
- b. NZQA may also combine established examination centres to ensure the cost-effective use of limited resources in urban areas where there are few Candidate entries for examination sessions.
- c. In extenuating circumstances, NZQA may approve special accommodation at the cost of the School or Candidate/s to cater for concerns in relation to Candidates sitting at examination centres.

Special Examination Centres

- d. Where a Candidate has entries made through a School and paid all fees; and either -
 - i. no local school is available to be an examination centre; or
 - ii. NZQA considers that in the circumstances it would be prudent to have a special examination centre -

NZQA may establish a special examination centre. Such cases usually relate to Candidates who are living in remote areas and/or studying through Te Aho o Te Kura Pounamu.

- e. Applications to establish a special examination centre must be made by a Candidate or Principal's Nominee before 1 August 2019 on the approved form, which is available from NZQA or Te Aho o Te Kura Pounamu.
- f. The School is responsible for identifying:
 - i. a suitable examination venue, which allows Candidates to work uninterrupted for the duration of each examination free from noise and other distractions; and
 - ii. a suitable **supervisor** for each examination who must:
 - 1. follow the requirements of **Rule 7.1.2 for examination supervision**;
 - 2. be able to ensure that examination security is maintained; and
 - 3. have no family or current teaching/instructional relationship with any Candidate.
- g. Any costs associated with the use of the venue are the responsibility of the applicant.
- h. In all cases the published NZQA examination timetable will apply.

7.1.2 Examination Supervision

- a. A School must recommend to NZQA a suitable person to act as the School's Examination Centre Manager (ECM) by the first day of term 3, 2019.
- b. NZQA will appoint the ECM where satisfied the person is suitable and may withdraw the appointment where NZQA considers the person is no longer suitable.
- c. The ECM must:
 - i. comply with the NZQA Code of Conduct; and
 - ii. ensure that all instructions issued by NZQA for the control of the examination centre are carried out; and
 - iii. appoint and train supervisors for the examination centre in accordance with the supervisor schedule issued by NZQA.
- d. Supervision must be such that Candidates at each examination centre comply with the instructions of NZQA, the ECM and supervisors.
- e. The Principal's Nominee must ensure that suitable accommodation and equipment are available for each examination, and provide support, as appropriate, for the ECM.
- f. The School must review the ECM's performance annually.

7.1.3 External Assessment by other than NZQA Examinations

- a. The following externally assessed standards will not be assessed through NZQA examinations:
 - Technology (including Design and Visual Communication)
 - Verified Languages
 - Visual Arts

- Level 3 Education for Sustainability
 - New Zealand Scholarship Health and Physical Education
 - New Zealand Scholarship Music.
- b. The [Assessment Specifications](#) published by NZQA before the end of 2018 provide information about the processes for 2019 relating to external assessment, including for the above standards.
 - c. The details of the assessment processes, including the submission of Candidate work, deadlines and timetables, will be published by NZQA during 2019.
 - d. All Candidate work submitted for external assessment must be authenticated as the Candidate's own work by Schools in accordance with their policy and procedures for authenticity.
 - e. Work sent to NZQA that is not confirmed as authentic or reported as not being authentic will be dealt with under a [Breach of the Rules - External Assessment](#).
 - f. Schools must manage any derived grade applications following the [Derived Grade Process](#) and applying the instructions supplied by NZQA to the School.
 - g. Schools must submit samples of Candidate work for verification of assessor judgements consistent with their Consent to Assess.

7.1.4 Assessment of Common Assessment Tasks

- a. The details of the assessment processes for common assessment tasks, including the submission of Candidate work, deadlines and timetables, will be published by NZQA during 2019.
- b. Schools must administer, and if required, mark work, and submit a sample of Candidate work to NZQA for verification of assessor judgements in accordance with the NZQA-published assessment processes.
- c. All Candidate work submitted for external assessment must be authenticated as the Candidate's own work by Schools in accordance with their policy and procedures for authenticity.
- d. Schools must manage any breaches of the rules using their [Breaches of the Rules – Internal Assessment](#) procedures and applying the instructions supplied by NZQA to the School for the common assessment task.
- e. Schools must manage any derived grade applications following the [Derived Grade Process](#) and applying the instructions supplied by NZQA to the School for the Common Assessment Task.

7.1.5 Derived Grade Process

- a. The derived grade process is available only for external assessments.
- b. Where:
 - i. NZQA marks an external examination, or a submitted portfolio, or Common Assessment task (CAT), Candidates must apply to NZQA via their School
 - ii. Schools mark and NZQA verifies a sample of student work for a portfolio submission Schools must follow their **late assessment policy**
 - iii. Schools mark and NZQA verifies a sample of student work for a Common Assessment Task (CAT) Schools must follow their **missed assessment policy**.
- c. A Candidate may apply to NZQA through their School for a derived grade where:
 - i. the Candidate's performance or ability to undertake an external assessment is seriously impaired by an event such as illness, misadventure, or bereavement of a family member or close acquaintance; or
 - ii. the Candidate's performance or ability to undertake an external assessment is prevented by being selected to represent a country at a sporting or cultural event for which the Candidate has, in advance applied to NZQA for pre-approval of eligibility; or
 - iii. the Candidate considers that their performance or ability to undertake an external assessment was seriously impaired by exceptional circumstances beyond their control.
- d. A derived grade is not available for **New Zealand Scholarship subjects**.
- e. An applicant for a derived grade must complete the relevant sections of the published NZQA application form for a derived grade and submit this to the School by the specified date. In extenuating circumstances, the Candidate may apply directly to NZQA.
- f. The School must submit all applications for a derived grade by the specified date and retain the application form and any supporting information for one year for audit purposes.
- g. Where an event has occurred that is likely to result in applications from a group of Candidates (such as a bereavement of a student from the School), Schools should contact NZQA for advice on managing any necessary derived grade process.
- h. In exceptional circumstances NZQA may accept late applications, but no application for a derived grade can be accepted after results have been released in January 2020.
- i. The grade submitted to NZQA must be from quality assured, pre-existing, valid, authentic, standard-specific evidence and:
 - i. from a practice assessment of the standard for which a derived grade is applied; or
 - ii. from across a range of activities where the Candidate demonstrates achievement of the registered criteria of the standard for which a derived grade is applied.

Decision-making process

- j. After considering the application NZQA will;
 - i. approve the application and award the better result for the Candidate based on either the submitted grade or the external assessment result as part of the release of external results in January 2020; or
 - ii. advise the Candidate and the School (through the Principal's Nominee) in writing of the decision to decline the application and the reason the application does not meet the eligibility criteria.

Appeal of a Declined Derived Grade Decision

- k. A Candidate may appeal against a decision to decline a derived grade application in writing to the Manager of School Quality Assurance and Liaison within 15 business days of the decision.
- l. Reasons for the appeal must be provided along with any additional relevant information.
- m. In the appeal, the Manager will review the process followed and the decision based on the application material and reasoning of the decision, and any further cogent evidence that may be made available.
- n. The Candidate and the School (through the Principal's Nominee) will be notified of the Manager's decision in writing within 15 business days of the receipt of the appeal request.

Review of a Declined Derived Grade Decision

- o. A Candidate whose appeal is declined by the Manager may apply for a review of the appeal decision in writing to the Chief Executive within 15 business days of the decision.
- p. The Chief Executive's decision concludes the NZQA process and takes effect the day after the day it is made.

7.1.6 Emergency Grade Process

- a. NZQA reserves the right to apply the emergency grade process where a group of Candidates is significantly disadvantaged by extraordinary circumstances beyond their control.

7.1.7 Return of Achievement Standard External Assessment Material

- a. NZQA will return examination responses related to external assessment of Achievement Standards in February 2020 by mail to the New Zealand postal address provided to NZQA or (if the technology has been put in place) will provide electronic access to some or all external assessment materials through the Learner Login (except for portfolio material which will be physically returned). As Schools are

expected to keep copies of CDs, or DVDs (for example for subjects such as Dance and Drama) NZQA will not return these.

- b. Candidates whose entry details show an overseas address and who wish to have their external assessment material sent to that or a different overseas address, must apply on the **NZQA** form before 1 March 2020, and pay the appropriate fee in the **Fee Schedule**.
- c. Where NZQA is returning physical copies of any external assessment materials to Candidates, NZQA will exercise appropriate care in processing external assessment materials and returning them to Candidates. NZQA is, however, unable to accept any liability for any damage to the materials or non-delivery of them to a Candidate,
- d. NZQA is unable to accept liability for any damage to the materials or non-delivery of them where they are sent to NZQA for a review or reconsideration.
- e. All unclaimed external assessment materials will be disposed of on or after 30 June 2020.
- f. All electronic copies of external assessment materials will be deleted on or after 30 June 2020 following the assessment, and any electronic access that Candidates may have through the Learner Login will not be available after 30 June 2020.
- g. NZQA may alter these dates in extenuating circumstances.

7.1.8 Review or Reconsideration of External Assessment Results

- a. Candidates may apply to NZQA for a review or reconsideration of results of external assessments except in the case of -
 - i. verified languages; or
 - ii. Level 1 and 2 Visual Arts standards
 - iii. Level 1 Mathematics and Statistics 91027 (MCAT) -for which they need to apply to the School and the School is responsible through their policies for any review of results in accordance with the process NZQA advises to the Schools in 2019.
- b. Responses which have been changed in any way will not be eligible for review or reconsideration and will be dealt with under [Breaches of the Rules -External Assessment](#).
- c. In the unlikely event that external assessment material goes missing, and in the absence of evidence to the contrary, reviews and reconsiderations are not available, and the existing reported grade will stand.
- d. All Candidates will be notified of the outcome of the review or reconsideration within six weeks of receipt of their complete application by NZQA.

Reviews

- e. Candidates may request a review of external assessment material only if they consider a processing error has been made (such as one or more sections unmarked, or the incorrect transfer of scores).
- f. NZQA will fix and publish the closing date for review requests in 2019 which will be not less than seven days after the external assessment materials are returned following the results having been released.
- g. In exceptional circumstances, NZQA may accept late review requests.
- h. The review request must be made in writing to NZQA and must specify the nature of the alleged processing error.

Reconsiderations

- i. Reconsideration of externally assessed standards is available except where it is not practicable to do so.
- j. Candidates may apply for reconsideration if they believe that their work has not been assessed correctly and they wish to have it re-marked against the assessment schedule.
- k. Applications for reconsideration of external assessment material must be made on-line from the Candidate's Learner Login and the Candidate must pay the reconsideration fee set out in the Fee Schedule.
- l. NZQA will fix and publish the closing date for reconsideration applications in 2019 which will be not less than seven days after external assessment materials are returned following results having been released.
- m. In exceptional circumstances NZQA may accept late applications.
- n. The reconsideration will include reassessment of the Candidate's work using the original assessment schedule(s), the checking of all processes, and checking that all responses have been marked and that the scores have been correctly transferred.
- o. Candidates whose grade is improved will be sent a refund of the reconsideration fee.
- p. If the student's external assessment material goes missing during the reconsideration process, the existing reported grade will stand.

7.1.9 Breaches of the Rules – External Assessment

- a. These breaches of the rules for external assessment apply to all externally assessed standards, but excluding Visual Arts Level 1 or 2, Verified Languages, and assessment by a Common Assessment Task for which the School's [Breaches of the Rules – Internal Assessment](#) procedures must be used.
- b. In relation to external assessment NZQA may undertake an investigation into any report of the following kinds of conduct (called a "breach of the rules of external assessment"):

- i. **failure to follow instructions** – a Candidate or another person is reported to have failed to follow the instructions of NZQA (such as those of an Examination Supervisor) whether knowingly or unwittingly, or to have failed to follow any requirements of the Instructions to Candidates 2019, the supervisor's instructions or instructions on the Candidate's admission slip:
 - ii. **influencing/assisting/hindering candidates or disrupting the external assessment** – a Candidate or person is reported to have influenced, assisted or hindered one or more Candidates, or otherwise disrupted an external assessment, whether knowingly or unwittingly:
 - iii. **dishonest practice by a Candidate** - a Candidate or another person is reported to have knowingly or unwittingly:
 - 1. accessed, or attempted to access, information, materials, or help from another person
 - 2. altered returned materials prior to seeking a review or reconsideration;
 - 3. used any document or certificate produced by NZQA in a way that provides them with an advantage (monetary or otherwise); or
 - 4. engaged in any other practice that might result in an advantage to the Candidate or other Candidates:
 - iv. **inauthentic material** - a Candidate is reported to have submitted material for assessment that is not their own, whether knowingly or unwittingly:
 - v. **impersonation** - a person is reported to have impersonated or dishonestly claimed to be a Candidate entered for an externally assessed standard, in which case these Rules may apply to the alleged impersonator, to the Candidate who has allegedly been impersonated, and to any other person who may have assisted or concealed the impersonation.
- c. Before deciding whether or not to undertake an investigation, NZQA may seek to clarify the reported conduct.
 - d. Where NZQA has initiated an investigation, a Candidate or other person whose reported conduct may have possibly breached these Rules will be sent a letter with copies of any relevant information or reports, indicating the:
 - i. conduct that may have been in breach of the rules;
 - ii. rule/s that the conduct may have breached;
 - iii. process that will be followed; and
 - iv. entries and any results that may be withheld until the investigation is completed and a decision is reached -
 and will be invited to make written comment to NZQA about their conduct within 15 business days of the date of the letter.
 - e. Investigation into a possible breach of the rules of external assessment by a Candidate or other person may involve consultation with the Principal's Nominee from the Candidate's School or Candidate's School(s) or any other person able to provide relevant information.
 - f. While NZQA is investigating a possible breach of the rules of external assessment it may suspend the release of all or part of the results of any Candidate who is believed to be involved, until a decision is made as to whether or not a breach has occurred.

- g. If, at any stage of the investigation, NZQA receives written comment from the Candidate or any other person which explains their conduct and satisfies NZQA that a breach by the Candidate or other person has not occurred or is not proven, any entries and results which may have been withheld will be released and **no further action** will be taken.

Decision-making process

- h. After any written comment is received from the Candidate or other person within the 15 business days, or on or after the expiry of the 15 business days if no written communication is received, a decision will be made by the relevant staff member of NZQA (with delegated authority from the Chief Executive) on the reported breach of the rules of external assessment, taking into consideration all the information received, when the staff member of NZQA reasonably believes there is sufficient information upon which to make an informed decision.
- i. The Candidate or other person will be informed in writing of the decision by NZQA, and, if a breach is found, the penalties (if any) to be imposed.
- j. Where NZQA considers a formal **face-to-face meeting** would assist in eliciting information upon which an informed decision can be made, the Candidate or other person will be invited to the meeting and may bring a support person with them. The meeting will be chaired by an independent appointee of the Chief Executive (for example, a former school principal), and the following procedure will apply:
- i. the Candidate or other person will be given reasonable notice of the date of any face-to-face meeting, will be given copies of any relevant new reports or information held by NZQA, and may provide written submissions prior to the meeting;
 - ii. the Candidate or other person may choose to provide written submissions and not attend the face-to-face meeting;
 - iii. the Candidate or other person may choose to neither provide written submissions nor attend a face-to-face meeting.
- k. Where the Candidate or other person chooses not to –
- i. provide written submissions; or
 - ii. accept the offer of a face-to-face meeting; or
 - iii. reply to the offer of a face-to-face meeting; or
 - iv. attend the face-to-face meeting after accepting the offer of a meeting –
- the decision making process will be as provided for in paragraphs n (i) and n (ii) of this Rule 7.1.9.
- l. Where the Candidate provides a written submission, but does not attend the face-to-face meeting, the decision making process will be as provided for in paragraphs n (i) and n (ii) of this Rule 7.1.9.

- m. Where the Candidate or other person attends the face-to-face meeting, the independent appointee chairing the meeting will:
 - i. outline to the Candidate or other person the reported conduct that may be in breach of the rules and the possible penalties; and
 - ii. listen to, discuss and clarify:
 - 1. any issues in relevant submissions and views of NZQA, and of the Candidate or of the other person in relation to the reported conduct;
 - 2. any issues in respect of breaches of the rules of external assessment, and
 - 3. any issues in respect of penalties.
- n. Following the meeting with the Candidate or other person or where paragraph l. of this Rule 7.1.9 applies -
 - i. the independent appointee will make one or more recommendations on whether the reported conduct was a breach of the rules of external assessment, and if a breach is found, on relevant penalties; and
 - ii. the recommendation will be given to the NZQA staff member with the delegated authority who will proceed to make a decision and will document the decision with reasons.
- o. NZQA will, within 15 business days of the decision being made (unless there is good reason not to) notify the Candidate or other person of that decision.

Penalties that may be imposed

- p. Where the decision is that the Candidate or other person has breached the rules of external assessment, the Candidate or other person will be given a formal warning and any one or more of the following actions may be taken:
 - i. permanent withholding of the entries and results of the Candidate or other person in relation to the externally assessed standard/s where breaches were established (note that this will not include results in other externally assessed standards from the current or previous years unless justified by the investigation outcome);
 - ii. conditions placed on the Candidate or other person when entering further external assessments including, but not limited to, an agreed code of conduct;
 - iii. disqualification of the Candidate or other person from entering further external assessment for national or New Zealand qualifications in specified assessments or for a specified period of time.
- q. NZQA may refer any breach of the rules to relevant authorities (including the Police where criminal behaviour is believed to have occurred) for consideration by those authorities (for example in the case of impersonation).

7.1.10 Appeal and review of Appeal Decision – External Assessment

- a. A Candidate or other person who has been found to have breached the rules of external assessment, and who believes a decision was incorrect may appeal in writing to the NZQA Manager of School Quality Assurance and Liaison, (the Manager), within 15 business days of the date the notification of the decision was sent to the Candidate or other person.

- b. The request for an appeal must include the reasons why the Candidate or other person believes the decision is incorrect.
- c. The Candidate or other person will be notified of the Manager's decision within 15 business days of the receipt of the appeal request.
- d. In the appeal, the Manager will review the process followed and the decision based on the investigation material and reasoning of the decision and any further cogent evidence that may be made available.
- e. A Candidate or other person who has been found on appeal to have breached the rules may apply for a review of the appeal decision, including any penalties imposed, in writing to the Chief Executive within 15 business days of the date the notification of the appeal decision was sent to the Candidate or other person.
- f. The request for review must include the reasons why the Candidate or other person believes the decision should be further reviewed, and whether or not the Candidate or other person wishes to be heard in person (including by telephone conference).
- g. A review by the Chief Executive is to confirm whether it is more likely than not that the breach of the rules of external assessment occurred.
- h. The Chief Executive may adopt any procedure for the review he or she believes reasonable in the circumstances.
- i. The Chief Executive will ensure that all involved parties have a copy of any new information, and allow sufficient time for consideration of and any comment on that information.
- j. Where a Candidate or other person does not wish to be heard in person, the Chief Executive may proceed to make a decision on the basis of the information received.
- k. Where a Candidate or other person wishes to be heard, it will be at their own expense and the meeting will be held at NZQA offices in Wellington.
- l. The Chief Executive will correspond with the Candidate or other person to set a mutually convenient date for the hearing. If, after reasonable attempts, a mutually convenient date cannot be found, the Chief Executive will set and specify a date for the hearing.
- m. In carrying out the review and making a decision the Chief Executive may, at the Chief Executive's discretion, and whether or not a hearing has been requested, do any or all of the following:
 - i. ask for further relevant information from any party:
 - ii. receive any new information from any party that is relevant, whether or not the Chief Executive has asked for that information:
 - iii. obtain any advice or expertise from third parties that may assist the decision, which for the avoidance of doubt may include handwriting or scientific advice or expertise:
 - iv. allow sufficient time for parties to consider any new information, advice or expertise:

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- v. decide to refer the matter back to the original decision-maker for reconsideration:
 - vi. confirm or change any decision.
- n. Where a Candidate or other person has appealed the decision to the Manager, or has applied for a review by the Chief Executive of the decision, and the decision being appealed or reviewed involves the penalty of disqualification from entering further externally assessed standards, pending the outcome of the appeal or review the Candidate or other person may make an entry for those externally assessed standards in any year to which the disqualification would otherwise apply.
 - o. If the review confirms the original decision, any penalties will be reapplied, and the Candidate's entry for externally assessed standards may be withdrawn.
 - p. The Chief Executive's decision concludes the NZQA process and takes effect the day after the day it is made.

7.2 New Zealand University Entrance Provisions

- a. Students will have met the minimum requirements for entrance to a university in New Zealand if they have obtained at least:
 - i. NCEA Level 3, and
 - ii. 14 credits in three of the Approved Subjects published on the NZQA website, and
 - iii. a minimum of 10 literacy credits at Level 2 or above from the list of Literacy requirements for University Entrance (published on the NZQA website) made up of 5 credits in reading and 5 credits in writing, and
 - iv. a minimum of 10 numeracy credits at Level 1 or above from the Level 1 numeracy Achievement Standard list (published on the NZQA website), or achievement of all three numeracy unit standards (26623, 26626, 26627).
- b. Credits may be accumulated over more than one year.
- c. Where Assessment Standards assess the same learning outcome, they are mutually exclusive for the University Entrance award.

7.3 New Zealand Scholarship 2019: General Assessment Rules and Procedures

- a. Unless stated otherwise, the General Assessment Rules in section 5 of these Rules apply to New Zealand Scholarship.
- b. NZQA publishes the New Zealand Scholarship subjects for Assessment.

7.3.1 New Zealand Scholarship: Fees

- a. The fees that apply to New Zealand Scholarship in 2019 are published in the Fee Schedule.

7.3.2 New Zealand Scholarship: Monetary Awards

- a. The New Zealand Scholarship Monetary Awards for 2019 are available to Candidates who meet [Rules 5.2 Candidate Eligibility](#) and [5.3 Conditions of Entry](#) and comprise:

Premier Award	<ul style="list-style-type: none"> ○ For the very top 5 to 10 Candidates. The minimum eligibility requirement to be considered for this award is achievement of at least three Scholarships at "Outstanding" level in the same year. The number of recipients for this award is restricted and achieving the minimum requirement will not guarantee an award. ○ \$10,000 each year for up to three years for as long as the recipient maintains at least a 'B' grade average each year of their tertiary study.
Outstanding Scholar Award	<ul style="list-style-type: none"> ○ For the next 40-60 top Candidates. The minimum eligibility requirement to be considered for this award is achievement of three Scholarships including at least two at "Outstanding" level in the same year, or more than three Scholarships including at least one at "Outstanding" level in the same year. The number of recipients for this award is restricted and achieving the minimum requirement will not guarantee an award. ○ \$5,000 each year for up to three years for as long as the recipient maintains at least a 'B' grade average each year of their tertiary study.

Scholarship Award	<ul style="list-style-type: none"> ○ For Candidates who achieve New Zealand Scholarship in three or more subjects in the same year. ○ \$2,000 each year for up to three years for as long as the recipient maintains at least a 'B' grade average each year of their tertiary study.
Top Subject Scholar Award	<ul style="list-style-type: none"> ○ For the top Candidate in each one of the New Zealand Scholarship subjects. ○ \$2,000 each year for up to three years for as long as the recipient maintains at least a 'B' grade average each year of their tertiary study.

Single Subject Awards	<ul style="list-style-type: none"> ○ For Candidates who achieve New Zealand Scholarship in one or more subjects. ○ A 'one-off' award of \$500 per subject, for up to two subjects, (maximum payment \$1000).
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Eligibility to receive a monetary award

- b. For recipients of all New Zealand Scholarship awards:
 - i. the recipient must be enrolled in tertiary study in New Zealand (at least 0.4 Equivalent full-time student (EFTs)) with an institution which holds accreditation under section 250 of the Act to provide one or more approved programmes, and must allow use of their name and school for publicity about their success:
 - ii. Single Subject Awards are paid only in the first year of tertiary study in New Zealand:
 - iii. for awards with second or subsequent year payments, recipients must maintain at least a 'B' grade average during each year of their tertiary study in New Zealand with an accredited provider in order to qualify for payment in the following year:
 - iv. Note that StudyLink has separate requirements relating to payment of New Zealand Scholarship Awards.
- c. Monetary awards for New Zealand Scholarship cannot be accumulated except as specified below.
- d. Where a Candidate meets the criteria for more than one monetary award, he or she will receive only the award of the highest monetary value, except where a Candidate receives a Top Subject Scholar Award and also achieves a Single Subject Award in a different subject, in which case he or she will receive the Top Subject Scholar Award and a maximum of one \$500 Single Subject Award.
- e. The monetary amounts for the Premier Award, Outstanding Scholar Award and Scholarship Award are available only for results obtained within the year of entry. Thus results cannot be aggregated over a period of time.
- f. To be eligible for New Zealand Scholarship Monetary Awards, Candidates must notify NZQA through their Learner Login of their intention to accept an award by 15 January 2021 following the receipt of their result.
- g. NZQA must be notified annually of a recipient's intention to defer a monetary award. Recipients of monetary awards may annually defer receiving the award for up to four consecutive years after they leave school.

- h. A Candidate who defers an award because they are still at school and gains:
 - i. an award in the same subject in more than one year will only receive one monetary award being the highest value award achieved:
 - ii. a Single Subject Award in one subject in a year and in a second subject in another year is eligible for two one-off awards of \$500 as long as the student is enrolled in tertiary study as outlined in [Rule 7.3.2b](#) up to the maximum payment of \$1000 for Single Subject Awards:
 - iii. a Single Subject Award in one subject in a year, but fails to gain a Single Subject Award in the same subject in another year, will still be eligible to be paid for the award gained:
 - iv. a Single Subject Award in one or two subjects and the Scholarship Award in three or more subjects in another year is eligible only for the Scholarship Award in the three or more subjects:
 - v. a Top Subject Scholar Award in the same subject in two different years will receive payment for one Top Subject Scholar Award only:
 - vi. a Top Subject Scholar Award in a subject in a year and a Single Subject Award in a second subject in another year, or vice versa, will receive both awards.
- i. New Zealand Scholarship results do not contribute towards the University Entrance.

7.3.3 New Zealand Scholarship: Prime Minister's Award for Academic Excellence

- a. The Prime Minister's Award is awarded to the Candidate who has attained the best results of all Premier Award recipients, taking into account the number of New Zealand Scholarships achieved at "Outstanding" level, the number of additional New Zealand Scholarships achieved, and the ranking of Candidates within individual subjects.

7.3.4 New Zealand Scholarship: Assessment Processes

- a. New Zealand Scholarship Candidates may apply for [special assessment conditions](#) under Rule 5.5.
- b. A derived grade is not available for New Zealand Scholarship assessment.
- c. In exceptional circumstances, where possible, and in fairness to all other Candidates, special consideration may be given at the discretion of the Chief Executive to any Candidate disadvantaged by the administration of the examination or conduct of the external assessment process.

7.3.5 New Zealand Scholarship: Use of Technology and Equipment for Assessment Purposes

- a. Candidates may only use relevant technology as specified in [Rule 5.7](#), in the assessment specifications, or in specific instructions for New Zealand Scholarship Candidates.

7.3.6 New Zealand Scholarship: Reporting and Return of Assessment Material

- a. Prior to 1 March 2020 NZQA will release results to New Zealand Scholarship Candidates.
- b. NZQA will not return New Zealand Scholarship Health and Physical Education, and Music responses as Candidates are expected to keep a copy.
- c. Candidates requiring portfolio material to be returned to an overseas address must apply using the correct NZQA form and the application must be accompanied by the appropriate fees in the Fee Schedule.
- d. Where NZQA is physically returning any external assessment materials to Candidates, NZQA will exercise all care in processing and returning them. NZQA is however unable to accept any liability to a Candidate for the non-delivery or damage of these materials. NZQA is also unable to accept any liability to a Candidate for the non-delivery to NZQA of materials submitted by a Candidate for a review or reconsideration.
- e. Where materials are lost, reviews and reconsiderations are unable to be carried out.
- f. All unclaimed hard copy external assessment materials will be disposed of on or after 30 June 2020.
- g. Any electronic copies of external assessment materials will be deleted on or after 30 June 2020 following the assessment.

8. Certification Rules and Procedures

This section relates to formalities for NCEA Certificates, NCEA Certificate endorsement, Course endorsements, other School qualifications, University Entrance, and Vocational Pathways.

8.1 New Zealand Record of Achievement

- a. Results for all Assessment Standards achieved in 2019 will be recorded on a Candidate's New Zealand Record of Achievement following the release of external results in January 2020 provided that the required fees have been paid.
- b. Except for [Rule 8.2, Credit Exclusion](#) all credits on a Candidate's New Zealand Record of Achievement are used for NCEA Certificates, NCEA Certificate endorsement, Course endorsements, other School qualifications, University Entrance, and Vocational Pathways.

8.2 Credit Exclusion

- a. Where different standards assess the same learning outcome those standards are specified in the Exclusions List.
- b. Standards on the Exclusions List are mutually exclusive for the purposes of determining the award of NCEA Certificates, NCEA Certificate endorsements, Course endorsements, other School Qualifications, University Entrance and Vocational Pathways.
- c. Standards recorded multiple times on a Candidate's New Zealand Record of Achievement are mutually exclusive for the purposes of determining the award of NCEA Certificates, NCEA Certificate endorsements, Course endorsements, other School Qualifications, University Entrance and Vocational Pathways.
- d. From the mutually exclusive standards, the standard with the best outcome for the student for each circumstance will be used for determining the award of NCEA Certificates, NCEA Certificate endorsement, Course endorsement, other School Qualifications, University Entrance and Vocational Pathways.

8.3 Certificates for the Award of NCEA Qualifications

- a. A Level 1 NCEA certificate for the award of the Level 1 NCEA Qualification to a Candidate is based on credits recorded on the Candidate's New Zealand Record of Achievement, where the Candidate has achieved a minimum of 80 credits at Level 1 or higher, and of those minimum 80 credits the Candidate must have;
 - i. in literacy achieved either:
 1. 10 credits from the [specified literacy Assessment Standards](#) published on the NZQA website; or
 2. 10 credits from the [literacy unit standards](#) published on the NZQA website; and
 - ii. in numeracy achieved either:
 1. 10 credits from the [specified numeracy Assessment Standards](#) for published on the NZQA website; or

2. 10 credits from the numeracy unit standards (published on the NZQA website).
- b. When calculating the Level 1 NCEA literacy and numeracy achievements, where credits from a standard contribute towards both the literacy and numeracy achievements, the credits will be counted towards both the literacy and the numeracy achievements but the credits that contribute towards both the literacy and numeracy achievements will be counted only once for the purposes of the minimum 80 credits achievement.
- c. A Level 2 NCEA certificate for the award of the Level 2 NCEA Qualification to a Candidate is based on credits recorded on the Candidate's New Zealand Record of Achievement, where the Candidate has achieved a minimum of 80 credits at Level 1 or higher, and -
 - i. of those minimum 80 credits the Candidate must have achieved a minimum of 60 credits at Level 2 or higher; and
 - ii. the Candidate must have met the Level 1 NCEA Certificate Literacy and Numeracy requirements
- d. A Level 3 NCEA Certificate for the award of the Level 3 NCEA Qualification to a Candidate is based on credits recorded on the Candidate's New Zealand Record of Achievement, where the Candidate has achieved a minimum of 80 credits at Level 2 or higher, and -
 - i. of those minimum 80 credits the Candidate must have achieved 60 credits at Level 3 or higher; and
 - ii. the Candidate must have met the Level 1 NCEA Certificate Literacy and Numeracy requirements.

8.4 Endorsement of NCEA certificates

- a. Endorsement of NCEA certificates occurs following the release of results in January 2020 based on credits on a Candidate's New Zealand Record of Achievement at that time.
- b. Where a Candidate qualifies for Excellence or Merit endorsement under paragraphs c. and d. of this Rule 8.4, subject to paragraphs e. and f. of this Rule 8.4, only the highest eligible NCEA Certificate endorsement from the following list will be recognised on the Certificate awarding the NCEA Qualification:

NCEA Level 3 Excellence
NCEA Level 3 Merit
NCEA Level 2 Excellence
NCEA Level 2 Merit
NCEA Level 1 Excellence
NCEA Level 1 Merit.
- c. An **Excellence endorsement** of an NCEA certificate is issued to Candidates who have achieved **50 or more credits** from standards with a grade of Excellence at the same or higher Level as the NCEA Certificate being endorsed.

- d. A **Merit endorsement** of an NCEA certificate is issued to Candidates who have achieved **50 or more credits** from standards with a grade of either Merit or Excellence at the same or higher Level as the NCEA Certificate being endorsed.
- e. Where a Candidate qualifies for an NCEA Certificate at more than one Level in January of a year, each of those Certificates will be checked for endorsement.
- f. A Candidate may apply for NCEA Certificate endorsement in a year subsequent to the year the Candidate received an NCEA Certificate, where the Candidate achieves the required 50 or more credits at either Excellence or Merit at the Level of that NCEA Certificate.

8.5 Course Endorsement

- a. A Course eligible for Course endorsement at Excellence or Merit is a School-approved programme of assessment for a Candidate at Levels 1, 2 or 3 undertaken within one school year which:
 - i. consists of Assessment Standard;
 - ii. follows NZQA guidelines and is notified to NZQA; and
 - iii. meets the assessment requirements in paragraph b. of this Rule 8.5.
- b. Subject to the exemptions in paragraph d. of this Rule 8.5, for the purposes of paragraph a.iii of this Rule 8.5, the School-approved programme of assessment must contain a minimum of 14 credits from Assessment Standards that have grades of Merit and/or Excellence, with:
 - i. a minimum of three of those credits from internally assessed standards; and
 - ii. a minimum of three of those credits from externally assessed standards.
- c. The course endorsement is gained at the Level of the lowest standard making up the eligible 14 credits. Subject to the exemptions in paragraph d. of this Rule 8.5, NZQA will grant a Candidate a Course endorsement of:
 - i. **Excellence** where a Candidate achieves 14 or more credits from standards within the Course with a grade of Excellence, including at least three of those credits from internal standards and three of those credits from external standards;
 - ii. **Merit** where a Candidate achieves 14 or more credits from the assessment within the Course at Merit or Excellence, including at least three of those credits from internal standards and three of those credits from external standards.
- d. The following exemptions from the internal and external credit requirements for Course endorsement are applicable:
 - i. For Courses where all the standards are from the subject area Physical Education there is no requirement for 3 credits from externally assessed standards;
 - ii. For Courses where all the standards are from the subject area Religious Studies there is no requirement for 3 credits from externally assessed standards;
 - iii. For Courses where all the standards are at Level 3 and from the subject area of Visual Arts:
 - 1. There is no requirement for 3 credits from internally assessed standards where the Candidate has achieved a single 14 credit externally assessed standard within the Course:

2. There is no requirement for 3 credits from externally assessed standards where the Candidate has achieved 14 credits from internally assessed standards within the Course.
- e. The credits recorded on a Candidate's New Zealand Record of Achievement for a particular standard are eligible to be used only once towards a single Course endorsement for the year in which the credits were gained.
- f. A Candidate is eligible for only one endorsement for each Course.
- g. Where a Candidate qualifies for both an Excellence and Merit Course endorsement for a Course, only the Excellence endorsement will be issued.
- h. A Course endorsement is recognised on the Candidate's New Zealand Record of Achievement.

8.6 Award of other School qualifications

- a. NZQA will award qualifications on the School qualifications list using credits on the Candidate's New Zealand Record of Achievement as part of the release of external results in January 2020.

8.7 University Entrance

- a. NZQA will recognise a Candidate's achievement of [University Entrance](#) as part of release of external results in January 2020, where the Candidate has met [Rule 7.2 New Zealand University Entrance Provisions](#).
- b. On application to NZQA, Candidates may request a mid-year recognition of University Entrance achieved in order to gain entrance to a tertiary institution in the second semester of 2019.
- c. University Entrance is recognised on the Candidate's New Zealand Record of Achievement.

8.8 Vocational Pathways

- a. NZQA will recognise a Candidate's achievement of a Vocational Pathway based on credits on a Candidate's New Zealand Record of Achievement.
- b. University Entrance and Vocational Pathways are recognised on the Candidate's New Zealand Record of Achievement.

8.9 Production and issue of NCEA Certificates and transcript of New Zealand Record of Achievement

- a. Candidates who apply for one or more different NCEA Certificates are entitled to one free copy of each Certificate applied for, with a fee as set out in the [Fee Schedule](#) applying to further copies of NCEA Certificates requested.
- b. Candidates may order one free hard copy of their New Zealand Record of Achievement for each year that they undertake study, with a fee as set out in the [Fee](#)

Schedule applying to further hard copies of their New Zealand Record of Achievement.

- c. The New Zealand Record of Achievement is available free of charge in electronic format (PDF) via NZQA's secure web portal. A PDF authenticity verification service is also available via NZQA's website.

8.10 Credit Inclusion

*The provisions for credit inclusion will be reviewed to determine the extent to which credit inclusion aligns with the purpose and direction for the NCEA qualifications, the listing requirement for qualifications on the New Zealand Qualifications Framework, and policy directions for Foundation Education. No new applications for Credit Inclusion will be considered until the review is completed. Current agreements for Credit Inclusion have been extended until **31 March 2020***

- a. NCEA has provision for recognition of credit equivalents from other qualifications or awards that are quality assured.
- b. NZQA publishes an approved list of qualifications and awards recognised for credit inclusion.
- c. Credit equivalents from credit inclusion will not appear on the New Zealand Record of Achievement, may be used only once, and do not contribute to the University Entrance Level 3 requirements
- d. If a School wishes to access credit inclusion for any students it should complete the correct NZQA form and send it to NZQA with the applicable student results.
- e. Credit equivalents from qualifications and awards on the approved list are only recognised if they were gained within two years prior to the year of application for credit inclusion.

8.10.1 Approved List for NCEA Credit Inclusion

The following qualifications and awards are on the approved list:

- Asdan Youth Awards Scheme (Silver, Gold and Universities/Platinum)
- Certificate in Microsoft Office – Specialist
- Cisco Certified Networking Associate
- Diploma in Information and Communications Technology
- International Computer Driving Licence
- New Zealand Institute of Management, Certificate in Small Business Management
- New Zealand Institute of Management, Certificate of Management
- Unitec Certificate in Management
- Young Enterprise Certificate
- Young Enterprise Examination
- Young Enterprise Project
- Zayed College for Girls' – Arabic Course.