

Assessment (including Examination) Rules

for

Tertiary Education Organisations with

Consent to Assess

Entering Candidates for

Externally Assessed

Achievement Standards

2014

Approved Sue Suckling
NZQA Board chair

Table of contents

1.	Authority, commencement and application	3
2.	Definitions.....	4
3.	Acronyms commonly used in these Rules.....	5
4.	Application of these Rules	5
5.	Role of TEO Examination Liaison	6
6.	Assessment and related requirements.....	7
6.1	TEO consent to assess is necessary	7
6.2	TEO assessment processes	7
6.3	Student eligibility for entry	7
6.4	Conditions of entry	7
6.5	Exclusions List	7
6.6	Candidate failure to pay entry fees.....	7
7.	Application to these Rules of the Assessment and Examination Rules for Schools with Consent to Assess	8
7.1	Application of Assessment and Examination Rules for Schools with Consent to Assess.....	8
7.2	General modifications	8
7.3	Policies and procedures.....	8
7.4	Specific Rules	9
7.4.1	- Timing of assessment	9
7.4.2	- Special assessment conditions for assessment	9
7.4.3	- Reporting	9
7.4.4	- Use of technology and equipment for assessment purposes	9
7.4.5	- Assessment specifications	9
7.4.6	- Translation of external assessments and moderation materials	9
7.4.7	- Breaches of the Rules – Internal Assessment	9
7.4.8	- General conditions for external assessment	9
7.4.9	- Examination centres	9
7.4.10	- Breaches of the Rules - External Assessment	9
7.4.11	- Appeal and review of an appeal decision - External Assessment.....	10
7.4.12	- Derived grade process.....	10
7.4.13	- External assessment by other than NZQA examinations	10
7.4.14	- Assessment of Common Assessment Tasks	10
7.4.15	- Return of external assessment material.....	10
7.4.16	- Review or reconsideration of external assessment results.....	10

1. Authority, commencement and application

- a. These rules are made under section 253 (1) (j) of the Education Act 1989, and are called the *Assessment (including Examination) Rules for Tertiary Education Organisations with Consent to Assess Entering Candidates for Externally Assessed Achievement Standards 2014*.
- b. These Rules
 - i. are effective from 1 February 2014 and
 - ii. replace the previous *Assessment and Examination Rules for Tertiary Education Organisations with Consent to Assess Entering Candidates for Externally Assessed Achievement Standards 2013*, which are consequentially revoked.
- c. These Rules specify requirements for external assessment and examination of candidates entered by Tertiary Education Organisations in achievement standards listed on the Directory of Assessment Standards.
- d. The principles of fairness, validity and transparency of assessment practice for all candidates are fundamental to the administration of assessment standards in Tertiary Education Organisations and underpin these Rules.

EXPIRED

2. Definitions

In these Rules, unless the context otherwise requires:

Term	Definition
Act	The Education Act 1989 .
Achievement Standard or Standard	An assessment standard listed on the Directory of Assessment Standards that is identified as an achievement standard.
Assessment	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	An instance where an opportunity is given to a candidate to be assessed against a standard.
Candidate	Student that is entered for standards on the Directory of Assessment Standards.
Booklets	Refers to the written assessment material including papers used by NZQA for assessment by external methods.
Certification	The document showing (including a diploma, certificate or other documented recognition of attainment) that a qualification has been awarded.
Chief Executive	Refers to the Chief Executive of NZQA.
Common Assessment Task	An assessment task that is developed by NZQA, for the purposes of NZQA Rule 7.1.7 of the <i>Assessment (including Examination) Rules for Schools with Consent to Assess 2014</i> .
Consent to assess	The consent granted to an institution under section 252 of the Act to assess students against standards on the Directory.
Consent and Moderation Requirements	The standard-setting body requirements listed for standards that relate to the particular skills and knowledge of teachers and assessors, any special resources required for assessing against the standards, learner access to resources, practical experience, and national external moderation.
Credit	One credit represents ten notional learning hours.
Directory	The Directory of Assessment Standards provided for in section 248A of the Act .
Derived grades	Pre-existing standard-specific evidence of achievement used to give a grade to a candidate.
Entry	The information sent by an education organisation to NZQA indicating the externally assessed achievement standards a candidate is being assessed against.
Exclusions list	The list maintained and published by NZQA of unit standards and achievement standards that have been identified as having the same learning outcomes.
Externally assessed performance-based	An achievement standard that involves the submission of materials (other than a written examination paper) to an external assessor.
NZQF	The New Zealand Qualifications Framework provided for in section 248 of the Act .
NZQA	The New Zealand Qualifications Authority as continued under section 256A of the Act .
Publish	To make available on the NZQA website .

Term	Definition
Qualification	A qualification listed on the NZQF.
Record of Achievement	An individual student's transcript of standards credited to the student and national or New Zealand qualifications completed, maintained by NZQA.
School	Any relevant school with consent to assess within the meaning of section 246 of the Act.
TEO or Tertiary Education Organisation	A university, polytechnic, wānanga, government training establishment, registered establishment, or industry training organisation (<i>as each of those entities is defined in section 159(1) of the Act</i>) with consent to assess against the achievement standards in respect of which a student of the TEO is entered.
TEO Chief Executive	The Chief Executive, or equivalent, of a TEO.
TEO Examination Liaison	The staff member within a TEO, nominated by the TEO under Rule 5.1 .
Verification	The process whereby a sample of grade judgements is externally confirmed.

3. Acronyms commonly used in these Rules

NZQF	New Zealand Qualifications Framework
NZQA	New Zealand Qualifications Authority
TEO	Tertiary Education Organisation

4. Application of these Rules

- 4.1 These rules apply to TEOs which enter candidates for external assessment and examination in achievement standards.

5. Role of TEO Examination Liaison

5.1 On an annual basis, a TEO director or TEO Chief Executive must nominate a staff member of the TEO to be the TEO Examination Liaison.

5.2 The TEO Examination Liaison must carry out the following duties:

- (a) contact NZQA (schoolsliasion@nzqa.govt.nz) for access to enter candidates for externally assessed achievement standards;
- (b) receive and ensure the integrity of candidate entries for externally assessed achievement standards;
- (c) ensure that students entered by the TEO for externally assessed achievement standards are [eligible to enter](#) for the standards;
- (d) forward candidate entries in full to NZQA to meet published deadlines;
- (e) receive and reconcile [candidate fees](#) for entering externally assessed achievement standards, and forward the fee in full to NZQA to [meet published deadlines](#);
- (f) develop and manage the TEO's Breaches of the Rules for Internal Assessment and Appeals process;
- (g) ensure that the TEO has quality assurance processes in place to [authenticate candidate work](#);
- (h) ensure that the TEO has processes in place for externally assessed performance based standards, and to assess and mark Common Assessment Tasks, and that these processes are followed;
- (i) respond to NZQA communications and requests for information;
- (j) liaise with NZQA to determine arrangements for an [examination centre](#) at which candidates can sit their examinations;
- (k) liaise with and support the TEO's [examination centre manager](#) where one is appointed, or liaise with the examination centre managers of the organisation where the TEO's candidates will be sitting examinations;
- (l) consider and make recommendations to NZQA on applications for [derived grades](#) and [special assessment conditions](#) for externally assessed achievement standards; and
- (m) ensure that materials are submitted for all externally assessed performance-based standards to [meet published deadlines](#).

5.3 Other TEO staff may assist the TEO Examination Liaison with the duties in Rule 5.2; the TEO Examination Liaison however remains responsible for ensuring those staff carry out their duties appropriately and for all communication with NZQA in relation to those duties.

6. Assessment and related requirements

6.1 TEO consent to assess is necessary

The TEO must hold consent to assess in the achievement standards entered by its candidates.

6.2 TEO assessment processes

Processes used by a TEO to assess candidates will be in accordance with the content of the externally assessed achievement standards that are listed on the Directory, and their assessment specifications that are published by NZQA.

6.3 Student eligibility for entry

6.3.1 A student is eligible to be entered as a candidate for assessment against an externally assessed achievement standard who:

- (a) meets any eligibility criteria specified in the standard concerned; and
- (b) has entries for the standards concerned forwarded to NZQA by the TEO Examination Liaison.

6.3.2 A candidate is not eligible for assessment against a standard if prevented from doing so under the [Breaches of the Rules \(see Rules 7.4.7 and 7.4.10\)](#).

6.3.3 NZQA may permit a student to be entered as a candidate to be assessed against an externally assessed achievement standard, despite the candidate not meeting the eligibility criteria in Rule 6.3.1 where NZQA considers that extenuating circumstances justify it.

6.4 Conditions of entry

Once entered for assessment, it is a condition of that entry that the candidate:

- (a) is subject to these Rules; and
- (b) permits NZQA access to and use of the material produced by the candidate for the purposes of the assessments and examinations (for example as published exemplars to illustrate grade boundaries).

6.5 Exclusions List

Where a candidate is assessed against an achievement standard and a unit standard that are included in the [Exclusions List](#), only the standard with the highest credit value will be used for award of qualifications.

6.6 Candidate failure to pay entry fees

Candidates who are assessed in standards during a calendar year despite not having paid the relevant fees, will not have results for those standards used to award qualifications.

7. Application to these Rules of the Assessment (including Examination) Rules for Schools with Consent to Assess

7.1 Application of Assessment (including Examination) Rules for Schools with Consent to Assess

The [Assessment \(including Examination\) Rules for Schools with Consent to Assess](#) (that have been made under section 253(1)(j) of the Act), and that are current at the time:

- (a) apply to these Rules as set out in 7.4.1 – 7.4.16 as if they were made under these Rules; and
- (b) are subject to the general and specific modifications noted below.

7.2 General modifications

For the purposes of Rules 7.4.1 – 7.4.16, unless the context otherwise requires, references in the [Assessment \(including Examination\) Rules for Schools with Consent to Assess](#) -

- (a) to *schools* are references to *TEOs*;
- (b) to the *Principal's Nominee* are references to the *TEO Examination Liaison*;
- (c) to *NCEA examinations* are references to *examinations for externally assessed achievement standards*; and
- (d) to [scholarship, unit standards](#) and [internal assessment](#) are not relevant to these Rules.

7.3 Policies and procedures

TEOs must have, and implement consistently, policies and procedures that reflect the principles of fairness, validity and transparency for all students for the following matters:

- (a) breaches of rules for internal assessment and for external assessment;
- (b) missed and late assessments, and derived grade process;
- (c) external assessment by other than NZQA examinations;
- (d) authenticity of learner work submitted as assessment evidence; and
- (e) review or reconsideration of external assessment results.

7.4 Specific Rules

The Assessment (including Examination) Rules for Schools with Consent to Assess which apply to these Rules through Rule 7.1 are (with the cross-referenced rules of those school rules in parenthesis):

7.4.1 - [Timing of Assessment - External Assessment](#)

(Rule 5.1);

7.4.2 - [Special Assessment Conditions](#)

(Rule 5.5);

7.4.3 – [Reporting](#)

(Rule 5.6);

7.4.4 - [Use of Technology and Equipment for Assessment Purposes](#)

(Rule 5.7);

7.4.5 - [Assessment Specifications](#)

(Rule 5.8);

7.4.6 - [Translation of External Assessments and Moderation Materials](#)

(Rule 5.9);

Specific modification – Assessment materials requiring translation will not result in extended timelines for the return of moderation materials to TEOs.

7.4.7 - [Breaches of the Rules – Internal Assessment](#)

(Rule 6.6);

7.4.8 - [General Conditions for External Assessment](#)

(Rule 7.1);

7.4.9 - [Examination Centres](#)

(Rule 7.1.1);

Specific modifications:

- (a) where, after reasonable endeavours, a TEO has been unable to make formal arrangements to use a local examination centre, the TEO may contact NZQA to discuss the possibility of the establishment of a Special Examination Centre; and
- (b) where a Special Examination Centre is established for the TEO, paragraphs (d) to (h) of Rule 7.1.1, and Rule 7.1.2 (Examination Supervision), of the Assessment (including Examination) Rules for Schools with Consent to Assess apply;

7.4.10 - [Breaches of the Rules - External Assessment](#)

(Rule 7.1.3)

7.4.11 – [Appeal and Review of an Appeal Decision - External Assessment](#)
(Rule 7.1.4)

7.4.12 - [Derived Grade Process](#)
(Rule 7.1.5)

7.4.13 - [External Assessment by other than NZQA Examinations](#)
(Rule 7.1.6)

Specific modification:

Paragraph d. of clause 7.1.6 of the *Assessment and Examination Rules for Schools with Consent to Assess* does not apply, and instead, the following paragraph applies:

- d. All candidate work submitted for external assessment must be:
 - i. authenticated as the candidate's own work by TEOs in accordance with their own policies and procedures for managing the authenticity of learner work submitted as assessment evidence; and
 - ii. verified through the process notified annually by NZQA to the TEO.

7.4.14 - [Assessment of Common Assessment Tasks](#)
(Rule 7.1.7)

Specific modification:

Paragraph c. of clause 7.1.7 of the *Assessment and Examination Rules for Schools with Consent to Assess* does not apply, and instead, the following paragraph applies:

- c. All candidate work submitted for external assessment must be:
 - i. authenticated as the candidate's own work by TEOs in accordance with their own policies and procedures for managing the authenticity of learner work submitted as assessment evidence; and
 - ii. verified by a process notified annually by NZQA to the TEO.

7.4.15 - [Return of External Assessment Material](#)
(Rule 7.1.8)

7.4.16 - [Review or Reconsideration of External Assessment Results](#)
(Rule 7.1.9)