

# Guidelines for assessing Level 1 Literacy and Numeracy unit standards

## 1. Introduction

This document is intended to provide guidance for the planning for and assessment against Level 1 Literacy and Numeracy unit standards. It includes suggestions of approaches and examples of planning tools that may be adapted for use depending on the context the standards are being assessed in.

Using these standards in a teaching and learning programme, or within a workplace context, **should not require the development of new assessments specific to these standards.** Providers and assessors should focus on identifying assessment opportunities within existing programmes and develop methods of recognising, collecting and verifying evidence against the standard when that evidence is identified.

This approach supports good teaching and learning principles and reinforces the strategy of embedding Literacy and Numeracy within teaching and learning programmes.

The standards are intended to credential knowledge and skills related to the literacy and numeracy demands of everyday life, learning and work.

Literacy includes reading, writing, speaking, and listening. Skills in this area are essential for good communication, active participation, critical thinking and problem solving.

Numeracy includes knowledge and skills needed to apply mathematics to everyday family and financial matters, learning, work and community tasks, social and leisure activities.

The development of the standards was informed by a number of key documents, including the:

- National Qualifications Framework Level Descriptors
- New Zealand Curriculum (Ministry of Education 2007)
- Learning Progressions for Adult Literacy (TEC 2008)
- Learning Progressions for Adult Numeracy (TEC 2008)
- Adult Literacy Life-skills Survey
- National Standards for Literacy and Numeracy

The standards will be registered at level 1 of the National Qualifications Framework. The relevant level descriptors are attached as [Appendix 1](#).

The standards are generally aligned to New Zealand Curriculum level 3 and 4 and to Koru 3 and 4 of the Learning Progressions for Adult Literacy and

Numeracy. More information on the Learning Progressions can be accessed at <http://www.literacyandnumeracyforadults.org.nz/Learning-progressions>

As this document applies to a number of different education sectors we have used generic terms in a number of places. The following provides definitions of terms:

*Artefacts* is a single term for pieces of work presented as assessment evidence within a portfolio. Examples are provided within the following section.

*Assessor* means the person conducting the summative assessment. This could be a teacher, tutor or registered workplace assessor.

*Candidate(s)* means the person undertaking assessment. It is interchangeable with the term student and/or learner.

## **2. Naturally Occurring Evidence**

Naturally occurring evidence is evidence derived from activities within a learning programme and/or from a candidate's actual work performance and/or everyday life. Naturally occurring evidence is collected from a range of authentic contexts and obtained over a period of time.

Authentic contexts are part of the candidate's everyday life and may include their classroom, their workplace, other contexts.

Evidence gathered from:

- their classroom may be sourced from different subjects or courses, or from different topics or aspects of the same course,
- their workplace may be sourced from an employment focus (ie relating to employment documentation and conditions) or from a job-performance focus (ie regular work tasks),
- other contexts may be sourced from their involvement in their family, sport, leisure, or community.

### **Some Examples of Naturally Occurring Evidence**

In the classroom/training room:

- learning activities that occur within a course of work eg – workbook activities, course readings, small group discussions, conferencing, project work, practical work,
- formative assessment activities within a broader scheme of work eg – reading and short answer test on an aspect of a course of work,
- evidence drawn from assessment activities for other standards.

In the workplace:

- completing workplace documentation eg – timesheets; work logs or job sheets; incident reports or other basic reports,
- reading instructions; health and safety information; employment contracts; maps, summarised information such as KiwiSaver main points; notices or memos,

- contributing to team meetings/toolbox meetings; debriefings; verbal reports.
- performing calculations eg – materials costs, GST, wages and deductions.

In everyday life:

- comparing information in relation to a significant purchase,
- creating and maintaining a basic budget.

### 3. Collection of evidence<sup>1</sup>

As the Level 1 Literacy and Numeracy standards are based on the collection of evidence over time, they lend themselves to assessment via portfolio.

Portfolios can be used for a range of purposes including supporting learning and teaching through formative assessment or providing a collection of evidence for summative assessment.

For assessment against the Literacy and Numeracy standards the purpose of the portfolio is the collection of evidence for summative assessment.

A portfolio of this nature would typically include: a contents page outlining what the portfolio should contain; a list of the criteria required to meet the standard; verified examples of the candidates work and/or attestations of observed performance.

*The contents page* can also be used as a checklist to ensure that the completed portfolio contains all of the evidence required and that the evidence meets the relevant criteria for the standard. A [sample contents page](#) for the unit standard *Read texts with understanding* is included for guidance

*The verified examples* of the candidates work should be organised within the portfolio in such a way that it allows the assessor to easily identify that the portfolio is complete.

*Attestations of observed performance* are suitable for evidence of practical activities, observed behaviours, or for collecting evidence retrospectively. Attestations will be particularly applicable for the standard *Actively participate in spoken interactions* where the spoken interactions are observed and noted.

Ideally, candidates should take responsibility for the selection of evidence for their portfolio. Initially, this could be completed as a collaborative process between the candidate and the assessor, but should be leading towards the candidate taking full responsibility for the selection of evidence.

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<sup>1</sup> Guidance included in section 3 has been adapted from Klenowski. V (2002), *Developing Portfolios for Learning and Assessment: Processes and Principles*, New York, Routledge and Falmer.

Summative assessment of the portfolio can be performed using various approaches. Two approaches often used are holistic or analytic. It is recommended that for these portfolios assessors use a holistic approach to assessment. The holistic approach views the portfolio as a whole and considers how the individual pieces contribute to the overall outcome.

#### 4. Verification

Verification occurs on two levels. The first level is verification that the assessment evidence is authentic. The assessor must be satisfied that the naturally occurring evidence can be attributed to the candidate.

The second level is verification that the assessment evidence meets the requirements of the standard (summative assessment). Where assessment evidence is being gathered over time and from a range of activities, providers and/or assessors will need systems in place for both forms of verification.

Verification of the authenticity of assessment evidence may occur separately from summative assessment against the standard and may be completed by someone who is not completing the summative assessment.

For example, a teacher or tutor from another subject area or course, or a supervisor or line manager in a workplace may verify the authenticity of a candidate's assessment evidence. In these cases a signed and dated verifier's checklist that includes the position of the verifier is acceptable.

Assessment evidence that occurs in everyday life must also be verified as authentic. In this case professional judgement must be used when considering the source of the verification and the confidence that can be placed in that source.

For example it would generally not be acceptable to use a family member as a source of verification of authenticity. However, in secondary schools distance learning programmes using parents to verify authenticity is an accepted practice, but only when used in combination with a statutory declaration.

Verification that the assessment evidence meets the requirements for the standard (summative assessment) must be carried out by someone qualified or authorised to do so and must follow the policies and procedures of the organisation undertaking and reporting the assessment.

For example workplace assessors would need to meet the policies of the Industry Training Organisation they are assessing for and this may mean they have to have competency against unit standard 4098 *Use standards to assess candidate performance*, and be registered as an assessor.



The following table outlines some possible methods of verification.

Assessment opportunity	Possible method for verifying
Artefact produced by candidate in a classroom learning activity	Signed verification checklist accompanied by example(s) of evidence.
Small group discussion Workplace meeting	Signed attestation accompanied by annotated observations of the candidate's performance.
Formative assessment activity (eg reading and short answers)	Activity signed as authentic by verifier.
Artefact produced by student outside of classroom (eg on work placement, within Gateway or STAR programme)	Artefact verified as authentic by supervisor or another organisations tutor. Verified as meeting standard by teacher responsible for summative assessment.

## 5. Moderation

NZQA moderators will need to have the same sorts of information that an assessor (or internal moderator) needs to have in order to verify that the activity and related candidate's evidence meets the requirements of a literacy or numeracy standard.

### *Information about the activity*

This may consist of:

- copies of task instructions from one or more identified curriculum areas
- in the absence of a set task, a brief description of the activity and other key information – for example, what the problems were, the context and the data set used (*Use statistics and probability to solve problems*), or a brief description of the purpose, audience and context (*Write to communicate ideas for a purpose and audience*)
- examples of texts read (*Read texts with understanding*) and their context/source.

### *Candidate evidence*

Such evidence may (depending on the nature and requirements of the standard) consist of any combination of the following:

- examples of texts read, and candidate responses in relation to the text
- samples of writing
- signed and dated verifications of authenticity
- signed and dated attestations of observed performance
- signed and dated detailed checklists of observed performance
- digital recordings
- participant feedback (for example, peer or customer).

Where evidence is oral or non-verbal (as in *Actively participate in spoken interactions*), suitable candidate evidence might be:

- a detailed checklist that contains all the standard's requirements (including required range statements, special note requirements and quality and quantity indicators) signed and dated by the assessor (and verifier if applicable)
- actual visual evidence (if evidence is naturally occurring, then it might already be recorded digitally for other purposes)
- a checklist, signed by the assessor and annotated with a few actual candidate responses, supported by an assessment schedule which includes samples of the quality and quantity of evidence expected for all requirements (elements, performance criteria, ranges and special notes).

If all standard requirements, including quantity and quality statements (evidence and judgement) clearly linked to the elements, performance criteria, range statements and special notes, are included in a checklist, then a separate assessment schedule may not be necessary for moderation requirements. Putting all requirements on a checklist (as opposed to just the performance criteria) assists the assessor as well as the moderator.<sup>2</sup>

Because some evidence may be retrospective, an attestation (for example, from the candidate's sport coach) may serve, but the attestation should address all aspects of the standard. An attestation may need to be supported by some other sort of evidence (for example, another attestation by a form teacher, or a brief record of a spoken interaction with the assessor).

If digital evidence is submitted, the candidate whose performance the moderator needs to verify should be clearly identified. If only a short section of a longer digital recording is relevant, the relevant section should be flagged.

If only part of a candidate's written text submitted is relevant to the literacy standard being assessed (reading or writing), then the relevant parts of the text should be clearly flagged for ease of identification by the moderator (internal and external). Bulky submissions should be avoided!

Literacy and numeracy standards must be assessed on the basis of naturally occurring evidence rather than through assessed tasks developed specifically for the standards, so moderators need to be satisfied that evidence is naturally occurring. Verifier, assessor or candidate statements about the source(s) of the candidate's evidence (if this is not obvious from the task/activity descriptions or learner evidence) help provide this assurance. Dated verification of evidence will also help a moderator determine whether the evidence is occurring 'over time'.

## 6. Planning

As outlined in the introduction section, assessment of the Literacy and Numeracy standards **should not require the development of new**

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<sup>2</sup> A sample checklist for *Actively participate in spoken interactions* will be included in the final version of these guidelines, once the literacy and numeracy standards are registered.

**assessments specific to these standards.** Providers and assessors should focus on identifying assessment opportunities within existing programmes.

This requires some degree of planning in order to identify in advance where the assessment opportunities may exist within a programme and what sort of evidence may be present within the programme.

For example:

- in the secondary sector, teachers may identify opportunities within a course plan,
- in the tertiary sector tutors may identify Element(s) or performance criteria within the course outline of a unit standards based programme,
- in the workplace, registered assessors may identify opportunities from the assessment materials and assessment schedules.

There are a number of different approaches to planning assessment against the Literacy and Numeracy unit standards. The following are a sample of approaches that were developed by practitioners from the secondary, tertiary and industry sectors.

Diagram 5.1 identifies approaches that would commonly occur within a classroom context and links it to scenarios and examples of assessment evidence that may occur using the approach. This diagram gives an overview of some different approaches and possible scenarios that may present evidence for the Literacy and Numeracy standards. It should be used as a prompt and adapted to include a much wider range of possible approaches, including approaches that may provide evidence for the Numeracy standards.

Diagram 5.2 refines the planning tool shown in Diagram 5.1 to use a single approach (explore) in the context of Tipuna or Old People. It also shows how assessment evidence could be gathered from a field trip activity and what that evidence may be. This planning tool could be adapted for use across a range of subject through: identifying the approach used within a lesson; noting the context(s); linking assessment opportunities to the criteria in the standards; identifying resources; identifying possible opportunities for gathering naturally occurring evidence.

Diagram 5.3 could be used within the tertiary sector to document assessment opportunities within a unit standards based programme or course where assessment of Elements and performance criteria could also provide evidence against the Literacy and Numeracy unit standards. (Please note the examples given are indicative only).

**Diagram 5.1 Example of approaches that could occur across subjects**

Approaches	Possible Scenarios	Assessment opportunities	Literacy and/or Numeracy Skill	Evidence gathering
Explore	<ul style="list-style-type: none"> <li>• A Movie/Actor</li> <li>• A scientific concept</li> <li>• A local issue</li> <li>• Health choices</li> <li>• A personal interest</li> <li>• An historical event</li> <li>• A Book/Author</li> <li>• Car</li> <li>• Place</li> <li>• Artist (Visual or performance)</li> <li>• Computer game</li> <li>• Sport</li> <li>• Animal</li> <li>• Career</li> <li>• Workplace</li> </ul>	<p>Locate and process information from text eg website, textbook, blog, novel, instruction manual.</p> <p>Locate and process information from a person or expert</p> <p>Evaluate information and/or source</p>	R, W, S and L	<p>Summary paragraph</p> <p>Set of notes or mind maps</p> <p>Annotated texts</p> <p>Presentation of findings</p> <p>Formative assessment activities</p> <p>Formal letter or email</p> <p>Interview transcript or notes</p>
Select	<ul style="list-style-type: none"> <li>• The best cellphone plan</li> <li>• The best TradeMe deal</li> <li>• Career Options</li> </ul>	<p>Locate and process information from text – eg website, pamphlet</p> <p>Lists of pros and cons</p> <p>Evaluation of the information</p>	R, W	<p>Complete a graphic organiser/grid</p> <p>Answer set questions</p> <p>List pros and cons</p> <p>Explain a final choice</p>
Plan	<ul style="list-style-type: none"> <li>• A trip/fieldtrip or camping activity</li> <li>• A meal</li> <li>• A product</li> <li>• A simple budget</li> <li>• A risk management plan</li> <li>• A vegetable plot</li> </ul>	<p>Read, extract and evaluate information. (Eg MoH health guidelines for meal planning)</p> <p>Students read and annotate recipes for nutrition value.</p> <p>Read and evaluate menus</p> <p>Write menus</p>	R, W, L & S	<p>Annotated guidelines, including evaluation of available information.</p>
Identify	<ul style="list-style-type: none"> <li>• Home or workplace hazards</li> </ul>	<p>Read MoH Poisons guidelines and investigate hazards in home, workplace or in class (lab)</p>	R, W	<p>Visual diary</p>

**Diagram 5.2 Planning template for level 1 Literacy assessment opportunities**

Approaches	Possible sources/authentic contexts	Assessment opportunities (Linked to the criteria for the standards)	Possible activities and texts For one example	Naturally occurring evidence
<p>Explore</p> <p><b>R= Reading W= Writing L&amp;S= Listening and Speaking</b></p>	<p>Local Area: <b>Tipuna/Old People</b></p> <p><b>Issues</b> e.g. family violence, sustainability, housing</p> <p><b>successful people</b> writer artist athlete entrepreneur <b>job market</b> e.g. shearing, horticulture, leisure and tourism, hospitality, army</p> <p><b>environment</b> e.g. landforms, soils, vegetation, water</p> <p><b>population</b> e.g. marae, census, settlements,</p>	<p>LITERACY</p> <p><b>R</b> Locate ideas <b>R</b> Describe ideas <b>R</b> Evaluate ideas</p> <p><b>W</b> Express appropriate ideas <b>W</b> Organise ideas <b>W</b> Use appropriate language <b>W</b> Remove technical errors</p> <p><b>L&amp;S</b> Participate verbally and non-verbally in a pair or group <b>L&amp;S</b> Participate appropriately</p>	<p><b>Example: History Tipuna/Old People/Ancestors Field Trip cemetery/museum/site</b></p> <p><b>R</b> Locate information on a field trip, e.g. on headstones/ museum captions/ information boards. Followed up with inquiry learning about early achievements of these people, e.g. milling (timber, flax,); horse shoeing; transport; military...</p> <p><b>R</b> Describe ideas from a historical letter/engineer's diary/recipe/, textbook /novel/ letter/ magazine and local newspaper articles, mission statements ...</p> <p><b>R</b> Evaluate ideas from a feature article/history text</p> <p><b>W</b> Express ideas from a field trip</p> <p><b>W</b> Organise ideas</p> <p><b>W</b> Use appropriate language</p> <p><b>W</b> Remove technical errors</p> <p><b>L&amp;S</b> Role play a historical person functioning today(" Our World")</p>	<p>Possible kinds of evidence</p> <p><b>R</b> (Locate) work sheet of questions/cloze passage/</p> <p><b>R</b> (Describe) Word-to-sentence writing (after offering and discussing some key words.</p> <p><b>R</b> (Evaluate) Recreate a historical experience in a written story e.g. Cook a recipe and evaluate the process/product.</p> <p><b>W</b> Produce one of a range of note makers.</p> <p><b>W</b> Write a blog.</p> <p><b>W</b> Conferencing to challenge student choices.</p> <p><b>W</b> Word process a series of revised drafts</p> <p><b>L&amp;S</b> radio interview, (Note: Conferencing above would satisfy L&amp;S requirements.</p>

**Diagram 5.3 Planning template for identifying assessment opportunities within an existing tertiary unit standards based programme or course.**

Programme[Name]	Naturally Occurring Evidence Within [Name] Programme						
	Formative and Summative Assessment Opportunities						
	Unit Standards contained in course or programme	Numeracy Unit Standards			Literacy Unit Standards		
		Num	Meas	Stats	RWU	WTC	ISL
	497		✓		PC 1.1 PC 1.2 PC 1.3		
	1277		✓				PC 3.1 PC 3.2 PC 3.3
	4433		✓				
	XXXX						
	XXXX				PC 1.1 PC 1.2 PC 1.3		
	XXXX						
	XXXX					PC 1.1 PC 1.2 PC 1.3 PC 1.4	
	XXXX						
	XXXX						
	XXXX						
	XXXX						
XXXX					PC 1.1 PC 1.2 PC 1.3 PC 1.4		

✓ = All PCs in the Literacy or Numeracy standard are covered across 1 context



## Appendix 1

The following table shows the process, learning demand and responsibility for standards at level 1 of the National Qualifications Framework.

Level	Process	Learning Demand	Responsibility
1	Carry out processes that: <ul style="list-style-type: none"><li>• are limited in range</li><li>• are repetitive and familiar</li><li>• are employed within closely defined contexts</li></ul>	Employing: <ul style="list-style-type: none"><li>• recall</li><li>• a narrow range of knowledge and cognitive skills</li><li>• no generation of new ideas</li></ul>	Applied: <ul style="list-style-type: none"><li>• in directed activity</li><li>• under close supervision</li><li>• with no responsibility for the work or learning of others</li></ul>

## Read texts with understanding

Level 1

Credits 3

Version 1

To provide evidence for this unit standard the candidate must:

- show understanding of three texts of two different types, of which the reading texts must be of sufficient length and complexity to provide adequate evidence of competence.

At all times the quality of the texts, considered as a whole, is more important than length.

The unit standard must be assessed on the basis of naturally occurring evidence from a range of real contexts and obtained over a period of time. This is discussed in more detail in special note 2 of the unit standard document.

### Evidence Required

Across the three texts (but not necessarily for every text) the candidate must show evidence of:

- locating information relevant to the reader's purpose,
- describing both the implicit and explicit ideas and/or purpose contained in the text,
- evaluating the text for either – its usefulness, interest, validity or credibility in relation to the reader's purpose.

Evidence for this standard may:

- be presented in any format including written, oral or visual,
- in the case of an oral presentation, the assessor must note the aspects of the presentation that are relevant to the standard, and sign and date this evidence showing they have observed the presentation and verified it meets the standards requirements.

I have verified that the candidate has presented sufficient/insufficient evidence to show competency against this standard.

Assessor name:

Date:

Assessor signature:

Candidate Signature:

Position:

Text One	PC 1.1 Information relevant to readers purpose is located	PC 1.2 Implicit and explicit ideas and/or purpose are described	PC 1.3 Evaluation completed
<i>&lt;insert description and purpose of text&gt;</i> <a href="http://www.kiwisaver.govt.nz">www.kiwisaver.govt.nz</a> <i>The purpose of reading this text was to find information on how to join Kiwisaver, the benefits of joining and the obligations when you join.</i>	<i>&lt;describe nature of evidence and its location in the portfolio&gt;</i> <i>Summary of website information has been handwritten, is titled "Kiwisaver information" and is located in section 1 of the portfolio.</i>	<i>&lt;describe nature of evidence and its location in the portfolio&gt;</i> <i>Explicit and implicit ideas were discussed orally and an observation checklist noting the ideas discussed is included in section 1 of the portfolio.</i>	<i>&lt;describe nature of evidence and its location in the portfolio&gt;</i> <i>The evaluation was word processed in an information management class from handwritten notes and has been verified as authentic by IM teacher. Contained in section 1</i>
Text Two			
<i>&lt;insert description and purpose of text&gt;</i>	<i>&lt;describe nature of evidence and its location in the portfolio&gt;</i>	<i>&lt;describe nature of evidence and its location in the portfolio&gt;</i>	<i>&lt;describe nature of evidence and its location in the portfolio&gt;</i>
Text Three			
<i>&lt;insert description and purpose of text&gt;</i>	<i>&lt;describe nature of evidence and its location in the portfolio&gt;</i>	<i>&lt;describe nature of evidence and its location in the portfolio&gt;</i>	<i>&lt;describe nature of evidence and its location in the portfolio&gt;</i>