

**CONSENT AND MODERATION REQUIREMENTS (CMR)**  
**for Community Support; Health, Disability, and Aged Support; Human Services; Social Services; Urban Pest Management; and Cleaning and Caretaking**

(version 8)

**Contact**

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**Community and Social Services > Community Support**

| <b>Domain</b>   | <b>Standard IDs</b>  |
|---|--|
| Blindness, Deafblindness and Vision Impairment            | 1820, 23366-23370  |
| Community Field Work                                      | 20963, 20967, 20968  |
| Disability Support Assessment, Planning, and Coordination | 24658, 24660-24662   |
| Diversional Therapy                                       | 5786, 5788, 5789, 5791, 5792, 5795, 23918, 25770           |
| Hearing Therapy   | 18599-18609, 18611, 18612, 19308, 23363, 23364             |
| Human Services  | 1811, 1816, 16874, 23373, 23376, 23378, 23379, 24892-24894 |

**Community and Social Services > Health, Disability, and Aged Support**

| <b>Domain</b>              | <b>Standard IDs</b>  |
|----------------------------|--|
| Allied Health Assistance   | 27448-27456, 27463-27469, 29395, 29453, 29454  |
| Brain Injury Support       | 26887-26896  |
| Community Support Services | 5013, 6414, 18684, 20827, 20965, 20966, 23382, 23383, 23385, 23386, 23388, 23390, 23391, 23452, 23454, 23685, 23925, 24655-24657, 24659, 26970, 26976-26981, 27458, 27833, 28544, 28545, 28548, 29456, 29460-29462, 29712-29718, 30200, 30201, 30214-30219 |

| <b>Domain</b>                                | <b>Standard IDs</b>  |
|--|--|
| Core Health                                  | 12700, 12706, 12713, 12719, 12722, 12728, 12730, 12731, 14785, 23374, 27140, 27457, 27460-27462, 28520, 28547, 28550, 28737  |
| Health and Disability Principles in Practice | 1818, 1836, 18674, 18686, 20826, 20964, 23384, 23389, 23392, 23393, 23451, 23453, 23686, 23926, 25987, 26849, 26851, 26853, 26854, 26952-26962, 27104, 27141, 27142, 27310-27318, 27459, 27885, 28517-28519, 28521, 28522, 28524, 28528-28536, 28542, 28543, 28546, 28549, 28557, 28738, 28984-28994, 29455, 29523 |
| Hearing Therapy                              | 30082-30093  |
| Mental Health and Addiction Support          | 18547, 19750, 22833-22841, 26971-26973, 26983-26991, 27076-27095   |
| Older Persons' Health and Wellbeing          | 23387, 23920-23923, 26974, 28563   |
| Public Health Practice                       | 28130-28135  |
| Sensory Support                              | 23375, 23377, 24895, 26730-26738, 28526, 28527, 29547, 29548, 29607-29613, 29646-29649   |
| Supporting People with Disabilities          | 1828, 16870, 16871, 18675, 23371, 23372, 26982, 28523  |
| Whānau Ora and Community Support             | 1810, 26801, 26802, 26975, 27504-27507, 27886, 28537, 29457-29459  |

### Community and Social Services > Human Services

| <b>Domain</b>  | <b>Standard IDs</b>                  |
|--|--------------------------------------|
| Practical and Professional Skills for Disability Support | 18676-18682, 18685, 18688            |
| Rehabilitation and Habilitation of the Visually Impaired | 8576, 8584, 17814-17816, 20379-20384 |

## Community and Social Services > Social Services

| Domain            | Standard IDs        |
|-------------------|---------------------|
| Youth Development | 16856, 16857, 28539 |

## Core Generic > Core Generic

| Domain          | Standard IDs |
|-----------------|--------------|
| Self-Management | 1827         |

## Service Sector > Cleaning and Caretaking

| Domain                           | Standard IDs                                  |
|----------------------------------|---|
| Carpet and Textile Cleaning      | 29385, 29390                                  |
| Cleaning Services Administration | 29394   |
| Cleaning Skills                  | 29382-29384, 29386, 29388, 29389, 29391-29393 |
| Specialist Cleaning Environments | 30892-30894                                   |

## Requirements for Consent to Assess (RCA)

### Introduction

The purpose of the Requirements for Consent to Assess (RCA) is to set out the nature of the process for granting consent to assess and involvement of the standard setting body (SSB) and others in the process, and to set out the SSB's industry or sector-specific requirements for a tertiary education organisation (TEO)<sup>1</sup> or school's quality systems in relation to the gazetted "criteria for accreditation".

### Standard Setting Body involvement in process for granting consent to assess

|                   |  |
|-------------------|--|
| Level 1           | Evaluation of documentation by NZQA.   |
| Level 2           | Evaluation of documentation by NZQA and industry.  |
| Levels 3 and 4    | Evaluation of documentation and visit by NZQA and industry.  |
| Level 5 and above | Evaluation of documentation and visit by NZQA, industry and teaching professional in the same field from another provider. |

<sup>1</sup> Tertiary education organisation (TEO) includes public and private tertiary education providers, industry training organisations, government training organisations, and other providers.

Where an applicant organisation is based on and operates according to kaupapa Māori, Careerforce will be represented in a manner that is appropriate to the applicant organisation's kaupapa at no extra cost to the applicant organisation.

Careerforce retains the right to include additional people with specialist experience and/or knowledge in document evaluation and the visit. The inclusion of extra people will be on a case-by-case basis, but will not result in additional costs to the applicant organisation.

### **Visit waiver conditions**

A waiver may be granted on a case-by-case basis upon application to Careerforce:

- when the application for consent to assess has been developed in conjunction with Careerforce and has its support; or
- when Careerforce has sufficient confidence in the applicant organisation's history of teaching and assessment; or
- where the applicant seeks consent to assess against a very small number of assessment standards and Careerforce decides that, given the particular nature of the assessment standards, a visit is not warranted; or
- when there are other special reasons agreed to on a case-by-case basis between the applicant organisation, Careerforce, and NZQA.

### **Areas of shared responsibility**

- None.

### **Fees for SSB involvement in process for granting consent to assess**

For information on SSB fees for applications for consent to access see the Funding section of this CMR or contact the SSB.

Additional fees can be charged by [NZQA](#), and the Committee for University Academic Programmes (CUAP) for involvement in granting consent to assess. Contact the relevant quality assurance body (QAB) for information.

### **General requirements for accreditation**

These are the general requirements for accreditation of providers gazetted in 1993. Applicants should consult their QAB ([NZQA](#) or CUAP) for details of the requirements.

Criterion 1      Development and evaluation of teaching programmes

There is a system for developing coherent teaching programmes and for their evaluation, which should include evaluation by learners/consumers.

Criterion 2      Financial, administrative and physical resources

Adequate and appropriate financial and administrative resources will be maintained to enable all necessary activities to be carried out.

Adequate, appropriate and accessible physical resources will be available for supporting students to meet the required standards.

Criterion 3 Staff selection, appraisal and development

A teaching staff with the necessary knowledge and skills will be maintained through staff selection, appraisal, and development.

Criterion 4 Student entry

There is a system for establishing and clearly publicising student entry requirements that include no unreasonable barriers.

Criterion 5 Student guidance and support systems

Students have adequate access to appropriate guidance and support systems.

Criterion 6 Off-site practical or work-based components

There are arrangements for ensuring that any off-site practical or work-based components are fully integrated into the relevant programmes.

Criterion 7 Assessment

There is a system for ensuring that assessment is fair, valid, and consistent.

Criterion 8 Reporting

There is a system for providing students with fair and regular feedback on progress and fair reporting on final achievements, with an associated appeals procedure.

There is a reliable system for archiving information on final student achievements.

### **Industry or sector-specific requirements for consent to assess**

Criterion 1 Development and evaluation of teaching programmes

Applicant organisations must provide evidence that there has been appropriate and meaningful consultation with stakeholders and interested parties, including learners, concerning the development of training programmes.

Applicant organisations must have policies and procedures for ongoing consultation with stakeholders and interested parties on the continuing development and evaluation of training programmes. Stakeholders and interested parties include Māori, Pacific peoples, service providers, clients and/or consumers/tangata whai ora and relevant representatives of industry.

Applicant organisations must have policies and procedures to ensure the integration of theory and practice in the teaching/training, and that the means of achieving this

integration is transparent, both to learners and to those providing work-based components of the assessment standards.

For programmes in *Mental Health* and *Addiction* support, the applicant organisation must have policies and procedures that ensure the involvement of consumers/tangata whai ora in the delivery of the programme.

#### Criterion 2 Financial, administrative and physical resources

Applicant organisations must have policies and procedures to ensure that they provide access to resources that are appropriate to the scope of consent to assess, including either:

- a resource facility that contains learning and research resources, including web-based/e-learning resources; or
- formalised arrangements with a library or libraries for learners to access equivalent learning and research resources.

Applicant organisations must have operational policies and procedures in place to ensure that:

- the plant, facilities, and relevant specialist equipment used in a simulated setting to provide training and carry out assessment activities are comparable to an actual workplace for the particular programme/assessment standards involved;
- equipment meets standards as set down by the relevant professional/regulatory body.

#### Criterion 3 Staff selection, appraisal and development

Applicant organisations must have policies and procedures to ensure that staff engaged in training and assessment:

- a) are appropriately qualified to assess against assessment standards. To meet this requirement assessors must hold unit standard 4098.
- b) are encouraged to attain an adult education qualification or are able to demonstrate equivalent knowledge and skills;
- c) either hold a qualification relevant to the content of the standards being assessed, at or above the level of the standards, or have held the standards being assessed for a minimum of 6 months, or are able to demonstrate equivalent knowledge and skills to those standards\*;
- d) keep up to date with legislative and technological requirements and best industry practice relevant to the scope of consent to assess;
- e) undertake relevant training or professional development to remain current in their sector;
- f) where relevant, hold professional registration.

#### \* Exception for requirement 3c:

Where the designated assessor does not meet one of the stated conditions, or is assessing a specialist standard for which they do not have the relevant knowledge and/or skills, they may carry out the assessment(s) provided that an appropriately qualified subject matter expert (SME) observes and attests the competency of the learner and presents this attestation to the assessor in writing for the assessor to make a final assessment decision.

Where an organisation uses this exception, they must have procedures to record relevant SME details (which need to include: name, position, evidence of relevant and current subject matter expertise – including relevant qualifications) and report on the assessment result when joint assessor/SME arrangements have been utilised.

Applicant organisations must have policies and procedures to ensure professional relationships between staff and learners and for managing alleged breaches of the professional relationship and/or professional boundaries.

#### Criterion 4 Student entry

The applicant organisation must have policies and procedures to ensure that:

- pre-course information is explicit enough to enable learners to determine their suitability to apply for enrolment into the programme
- processes for learner selection are transparent and applied equally, consistently and fairly, in accordance with equal opportunity principles. In particular, applicant organisations must have policies and procedures regarding learner selection that recognise the importance of recruitment and training of Māori, Pacific people and consumers/tangata whai ora into the mental health workforce
- requirements for police vetting and disclosure of record of convictions are met.

#### Criterion 5 Student guidance and support systems

The applicant organisation must have policies and procedures to ensure that learners are informed of industry requirements with regards to managing ethical, professional and legal issues, including conforming to professional and organisational codes of ethics and conduct.

The applicant organisation must have policies and procedures to ensure that the privacy and confidentiality of learners and service users is protected.

The applicant organisation must have policies and procedures that state how the applicant organisation will deal with learners in training, who demonstrate that they may be unsafe to practice.

The applicant organisation must have policies and procedures:

- for ensuring that learners are made aware of review and appeal procedures available to them if they do not meet the required standard
- for ensuring protection of the physical, cultural, emotional and spiritual safety of learners, and for supporting and assisting learners who experience physical, cultural, emotional or spiritual issues during their training or assessment. These policies and procedures must have regard to any particular needs of Māori, Pacific people and other Tauwiwi and consumers/ tangata whai ora within the applicant organisation.

#### Criterion 6 Off-site practical or work-based components

Applicant organisations must have policies and procedures that ensure that:

- work-based components provide opportunities for practical experience relevant to the learning and assessment. These are adequately resourced and have formally documented agreements with clearly defined roles and responsibilities for all parties
- supervision of work-based components is provided by suitably qualified and experienced supervisors
- when an outside contractor is used to assess against assessment standards, a written agreement must be in place that sets out the responsibilities for assessment, reporting of credits and moderation
- a learner is safe to work with clients and/or consumers/tangata whai ora as part of their learning and assessment for off-site practical or work-based components of the programme(s). The applicant organisation must show how it will advise learners of these policies and procedures
- ethical and professional relationships between learners and clients and/or consumers/tangata whai ora during off-site and work-based components are maintained and any alleged breaches of the professional relationship are managed.

#### Criterion 7      Assessment

The applicant organisation must have policies and procedures to ensure that any self-developed assessment resources are submitted to Careerforce for pre-assessment moderation and approval prior to use. Please see the Moderation System described in this CMR for further information.

Careerforce has developed assessment material for some assessment standards. These have been moderated and are available free of charge when downloaded from Careerforce's on-line shop at <http://shop.careerforce.org.nz/>.

#### **Non-compliance with requirements for maintaining consent to assess**

Where there is evidence of non-compliance with the requirements for consent to assess, the QAB (NZQA or CUAP) will seek remedial action. In cases where this action is ineffective and non-compliance continues, or in cases of repeated non-compliance, the QAB will take action that can ultimately lead to the withdrawal of consent to assess.

#### **Implementation**

Careerforce is able to provide sufficient trained participants to service the requirements of processes for granting consent to assess.

#### **Moderation Requirements (MR)**

A centrally established and directed national external moderation system has been set up by Careerforce.

#### **Introduction**



The purpose of the Moderation Requirements (MR) is to provide details on the national external moderation system, developed by Careerforce, to ensure that assessment decisions of TEOs and schools with consent to assess are consistent with the national standard. All TEOs and schools with consent to assess against the standards in this CMR must meet the requirements for moderation outlined in this MR.

## **Moderation System**

Annually, Careerforce will contact organisations with consent to assess to arrange for national external moderation to be undertaken. Each organisation with consent to assess must have a named person who is the moderation contact with Careerforce.

Careerforce has established cluster groups for national external moderation. Cluster groups are established according to the assessment standard(s) offered by each organisation with consent to assess. These cluster groups are periodically reviewed depending upon the number of organisations with consent to assess. Details of the cluster groups are available on the Careerforce website.

Careerforce has developed a 5-year moderation plan which details the assessment standards that will be moderated each year. This is available on the Careerforce website.

The two parts of the national external moderation system are Pre-assessment moderation and Post-assessment moderation.

### **1. Pre-assessment moderation**

If organisations with consent to assess are not using Careerforce-supplied learner assessments they are required to advise the National Moderator so that arrangements can be made to complete pre-assessment moderation of self-developed assessment materials prior to use. There is no cost for pre-assessment moderation.

Samples submitted for pre-assessment moderation must include:

- the assessment task
- criteria used by the assessor to make assessment decisions.

Cluster groups will moderate self-developed assessment materials to ensure that the materials provide learners with the opportunity to provide sufficient evidence for the assessment standard(s). Groups are expected to agree on any necessary changes, but in the event of lack of agreement, the National Moderator will provide a definitive ruling which will be recorded in the minutes of the meeting. This ensures that all assessment activities used in the industry are fair, valid, and consistent.

In instances where an organisation wishes to assess against assessment standards that are not detailed in the 5-year moderation plan, it is the responsibility of that organisation to advise the National Moderator of their intention to assess against those assessment standards. Arrangements can then be made for pre-assessment moderation by the ITO.

## 2. Post-assessment moderation

Organisations with consent to assess are required to attend cluster group meetings to moderate assessments against the assessment standards detailed in the 5-year moderation plan. The method (including on-line, video-conferencing, teleconference or face-to-face) and dates for the cluster group meetings are available on the Careerforce website and will also be advised in writing to organisations at least one month before the meeting.

All organisations assessing against the assessment standard(s) are required to present assessment materials gathered from assessments carried out within the preceding twelve months. Assessment materials must include assessment activities, assessment schedules, and samples of assessed learner work accompanied by assessor feedback to learners.

The National Moderator co-ordinates and facilitates the cluster group meetings, and is responsible for ensuring that any issues of interpretation or variation in assessment practice or judgements are resolved. In the first instance, the National Moderator will ensure that cluster group members make every effort to resolve any disagreements. It is the responsibility of the National Moderator to make a definitive ruling if any disagreements cannot be resolved.

If a cluster group meeting is unable to complete moderation of all samples presented at a meeting, the samples that were not moderated will be allocated to a moderator for postal moderation. The moderator will complete the work without charge to the organisation with consent to assess that submitted the samples. The National Moderator is responsible for recording the outcomes and sending the resulting report to the organisation.

All decisions are documented. Organisations are expected to inform all of their assessors of the decisions made and to ensure that any necessary changes are made to the organisation's assessment practice.

### Materials required for moderation

Two samples of assessed learner work are required for each nominated assessment standard for moderation by the cluster groups. The samples will be for one learner who has been deemed competent and one learner who was required to resubmit, or who was borderline.

### Confidentiality and Intellectual Property

All parties involved in moderation will ensure confidentiality and security of all materials used. None of the parties involved in moderation may use the materials for

any purpose other than for moderation, unless they have obtained written permission from the author or author organisation.

## Reporting

Careerforce is responsible for evaluating the effectiveness of its national external moderation system, and for providing an annual report to NZQA.

Information obtained from pre-assessment and post-assessment moderation will be used by Careerforce to inform revisions and reviews of assessment standards.

Careerforce evaluates its national external moderation system on an annual basis as part of the annual evaluation and reporting to NZQA, and conducts a formal review every three years. At any time, organisations with consent to assess, assessors, and moderators can submit feedback or recommendations to Careerforce regarding the moderation system.

The National Moderator reports on assessment decisions and moderation outcomes in the minutes for each national external moderation event. The report is sent to each participating organisation within one month of the meeting.

## Funding

The Careerforce national external moderation system will be funded by:

- the National Moderation Transfer from NZQA;
- charges resulting from non-compliance with moderation requirements;
- additional funds as required from Careerforce.

Organisations with consent to assess are responsible for the costs incurred by their participation in moderation, such as the cost of their representative's time, accommodation, and travel to cluster group meetings.

## Non-compliance with moderation requirements

Non-compliance in meeting the requirements of this moderation system will result in further action by Careerforce. Ongoing unresolved non-compliance will be referred to the appropriate QAB (NZQA or CUAP). Ultimately the QAB may withdraw consent to assess.

The National Moderator may decide that additional moderation is required when the national standard for moderation has not been met by an organisation with consent to assess. Careerforce will request further samples of student work or revised assessment materials, within one month of the original moderation decision. There is no charge for this additional moderation.

In the event of non-compliance with moderation requirements, the Careerforce National Moderator will discuss requirements with the organisation in order to reach a solution. A timeframe and the required actions for compliance will be contracted between the National Moderator and the non-compliant organisation. In addition, the National Moderator may delegate to a suitably qualified and experienced person to

contact or visit the organisation to facilitate compliance.

In situations of non-compliance, actual and reasonable costs for time (\$75 per hour including GST, to a maximum of \$600 per day), travel, and accommodation incurred by Careerforce for a visit by the National Moderator or their delegate(s) to an organisation with consent to assess will be charged in full to the non-compliant organisation.

## Appeals

Any organisation with consent to assess may lodge an appeal against a moderation decision or process.

The first step is always for the National Moderator and the organisation with consent to assess to seek a negotiated solution before progressing to a formal appeal. If informal negotiation cannot resolve the issue then the organisation with consent to assess can lodge a written appeal with Careerforce's Assessment and Qualification Manager, including all relevant documentation, within 20 working days from when the final decision of the informal negotiation is communicated. The appeal will be investigated by Careerforce as soon as practicable and a decision reached within 20 working days of receipt of the appeal.

If resolution is not achieved, the CEO of Careerforce will make a final determination and decision for all parties.

## DAS Registration Information

| Process      | Version | Date          |
|--------------|---------|---------------|
| Registration | 1       | December 1994 |
| Revision     | 2       | October 2000  |
| Revision     | 3       | April 2002    |
| Revision     | 4       | December 2002 |
| Review       | 5       | March 2009    |
| Review       | 6       | May 2012      |
| Review       | 7       | April 2015    |
| Review       | 8       | June 2016     |

The next CMR review is planned to take place during 2021.

Unit standards covered by CMRs 0004 and 0222 will be moved to this CMR when they are next reviewed or revised – see table below.

| Replaced CMRs | Replacement CMRs | Date       |
|---------------|------------------|------------|
| 0004 v6       | 0024 v7          | April 2015 |
| 0222 v6       | 0024 v7          | April 2015 |