

CONSENT AND MODERATION REQUIREMENTS (CMR)

for Social Services

(version 5)

Contact

Chief Executive
Social Services Industry Training Organisation - Te Kaiawhina Ahumahi Inc.
PO Box 2637
Wellington 6140
Telephone 04 915 7830
Facsimile 04 915 7831
Email info@socialservicesito.org.nz
Website <http://www.socialservicesito.org.nz>

Community and Social Services > Social Services

Domain	Standard IDs
Community Work	7914, 7931, 7939, 7990-7998, 8001, 13100, 19399
Counselling	7935, 7955, 7956, 7959-7961, 13107, 19400
Employment Support	20032-20045, 21730-21735
Iwi/Māori Social Services	16257-16273, 16790-16794, 19401, 19402, 22961, 22962
Manage Social Services	7940-7943, 7946, 7949-7951, 7978, 7988, 13078-13092, 13103, 19403
Pacific Island Social Services	17104-17122
Professional Development of Social Service Workers	7915-7919, 7922-7924, 7944, 7945, 13098, 19404-19407, 23350
Provide Social Services	7912, 7913, 7925-7928, 7930, 7932-7934, 7936-7938, 7948, 7952-7954, 7962, 7963, 7970-7976, 7989, 8000, 8071, 13093-13096, 13099, 13101, 13102, 13104-13106, 19408-19413, 19494-19497
Social Service Work in Suicide Intervention	18149-18157
Social Service Work with Abuse, Neglect, and Violence	7969, 7984-7987, 17454-17457, 18289-18305, 20357, 20358
Social Work	7957, 7958, 7977, 7979-7983, 19414, 19415
Tamariki Ora - Well Child Services	20369-20378
Whānau/Family and Foster Care	20348-20356, 21146-21150

Domain	Standard IDs
Youth Development	26124-26146
Youth Work	13097, 16843-16847, 16849-16859, 16861-16868, 19416, 22246-22257

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)¹ or school's quality systems in relation to the gazetted "criteria for accreditation".

Standard Setting Body involvement in process for granting consent to assess

Organisations seeking to deliver and assess against the Social Services ITO's unit standards are required to contact the Social Services ITO as the relevant standard setting body and obtain its support for the consent to assess application. All applications to NZQA should include evidence of support. The Social Services ITO recommends that applicant organisations seeking consent to assess involve the Social Services ITO as early as possible to ensure that industry requirements are considered from the outset.

Levels 3 and 4	Evaluation of documentation and visit by NZQA and industry.
Levels 5-7	Evaluation of documentation and visit by NZQA, industry and teaching professional in the same field from another provider.

Visit waiver conditions

Industry participation in a visit may be waived in either of the following circumstances:

- where the applicant organisation has a proven track record for delivery of training in the area covered by the application; or
- when an organisation with consent to assess is applying for an extension to the their scope, provided that:
 - a visit has been carried out in the previous 18 months
 - the extension of scope is no more than one level higher within a domain for which the applicant organisation already holds consent to assess; and the increased level does not exceed Level 5.

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

Areas of shared responsibility

None.

Fees schedule for SSB involvement in process for granting consent to assess

The [fees schedule](#) is applicable to all applications for consent to assess received by NZQA from 1 November 2004. However, the SSB may choose to charge lower fees for their involvement in granting consent to assess. Contact the SSB for further information.

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

The requirements below are in addition to the general requirements and are specific to programmes that lead to the award of national qualifications or contain unit standards developed by the Social Services ITO.

The Education Act 1989 defines a degree as an award that recognises the completion of a course of advanced learning taught mainly by people engaged in research. The industry or sector-specific requirements for applicant organisations seeking to offer unit standards in the scope of this CMR as part of a degree programme are designed to reflect this, and should be read in conjunction with the guidelines of the relevant QAB (NZQA or CUAP) for the approval and accreditation of degrees.

Criterion 1 Development and evaluation of teaching programmes

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

- a stakeholder input into programme development and evaluation reflects the nature and scope of the social services roles within which graduates will work;
- b programme and curriculum design is strongly focused on social services practice within a New Zealand context, and supported by mechanisms to ensure programme development and delivery is industry-led;
- c programme design and assessment promotes ethical and legally correct practices including practices to ensure the confidentiality and privacy of learners and the service users with whom they work;
- d theory and practice are integrated in education and training, and assessment against unit standards, and that the means of achieving this is transparent, both to candidates and to those providing off-site practical or work-based components of the programme.

Criterion 2 Financial, administrative and physical resources

The applicant organisation must demonstrate that it has resources, including either:

- a library that contains learning and research resources such as books, periodicals, and videos; or
- formalised arrangements with another library or libraries for candidates to access equivalent learning and research resources;

that are appropriate to the scope of consent to assess. Formal arrangements with another library should be for a reasonable service without major cost to candidates.

Applicant organisations seeking consent to assess to offer standards as part of a degree programme must have policies and procedures to ensure that staff and students have access to systems and facilities to support relevant research activity including:

- a guidance on the development and approval of research projects;
- b criteria and procedures for the appointment of appropriately qualified and experienced supervisors, such as:
 1. is currently a member of a national professional body such as ANZASW
 2. has provided clinical supervision in their field in the past 5 years;
- c a code of conduct for researchers and research supervisors;
- d mechanisms for ethical approval of research projects.

Criterion 3 Staff selection, appraisal and development

The applicant organisation must have policies and procedures for the appointment of teaching and/or assessment staff to ensure that each member of staff involved in teaching and/or assessment (full-time, part-time, and visiting) has:

- a a combination of relevant qualifications and/or unit standards (at least one level above the unit standards staff are teaching and/or assessing against), such as a Social Services qualification at diploma level; knowledge of assessment, such as holding unit standards 4098, 11281 and 18023; and current experience (a minimum of two years continuous experience in the field within the last five years) relevant to the unit standards being taught or assessed against;
- b regular appraisal of their on-going professional competence and staff development opportunities (to maintain involvement in their practice area and keep abreast of developments within their field).

The applicant organisation must have policies and procedures to ensure that appropriately qualified and experienced staff are available to act as external peer moderators in the Social Services ITO's national external moderation system. Appropriately qualified staff may hold unit standards 4098, 11551, 11552, 18203, (see Moderation Requirements below on the Social Services ITO's external peer moderation system).

Applicant organisations seeking to assess against unit standards as part of a degree programme must have policies and procedures to ensure that:

- a the majority of staff involved in teaching and/or assessment have, or are working towards, recognised, discipline-specific social service qualification(s) (eg Bachelor of Counselling, Bachelor of Social Work and be working towards post-graduate qualifications) and, where relevant, hold professional registration;
- b the majority of staff involved in teaching and/or assessment have practised within a New Zealand social services context for a minimum of two years;
- c the majority of staff involved in teaching and/or assessment are engaged in research within their area of expertise which advances knowledge and understanding and supports their function as teachers;
- d the quality and quantity of staff research outputs are monitored and collective output is consistent with the development and maintenance of an on-going research culture;
- e new appointments of staff involved in teaching and/or assessment consider the preparedness of appointees to be engaged in research without undertaking a significant period of qualifications upgrading.

Criterion 4 Student entry

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

- a prospective learners are fully informed of entry criteria related to the programme and/or qualification including any requirements for police vetting, disclosure of record of convictions and/or assessment for their suitability to work in a social services environment during fieldwork placements;
- b systems are in place for advising learners on potential employment pathways that take into account their likely ability to become professionally recognised practitioners;
- c postgraduate learning pathways are identified for graduates of national degree programmes seeking to further their studies. Postgraduate learning pathways are not restricted to those provided by New Zealand TEOs and may include postgraduate certificate, diploma, masters or doctorate programmes.

Criterion 5 Student guidance and support systems

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

- a 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;
- b the privacy and confidentiality of learners and service users is protected.

Criterion 6 Off-site practical or work-based components

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

- a work placements and work-based components are adequately resourced and have formally documented agreements with clearly identified roles and responsibilities for all parties;
- b practice supervisors are allocated to learners for work-based components to ensure safe practice while working with service users in work placements;
- c fieldwork educators and practice supervisors have a combination of relevant qualifications, such as social services qualifications at diploma level, and/or unit standards (at least one level above the unit standards staff are teaching and/or assessing against) and current experience (a minimum of two years continuous experience within the last five years) relevant to course content being taught and the unit standards being assessed;
- d workplaces have been assessed by the organisation with consent to assess as suitable to promote learning and provide opportunities for practical experience relevant to the course content being taught and the unit standards being assessed against;
- e ethical and professional relationships between learners and service users are maintained, and any alleged breaches of the professional relationship are managed according to the applicant organisation's documented processes;
- f learners are supported to complete any required practical or work placement components, including those leading to the award of a degree.

Applicant organisations seeking to assess against unit standards as part of a degree programme must have policies and procedures to ensure that off-site practical or work-based components meet the requirements for professional registration of the relevant professional registration body (eg the Social Workers Registration Board).

Criterion 7 Assessment

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

- a where applicable, service users have been prepared for their involvement in the assessment of learners and to offer feedback on learners' performance as part of practical assessments;
- b cultural groups including tangata whenua and/or Pacific peoples are actively involved in the assessment of culturally-specific unit standards and outcomes;
- c assessment against unit standards that contribute to achievement of a degree or any degree-related qualification is integrated within an approved programme of study.

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

The Social Services ITO 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 the Social Services ITO.

Introduction

The purpose of the Moderation Requirements (MR) is to provide details on the national external moderation system, developed by the Social Services ITO, 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

Moderation responsibilities

The Social Services ITO is responsible for establishing, maintaining and coordinating the national external moderation system. This includes: planning and coordinating all external pre and post-assessment moderation activities; agreeing to and reviewing moderation plans with organisations with consent to assess; reporting moderation outcomes to NZQA; and ensuring organisations with consent to assess comply with the requirements of the Social Services ITO's national external moderation system.

The Social Services ITO's national external moderation system includes pre-assessment moderation of materials, moderation visits by the ITO, cluster group meetings, and biennial moderation events. Each organisation with consent to assess will identify staff able to serve as peer moderators for other organisations with consent to assess. An external peer moderator is an experienced and qualified assessor (see item c under Criterion 3 in the Requirements for Consent to Assess) with expertise and knowledge of the Social Services ITO's unit standards and qualifications. External peer moderators will provide peer-to-peer moderation according to the requirements of the moderation plan agreed between the Social Services ITO and the organisation with consent to assess.

Moderation of assessment against standards within a degree programme will be undertaken by the Social Services ITO National Moderator.

The Social Services ITO will participate in, and oversee, all cluster group meetings and will be responsible for reporting on moderation outcomes and making any recommendations for future actions to be undertaken by the organisation with consent to assess. The ITO representatives will meet regularly to compare and discuss the outcomes of the moderation fora to ensure that national consistency of assessment and moderation decisions is achieved and that the ITO is consistent in its communications with organisations with consent to assess.

Organisations with consent to assess are responsible for:

- ensuring accountability has been assigned for the coordination of the organisation's involvement in the national external moderation system;
- engaging with the Social Services ITO's national external moderation system;
- complying with the requirements of their moderation plan (see below);
- ensuring the availability of experienced and qualified staff to participate in peer moderation in the cluster group meetings and biennial moderation events;
- informing the Social Services ITO of any changes that could impact on their ability to comply with the requirements of their moderation plan.

Moderation structure

The national external moderation system for the Social Services ITO seeks to balance the academic autonomy of organisations with consent to assess with the need to ensure that assessment materials are valid and reliable, and assessment decisions are fair, consistent and at the national standard.

The national external moderation system is a planned process with flexibility to adapt to the needs of individual organisations with consent to assess. It includes pre-assessment moderation of self-developed assessment materials; cluster group meetings; moderation visits and the biennial national assessment and moderation event, as outlined below.

Moderation planning

Each organisation with consent to assess will have a moderation plan negotiated with, and agreed to by, the Social Services ITO. The moderation plan will usually have a duration of two years and will specify the moderation requirements for each of those two years. The moderation plan for each organisation with consent to assess will usually be agreed within six months of the biennial national assessment and moderation event. The scope and intensity of an organisation's moderation plan will be based on:

- the quantity of assessment undertaken;
- the moderation history – especially where an organisation with consent to assess has been newly accredited, or previous moderation has uncovered unacceptable variance from the national standard;
- the spread of qualifications and/or standards offered.

The moderation plan negotiated with each organisation with consent to assess will specify the intensity and extent of moderation required for the duration of the plan including:

- the frequency of moderation required (at least one moderation event each year);
- the methods of moderation (eg visits, cluster group meetings);
- timescales for moderation;
- details of, and arrangements for working with, the external peer moderator.

The unit standards selected for external moderation will be selected using the following criteria:

- high risk unit standards;
- high use unit standards;
- new unit standards or unit standards included in new qualifications;
- unit standards that have not previously been moderated;
- unit standards where previous moderation has uncovered unacceptable variance from the national standard;
- unit standards the organisation with consent to assess has self-selected for its own continuous improvement purposes.

The number of unit standards moderated within each two-year plan depends on the nature and complexity of the qualifications being delivered and the number of unit standards being assessed against. Usually a minimum of 10% of unit standards assessed against over the period of the two-year moderation plan will be moderated.

Pre-assessment moderation

The Social Services ITO recognises the academic autonomy of organisations with consent to assess against Social Services ITO unit standards using self-developed assessment materials. Pre-moderated assessment material developed by the ITO is available in some subject areas, which can be obtained from the ITO.

Organisations with consent to assess must ensure their own assessment materials are fit for purpose by submitting them to the Social Services ITO National Moderator for pre-assessment moderation and approval prior to use. Charges are set out below.

- \$150 per hour plus GST for evaluation of materials - first three hours are free. Resubmissions are charged at \$90 per hour plus GST.

The moderation plan for each organisation with consent to assess will specify how and when this process will be undertaken, and how and when the outcomes will be reported. The Social Services ITO will be responsible for reporting on the outcomes of pre-assessment moderation to, and making recommendations for any future actions required to be undertaken by, the organisation with consent to assess.

Post-assessment moderation

The primary method of post-assessment moderation will be participation in peer moderation activities. These will be held during the biennial national assessment and moderation event (see below) and, in the intervening years, with participation of organisations with consent to assess in cluster groups, based on factors such as geographical location, subject specialisation, qualification type and level.

Prior to a peer moderation activity each participating organisation with consent to assess must submit the required sample materials for the unit standards selected for moderation to the ITO National Moderator. The sample materials must include:

- the assessment materials used, including the learner guide (where used);
- the assessor guide, marking schedule, and/or model answers;
- all material used by the assessor to make assessment decisions;
- assessed learner material (usually from at least three learners);
- a range of assessment decisions including work which was assessed as: clearly competent; and work requiring significant assessor judgement to establish whether competent (borderline); and clearly not yet competent.

At the peer moderation activities participants will:

- discuss and evaluate the assessment materials used, including assessment schedules and model answers for ongoing quality assurance;
- examine and discuss candidate assessments (particularly where the candidate evidence was borderline), including cases where credit was awarded and cases where credit was not awarded;
- discuss the unit standards, including any problems that occur with assessing against them and possible improvements that could be made;
- discuss the national external moderation system, identifying any problems and areas for improvement;
- discuss and agree on the outcomes of the moderation forum.

A representative of the Social Services ITO will participate in every cluster group meeting (either the National Moderator or a staff member with overall responsibility for moderation within the ITO) and will be responsible for reporting on moderation outcomes and making any recommendations for future actions to be undertaken by the organisation with consent to assess. These representatives will meet regularly to compare and discuss the outcomes of the meetings to ensure that national consistency of assessment and moderation decisions is achieved and that the ITO is consistent in its communications with organisations with consent to assess.

There is no charge for participation in peer moderation fora; however, organisations with consent to assess are responsible for their own travel and accommodation costs.

Moderation visits

Moderation visits include observation of assessment activity for practical unit standards. A representative of the Social Services ITO will participate in every moderation visit (either the National Moderator or a staff member with overall responsibility for moderation within the ITO) and will be responsible for reporting on moderation outcomes and making recommendations for any required future actions to be undertaken by the organisation with consent to assess. The timing and nature of the moderation visits will be negotiated as part of the moderation plan between the ITO and the organisation with consent to assess.

Biennial national assessment and moderation event

Every two years the Social Services ITO will convene a national assessment and moderation event bringing together all organisations with consent to assess involved in assessing against social services unit standards. The biennial national assessment and moderation event will usually be held in September and will include:

- peer moderation and reporting;
- identifying trends and issues arising from previous moderation cycles;
- planning for the next moderation cycle;
- workshops on innovative assessment practices;
- discussion on the external national moderation process.

The Social Services ITO will be responsible for reporting to participating organisations on moderation outcomes from the event and making recommendations for any future actions required to be undertaken for each organisation with consent to assess.

There is no charge for participation in the biennial national assessment and moderation event; however, organisations with consent to assess are responsible for their own travel and accommodation costs.

Reporting

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

Funding

The Social Services ITO's costs associated with establishing and centrally managing the national external moderation system will be funded by the National Moderation Transfer from NZQA, with the balance of funding met by the Social Services ITO.

Charges for pre-assessment moderation are outlined previously.

The Social Services ITO reserves the right to charge non-compliant organisations on a cost recovery basis (see Non-compliance with moderation requirements below).

Non-compliance with moderation requirements

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

When non-compliance is identified, the Social Services ITO will work with the organisation with consent to assess to identify necessary corrective action and specify the timeframe for compliance. Further action will depend on the outcome of the corrective action and may involve site visits by the Social Services ITO to the organisation with consent to assess in order to facilitate compliance. All activity associated with non-compliance will be managed directly by the Social Services ITO.

The Social Services ITO reserves the right to charge organisations with consent to assess for costs relating to the resolution of non-compliance with moderation requirements. Charges are set out below and the organisation with consent to assess will be expected to meet those that apply:

- \$90 per hour plus GST for review of documentary evidence up to 3 hours;
- Site visit \$400 per day plus GST;
- Extra time for review of documentary evidence (per half day) \$150 plus GST;
- Actual and reasonable expenses for travel and accommodation (vehicle mileage \$0.65 per km).

Appeals

An organisation with consent to assess that disagrees with a moderation decision may ask the Social Services ITO to review the decision. The first step is always for the Social Services ITO 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 must lodge a written appeal with the Social Services ITO, including all relevant documentation, within 20 working days from when the final decision of the informal negotiation is communicated to the organisation with consent to assess. The appeal will be investigated by the Social Services ITO as soon as practicable and a decision reached within 20 working days of the receipt of the appeal.

If resolution is not achieved the Chief Executive of the Social Services ITO will make a final determination and decision for all parties. The decision of the Chief Executive of the Social Services ITO will be final and binding on all parties.

DAS Registration Information

Process	Version	Date
Registration	1	August 1998
Revision	2	May 2002
Revision	3	October 2004
Revision	4	October 2007
Review	5	April 2011

The next review is planned to take place during 2013.