



NEW ZEALAND QUALIFICATIONS AUTHORITY
MANA TOHU MĀTAURANGA O AOTEAROA

~ **Guidelines to the Training Scheme Rules 2012**
for institutions other than universities

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**GUIDELINES TO THE
TRAINING SCHEME RULES 2012**
for institutions other than universities

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Introduction

This document provides guidance to tertiary education institutions, other than universities, and schools that are seeking training scheme approval.

Training scheme approval was introduced by the Education Amendment Act 2011 to widen the range of quality assured study and education that can be offered by education institutions. Approval of a training scheme also denotes approval to deliver the training scheme.

To gain approval for a training scheme, all tertiary education institutions and schools must meet the criteria specified within the *Training Scheme Rules 2012* in **Appendix 1**.

Statutory requirements

Approval is mandatory to enrol international students in a training scheme, including a training scheme less than three months in duration, unless the training scheme meets exemption criteria established under section 232B of the Education Act 1989 (the Act). The Act defines an international student as anyone enrolled at a school or an institution who is not a domestic student, defined, in turn, as a New Zealand citizen or a permanent resident.

For public tertiary education institutions, the obligation to seek training scheme approval is set out under section 224 (8) of the Act, while for private training establishments, or private institutions, it is under section 232A(2).

Institutions can choose to apply for approval of training schemes that enrol only domestic students.

Section 1: Definition and composition

Definition

The Act defines a training scheme as “study and training that leads to an award but does not, of itself, lead to a qualification listed on the New Zealand Qualifications Framework (NZQF)” (section 159 of the Act).

Composition

A training scheme may comprise outcomes that enable achievement of assessment standards listed on the Directory of Assessment Standards, or non-standard based components such as a module or a paper.

A training scheme can be at any NZQF level and can provide a variety of academic or vocational learning opportunities. Examples might include a general English course, professional executive training or a health and safety course.

Award

An approved training scheme can lead to the award of a “certificate”. However the title of a training scheme cannot contain a protected qualification term such as “New Zealand Certificate”, “diploma” or “degree”.

Difference from a programme

A training scheme does not, of itself, lead to a qualification, while a programme of study results in the achievement of one or more qualifications listed on the NZQF.

The training scheme rules prevent training schemes from duplicating qualifications and programmes of study. A training scheme cannot comprise 40 credits or more (the minimum number of credits for an NZQF qualification) where it is substantially similar to a listed qualification, or has outcomes more suited to being listed as a qualification – see Rule 8.1 on page 23.

It is also important to note that:

- an industry training organisation ‘block course’/off-job training component is not a training scheme, so an institution delivering the block course does not need training scheme approval
- an institution wishing to deliver separate components or modules of an approved programme does not need to seek training scheme approval
- using components, including assessment standards, that are used in programmes or qualifications does not mean the training scheme ‘leads to’ a qualification.

Deemed training schemes

When Education Amendment Act 2011 came into force on 31 August 2011, any existing approved courses that did not lead to a qualification on the NZQF were deemed to be approved training schemes.

Section 2: Exemptions

Institutions must not allow an international student to be enrolled in all or part of a training scheme unless the scheme is an approved training scheme, or the scheme is exempted by NZQA.

Under section 232B of the Act, NZQA can exempt training schemes that are less than three months and meet NZQA criteria¹. The NZQA Gazette Notice exempts:

- (a) training schemes that are recreational in nature
- (b) corporate training, but not including corporate training schemes that are designed for the purpose of meeting regulatory requirements for occupational registration, occupational licensing, or health and safety in the workplace
- (c) training schemes with a credit value of less than ten credits, but not including training schemes that are designed for the purpose of meeting regulatory requirements for occupational registration, occupational licensing, or health and safety in the workplace.

Type	Definition
“Recreational in nature”	The training scheme is for the pursuit of recreation, pleasure or leisure (including in the nature of a hobby), and the skills gained are not designed to lead to further or higher study, or entry into employment.
“Corporate training”	Study or training arranged for personnel of one or more organisations, where the study or training is paid for by the organisations, and it is not open for participation by the general public.
“Credit value”	The measurement of time spent on study or training, where each credit represents ten notional learning hours.

The NZQA *Exempt Training Schemes Gazette Notice Number 7522* is published on page 3866 of the New Zealand Gazette 8 November 2012, available for download at New Zealand Gazette online at <http://www.dia.govt.nz/Services-New-Zealand-Gazette-Index>

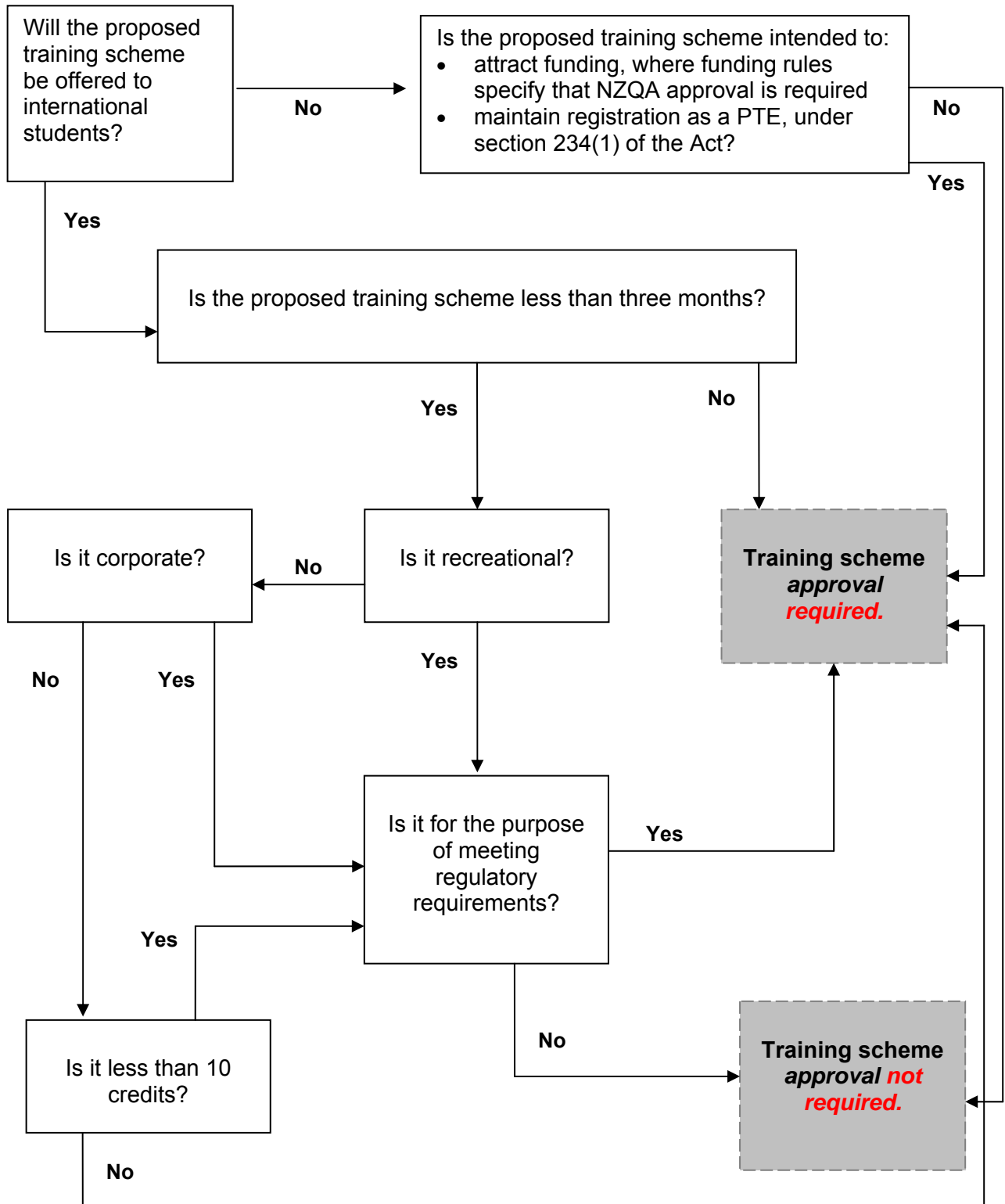
Institutions can still apply for approval of an exempt training scheme

Although a training scheme may be exempt from approval under section 251 of the Act, an institution is not prevented from applying for approval of the training scheme.

For example, an institution may wish to obtain training scheme approval to obtain government funding, or because the organisations to which the institution is providing corporate training require the training scheme to be externally quality assured. Alternatively a registered private training establishment may wish to obtain training scheme approval to avoid lapse of its registration under section 234(1) of the Act.

¹ For public tertiary institutions, exemptions are also referenced in section 224 of the Act.

Training scheme exemptions – flow chart



Examples

Example 1

Institution A is intending to deliver a 20 hour jams and pickles course to international students.

Institution A does not need to apply to NZQA for approval of the training scheme as “making jams and pickles” is considered to be a recreational activity. Institution A may still enrol international students in the training scheme.

Example 2

Institution C is intending to deliver a 12 hour course in first aid to international students.

Regulatory training schemes for occupational registration, occupational licensing, or health and safety in the workplace, offered to international students are not exempt from training scheme approval. Accordingly Institution C must apply to NZQA for approval of their first aid training scheme to offer it to international students.

Section 3: Approval criteria

Institutes of technology and polytechnics, wānanga, private training establishments, government training establishments, schools, industry training organisations and other bodies are eligible to apply to NZQA for training scheme approval, under section 251 of the Act.

Industry training organisations must apply for training scheme approval jointly with a provider, under section 251 of the Act.

Approval criteria

The following criteria are used by NZQA to grant approval to an institution to provide a training scheme under section 251 of the Act.

These criteria are specified in section 4.1 of the *Training Schemes Rules 2012* in Appendix 1.

Criterion 1: Structure of the training scheme

The training scheme has a coherent structure in terms of its learning outcomes, content, level and credit value, which is appropriate for its purpose.

Criterion 2: Delivery methods

Delivery methods are clearly identified, appropriate to the needs and level of the intended students and support achievement of the learning outcomes.

Criterion 3: Resources and staff

There are adequate and appropriate teaching staff (with appropriate qualifications and/or experience), facilities, physical resources, and student support systems to enable sustained delivery.

Criterion 4: Information for students

Adequate information is available to students including, where applicable, information on entry and selection requirements, cross-crediting and credit transfer, recognition of prior learning, reassessment and appeals, student progress, requirements for completion, and the availability of assessment in te reo Māori.

Criterion 5: Assessment and moderation

Assessment methodologies provide fair, valid, consistent and appropriate assessment, given the stated learning outcomes. There is an effective system for moderation of assessment materials and decisions.

Section 4: Applications for approval

Applicants must use the NZQA online application form and ensure the application is clearly marked as a training scheme approval.

Institutions must provide the following information when submitting an application to NZQA for training scheme approval:

1. Name and contact details.
2. A title for the training scheme that properly reflects its subject area and level.
3. Credit value and level.
4. The assigned six digit code from the New Zealand Standard of Classification of Education (NZSCED) system.
5. The purpose of the training scheme in relation to the needs of intended students, industry, community, and employers.
6. A list of any assessment standards from the DAS in the training scheme.
7. A description of how the training scheme meets the training scheme approval criteria.
8. The institution's record of internal approval of the training scheme.
9. A self-assessment report stating how the training scheme meets the NZQA key evaluation questions for training schemes. (Category 1 institutions are not required to provide the self-assessment report).

Section five presents guidance to the required information.

Evaluation of applications

NZQA uses an evaluative approach to consider applications for training scheme approval. Applications will be assessed by NZQA against the criteria specified within the *Training Scheme Rules 2012*.

When evaluating an application for training scheme approval NZQA may request further information to be provided by the institution. NZQA may also require a site visit to be undertaken.

When it is evident the criteria for approval of training schemes have been met NZQA will approve the application.

Section 5: Guidance for applicants

The following section has been developed to assist training scheme developers prepare an application for training scheme approval.

1. Name and contact details - Rule 5.1a
Guidance The online application form provides fields to record this information.

2. Title - Rule 5.1b
Guidance The title of the training scheme must accurately reflect the subject area and level. The title of a training scheme may include the word “certificate” but must not include any of the following words: “New Zealand”, “national”, “diploma”, “degree”, “bachelor”, “master”, “doctor”, “under-graduate” or “post-graduate”. The name of a person, a product or an organisation must not be included in the title unless there is sound justification for the inclusion. If an institution wishes to use the name of another organisation in the title, for example, the name of an IT certification body, the institution must provide evidence of endorsement by the other organisation.
Information for inclusion in the application Where relevant, applicants must provide a statement justifying use of the name of a person, organisation, or product in the title of the training scheme.

3. An appropriate credit value and level - Rule 5.1c
Guidance An appropriate credit value and level must be allocated to the training scheme. The credit value must accurately reflect how long it would typically take a person to achieve the learning outcomes of the training scheme (the learning, practice, and assessment). One credit is equal to ten notional hours of learning. The level of the training scheme must be suitable for the level of learning and the overall outcomes of the training scheme. Levels are based on complexity, with level 1 the least complex and level 10 the most complex. Further information about levels can be found at: http://www.nzqa.govt.nz Rule 8.1 prevents the approval of training schemes with a credit value of 40 credits or more, if the training scheme is substantially similar to a qualification listed on the NZQF or has outcomes more suited to a qualification (see page 23).

4. The assigned six digit code from the New Zealand Standard Classification of Education (NZSCED) - Rule 5.1d

Guidance

A six digit code from the NZSCED needs to be allocated to the training scheme. NZSCED codes can be found on the Services for Tertiary Education Organisations website: www.steo.govt.nz

Example

The NZSCED code for a training scheme such as Word Processing: Tables and Columns is 080904

08 Management & Commerce

0809 Office Studies

080904 Text Processing and Office Tools

5. The purpose of the training scheme in relation to the needs of intended students, and relevant industry, community, and employer needs - Rule 5.1e

Guidance

All training schemes must have a clear purpose statement. A purpose statement is a summary statement (one sentence to one paragraph) that clearly identifies:

- the target group of students
- the focus of the learning
- stakeholders that will benefit from the training scheme.
- evidence of stakeholder needs

It may also identify employment opportunities and/or further learning.

Rule 8.1 (see page 23) is intended to prevent the purpose of a training scheme from duplicating a qualification listed on the NZQF.

Example of a purpose statement

This training scheme is intended to provide individuals who are currently, or who may in the near future, be working in an office environment or similar, with the ability to display information in table and column format in a word processed document. Participants will be provided with strategies for producing effective and efficient layout of information that will meet the requirements of an employer and readers. Successful participants may go on to develop application of these skills in specialised contexts.

6. Clear identification of any standards from the Directory that are used in the training scheme - Rule 5.1f

Guidance

If any standards from the DAS are to be assessed as part of the training scheme, these must be specified within the application. Institutions must ensure they hold consent to assess for any standards they propose to use. Institutions can apply simultaneously for consent to assess.

If no assessment standards are used in the training scheme, this rule is not applicable.

7. A summary description of how the training scheme meets the criteria set out in Rule 4.1 - Rule 5.1g

Guidance

The following are the criteria in Rule 4.1 for the granting of approval to an institution to provide a training scheme under section 251 of the Act. Each criterion is followed by guidance for applicants.

Criterion 1: Structure of the training scheme

The training scheme has a coherent structure in terms of its learning outcomes, content, level and credit value, which is appropriate for its purpose

Guidance

The training scheme structure must be appropriate for its purpose, which must be stated in terms of meeting the needs of students and other stakeholders.

The training scheme should:

- have clear, measurable and achievable learning outcomes that describe the specific knowledge, skills, and attributes a student will achieve
- demonstrate how students will achieve the learning outcomes of the training scheme
- have content and learning outcomes that are appropriate for the level and credit value of the training scheme
- be of a length appropriate for the level of learning and the training scheme learning outcomes
- have components clearly defined, and in a combination consistent with the learning outcomes and purpose
- be integrated to provide a balanced and logical pathway of learning.

Information for inclusion in the application

The application must:

- specify the learning outcomes for each component of the training scheme
- clearly define the structure, components and length of the training scheme

- clearly identify any assessment standards from the DAS that are incorporated into the training scheme. Institutions requiring consent to assess will need to complete a separate application.

Example for training scheme structure

A learning schedule is frequently the easiest method of showing the structure of a training scheme.

Training scheme module 1: Word processing: Tables

Learning Outcome 1: By the end of this module the learner will be able to create and edit tables in a word processed document.

Date	Topics	Assessment
2 October – Workshop 1	Creating tables; adding and deleting rows and columns; sizing rows and columns including autofit	
9 October – Workshop 2	Fonts and borders; autoformat; sorting text; merging and splitting cells	
16 October – Workshop 3	Positioning in body text; linking, joining and embedding tables; pagination	
23 October – Workshop 4	Applying formulae; review Tables and columns	Assignment due
November		Test – closed book

Training Scheme Module 2: Word Processing: Columns

Learning Outcome 2: By the end of this module the learner will be able to create and edit columns in a word processed document.

Date	Topics	Assessment
30 October – Workshop 5	Insert single and multi columns; change the number of columns; undo columns; change column boundaries; insert text in normal view; move between columns.	
6 November – Workshop 6	Formatting columns – width and spacing (automatic and manual; using the ruler); lines between; insert and remove section breaks; add tables, graphics, and adverts.	
13 November – Workshop 7	Mixing single and multi columns; mixing column lengths; columns as part of a larger document; review.	
20 November – Workshop 8	Tables and columns	Test – closed book

Criterion 2: Delivery methods

Delivery methods are clearly identified, appropriate to the needs and level of the intended students and support achievement of the learning outcomes

Guidance

The delivery methods must be adequate and appropriate given the stated purpose and learning outcomes for the training scheme. The application needs to provide a clear educational rationale for how the delivery methods will assist the target learner groups to achieve the learning outcomes. Further, it should identify, for the delivery method, any additional learner support needed and any specific resources.

Delivery methods may include such methods as: on-line, face-to-face or distance, blended, practical workshops and/or theory lectures, work experience, self-directed learning.

Information for inclusion in the application

The application must:

- describe the delivery methods to be used and state how each method is appropriate to the target learner group in achieving the outcomes of the training scheme
- provide an educational rationale for any practical sessions/workshops, field-based or work-based experience and clearly describe how the work-based experience will be integrated into the training.
- identify specific resources and equipment required to support the delivery method.

Criterion 3: Resources and staff

There are adequate and appropriate teaching staff (with appropriate qualifications and/or experience), facilities, physical resources, and student support systems to enable sustained delivery

Guidance

The purpose of this criterion is to ensure the institution has the capacity to support sustained delivery of the training scheme.

Collectively, the teaching staff involved in delivery of the training scheme must be sufficient in number, appropriately qualified in the subject area and have experience and expertise in teaching and assessment, in the proposed delivery modes.

Teaching facilities and physical resources need to be appropriate to allow sustained delivery of the training scheme. If specific resources or equipment are needed they must be identified within the application.

Students must have access to adequate and appropriate guidance and support systems. This may include, but is not limited to: learning support, international student support, disability support, Māori student support, Pacific student support, and student health and wellbeing services.

Information for inclusion in the application

- evidence of the availability, or of a plan to procure, the teaching resources required to deliver the training scheme
- evidence to confirm the institution has sufficient and appropriate teaching facilities and physical resources necessary for the implementation and sustained delivery of the training scheme
- guidance and support systems including support staff (e.g. literacy and numeracy assistants, counsellors, library staff, IT support staff), and facilities such as library, computer suite, laboratories, workshops, tools and equipment for student use
- an indication of tutors and support personnel. Tutors should be qualified in the subject area, to at least one level above that which is being taught. They must have relevant and credible experience
- a schedule of resources specific to the training scheme. This should indicate: the nature and number of resources; whether they will be supplied by the institution or by the trainee; whether the institution will own, currently owns, or will hire/contract the resources
- for PTEs, an indication of how student academic records will be held to meet the requirements of the PTE Academic and Enrolment Rules. Refer to the NZQA website at www.nzqa.govt.nz/about-us/our-role/legislation/nzqa-rules/, or, for a summary, refer to Appendix 2.

Criterion 4: Information for students

Adequate information is available to students including where applicable information on entry and selection requirements, cross-crediting and credit transfer, recognition of prior learning, reassessment and appeals, student progress, requirements for completion, and the availability of assessment in te reo Māori

Guidance

Relevant and accurate information must be available to inform prospective students and current students about the training scheme.

This must include:

- entry and selection requirements

And may include information on:

- cross-crediting and credit transfer options
- recognition of prior learning
- reassessment and appeals
- student progress requirements
- student completion requirements
- the availability of assessment in te reo Māori.

Marketing material must provide a realistic picture of the likely student experience, including how the training scheme will be delivered, the expected academic workload, assessment approaches and information on available student support and guidance.

If students are required to supply resources or materials this should be made explicit so that prospective students can make an informed judgement before enrolling.

Information for inclusion in the application

- Responses to the above list should be sufficient to enable evaluation to occur and will be determined on a case-by-case basis depending on the size and scope of the training scheme.
- It is important that the information is provided in a coherent and transparent format sufficient to meet the differing needs of students.

Example

Evidence for the above may be located in, for example: trainee handbooks, information handout sheets, promotional pamphlets, on-line web sites.

Criterion 5: Assessment and moderation

Assessment methodologies provide fair, valid, consistent and appropriate assessment, given the stated learning outcomes. There is an effective system for moderation of assessment materials and decisions

Guidance

The assessment methodologies to be used must enable fair, valid, consistent and appropriate assessment of student achievement. They must:

- enable accurate decisions to be made about learner achievement related to the learning outcomes of the training scheme
- specify the standard of expected performance and the criteria to be used to determine learner achievement
- focus on the key outcomes to be assessed and consider the overall workload for students.

The assessment activities must validly and accurately assess whether students have demonstrated the required skills, knowledge and/or attributes specified in the outcomes of the training scheme.

There must be an effective system for moderation of assessment materials and decisions.

Information for inclusion in the application

- an explanation of the assessment processes to be used for the training scheme, for example: assignments (essays, reports, etc), tests, exam, portfolio, aural presentation, website development, practical demonstration
- an explanation of how external and internal moderation activities will be managed for the training scheme
- for PTEs, an indication of how student academic records will be held to meet the requirements of the *PTE Academic and Enrolment Rules*. Refer to NZQA website - <http://www.nzqa.govt.nz/about-us/our-role/legislation/nzqa-rules/>

Example assessment schedule

Word Processing: Tables and columns

Learning Outcome 1: By the end of this module the learner will be able to create and edit tables in a word processed document.

Learning Outcome 2: By the end of this module the learner will be able to create and edit columns in a word processed document

Date distributed	Date due	Targeted learning outcomes	Assessment Strategy	Grade and contribution
9 October	23 October	LO1	Assignment: Two business scenarios which require the development of tables in a documented solution. (Excludes formulae)	30% of total
30 October	13 November	LO2	Assignment: Two business scenarios which require the development of columns in a documented solution	30% of total
20 November	20 November	LO1, LO2	Test – closed book: One hour duration. <ul style="list-style-type: none"> • Replication of four worked examples. • Editing of a table and of columns in a document as per instructions. (includes formulae)	40% of total

Successful completion requirements

To successfully complete the Training Scheme, candidates must achieve a pass mark of 80% in each of the assessments.

Internal approval and self-assessment

8. A record of internal approval of the training scheme - Rule 5.1g(i)

Guidance

Evidence of internal academic quality assurance approval must be provided with all applications. The formal record must not be more than six months old.

Information for inclusion in the application

Formal record of internal quality assurance approval e.g. Academic Board minutes, Teaching Committee minutes, or management team sign-off.

9. A self-assessment report addressing the key evaluation questions for training schemes (Category 1 Providers are not required to provide a copy of the self-assessment report) - Rule 5.1g(ii)

Guidance

Key evaluation questions are questions to be used by providers to self-assess their training-schemes against the training scheme approval criteria. They are open ended questions that direct an enquiry into the quality and relevance of outcomes and the key processes contributing to them.

Information for inclusion in the application

A self-assessment report answering the key evaluation questions presented below (except Category 1 providers).

Key evaluation questions for the self-assessment report

KEQ 1

How well-informed and purposeful is the proposed training scheme?

Use the following enquiry questions to prompt reflective thinking about your training scheme:

- Is the purpose of the training scheme clearly identified?
- Does the purpose statement clearly reflect the needs of the intended students, industry, community, and employers?

KEQ 2

How well do the design, content, and documented processes address the approval criteria?

Use the following enquiry questions to prompt reflective thinking about your training scheme:

- Are the credits and level appropriate?
- Is the content appropriate for the proposed purpose?
- Is there a coherent structure in terms of its learning outcomes, content, level and credit value, which leads to the achievement of the training scheme purpose?

- Do the delivery methodologies enable students to achieve the learning outcomes?
- Are the resources and staff appropriate to enable sustained delivery of the training scheme and support achievement of the learning outcomes at all proposed delivery sites and through the proposed modes of delivery?
- Is there adequate information available to students to enable them to make informed choices?
- Do the assessment methodologies enable students to provide evidence to achieve the learning outcomes?

Training schemes must not duplicate qualifications

Approval will not be granted to any institution for applications for training schemes where the training scheme has:

- (a) a credit value of 40 or more credits and either -
 - (i) is substantially similar to a qualification on the NZQF, or
 - (ii) has outcomes that are more suited to being listed as a qualification on the NZQF; or
 - (b) included in the title any of the words “New Zealand”, “national”, “diploma”, “degree”, “bachelor”, “master”, “doctor”, “under-graduate” or “post-graduate” where it may cause confusion with a qualification on the NZQF; or
 - (c) included in the title the name of a person, organisation, or product unless the applicant satisfies NZQA (or Universities New Zealand in relation to university applicants) that there is a sound justification for the inclusion
- Rule 8.1

Guidance

There are limited circumstances where a training scheme can have 40 or more credits, but only when the training scheme is not substantially similar to a listed qualification or has outcomes more suited to being listed as a qualification.

The institution is responsible for checking the NZQF in order to decide whether its proposal is suited to training scheme approval or whether it should be applying for approval and accreditation of a programme towards a qualification listed on the NZQF.

NZQA will look at the stated purpose of the training scheme and compare this to the outcome statement and graduate profile of relevant qualifications listed on the NZQF, in order to check whether a proposed training scheme is substantially similar to a qualification listed on the NZQF, or has outcomes more suited to being listed as a qualification.

Titles of training schemes

The title of a training scheme may include the word “certificate” but must not include any of the following words: “New Zealand”, “national”, “diploma”, “degree”, “bachelor”, “master”, “doctor”, “under-graduate” or “post-graduate”.

The name of a person, a product or an organisation must not be included in the title unless there is sound justification for the inclusion. If an institution wishes to use the name of another organisation in the title, for example, the name of an IT certification body, the institution must provide evidence of endorsement by the other organisation.

Information for inclusion in the application

Where relevant, applicants must provide a statement justifying that the proposed training scheme has more than 40 credits or the use of the name of a person, organisation, or product in the title of the training scheme, or both.

Section 6: Maintaining approval

Institutions holding training scheme approvals must continue to:

- (a) meet the criteria set out in Rule 4.1: and
- (b) participate in quality assurance (for institutions other than universities the quality assurance consists of carrying out self assessment and participating in external evaluation and review conducted by NZQA)

- Rule 11.1

Guidance

The rules for external evaluation and review are set out on the NZQA website.

Lapse of approval

Institutions must notify NZQA if they are no longer delivering a training scheme after 12 months. Otherwise the training scheme approval can lapse under section 251c of the Act.

Changes to training schemes

Training schemes will change as a result of on-going self-assessment and improvement. Significant changes must be approved by NZQA. Minor changes do not require NZQA approval.

Significant changes are changes in title, level, purpose and credit value.

Applications for approval of significant changes must be made on the appropriate form, with supporting information appended. The application must include approval by the institution's relevant academic body.

Section 7: Sub-contracting

Entering into a sub-contracting arrangement is a possible way of delivering a training scheme. The rules for sub-contracting a training scheme are consistent with the rules for sub-contracting consents to assess and sub-contracting programmes of study.

Notifying NZQA of a sub-contracting arrangement - Rule 12.2

Guidance

An institution that proposes to use a sub-contractor to provide an approved training scheme on the institution's behalf, and the institution and the sub-contractor are both approved for the training scheme, the institution must notify NZQA of the sub-contracting arrangement in writing prior to the training scheme being delivered.

Example

Institution A and Sub-contractor B are both approved for the training scheme.

*Institution A must **notify** NZQA in writing of the sub-contracting arrangement prior to delivery of the training scheme*

Seeking NZQA approval of a sub-contracting arrangement - Rule 12.3

Guidance

Where an institution proposes to use a sub-contractor to provide an approved training scheme, and the subcontractor does not itself hold approval for the training scheme, the institution must apply to NZQA for approval to engage the sub-contractor prior to the training scheme being delivered.

Example

Institution C has entered into an agreement to engage Sub-contractor D to deliver an approved training scheme. Sub-contractor D does not hold approval for the training scheme.

*Institution C **must apply** to NZQA for approval of the sub-contracting arrangement prior to Sub-contractor D delivering the training scheme.*

Applications for sub-contracting approval - Rule 12.4

Guidance

Institutions must provide the following information when submitting an application to NZQA for approval of a sub-contracting arrangement:

- name of sub-contractor
- identification of the relevant training scheme(s)
- rationale for the proposed arrangement
- copy of the sub-contracting agreement
- indication of throughput volume e.g. number of students, delivery sites, number of intakes
- details of the sub-contractor's history of delivery in the area of the training scheme, identifying experience, capability, creditability and commitment.

NZQA will grant the sub-contracting arrangement approval when it is satisfied that:

- the institution remains responsible for the sub-contractor meeting all of the institution's obligations that are relevant for the training scheme
- the sub-contractor meets all relevant obligations in the Act and in rules made under section 253 of the Act in relation to the provision of the training scheme
- there is a formal documented arrangement between the institution and the sub-contractor that includes provisions to ensure that NZQA is able to exercise its quality assurance and enforcement powers and functions in respect of the acts or omissions of the sub-contractor relating to the provision of the training scheme
- the information and advertising for the training scheme clearly states that it is provided through a sub-contracting arrangement
- all student enrolments are through the institution, and the institution maintains all student enrolment and academic information.

Training Scheme Rules 2012

1. Authority

1.1 These Rules are made under section 253 of the Education Act 1989.

2. Commencement

2.1 These Rules commence on the day after the date of approval by the Minister under section 253(5) of the Act.

3. Interpretation

3.1 In these Rules, unless the context otherwise requires:

“Act” means the Education Act 1989:

“Category 1 institution” means an institution (*other than a university*) that has received, in the most recent external evaluation and review carried out by NZQA in respect of that institution, either a;

(a) Highly Confident judgement in both educational performance and organisational capability in self assessment; or

(b) Highly Confident judgement in educational performance and a Confident judgement in organisational capability in self-assessment:

“Credit value” means the number of credits, with each credit representing ten notional learning hours:

“Directory” means the Directory of Assessment Standards provided for in section 248A of the Act:

“External evaluation and review” means the quality assurance system set out in rules made under section 253 of the Act:

“Institution” includes universities, polytechnics, wānanga, government training establishments, registered private training establishments, relevant schools, industry training organisations, and other bodies:

“Level” means any of levels 1 to 10 on the NZQF:

“Level descriptors” means the descriptors used by NZQA to determine levels (*the descriptors are available on the NZQA website*):

“NZQA” means the New Zealand Qualifications Authority:

“NZQF” means the New Zealand Qualifications Framework:

“Recognition of prior learning” means a process that involves formal assessment of a student’s relevant and current knowledge and skills (*gained through prior learning*) to determine achievement of learning outcomes of a qualification for the purpose of awarding credit towards that qualification; and for the avoidance of doubt it does not include credit recognition and transfer:

“Training scheme” has the meaning in section 159(1) of the Act, which is study or training that—

- (a) leads to an award; but
- (b) does not, of itself, lead to an award of a qualification listed on the NZQF:

“Universities New Zealand” means the New Zealand Vice-Chancellors Committee established under section 240 of the Act.

Part 1

Approval criteria

4. Criteria for approval of training schemes

- 4.1 The following are the criteria for the granting of approval to an institution to provide a training scheme under section 251 of the Act.

Criterion 1 Structure of the training scheme

It has a coherent structure in terms of its learning outcomes, content, level and credit value, which is appropriate for its purpose.

Criterion 2 Delivery methods

Delivery methods are clearly identified, appropriate to the needs and level of the intended students and support achievement of the learning outcomes.

Criterion 3 Resources and staff

There are adequate and appropriate teaching staff (*with appropriate qualifications and/or experience*), facilities, physical resources, and student support systems to enable sustained delivery.

Criterion 4 Information for students

Adequate information is available to students including where applicable information on entry and selection requirements, recognition of prior learning, reassessment and appeals, student progress, requirements for completion, and the availability of assessment in te reo Māori.

Criterion 5 Assessment and moderation

Assessment methodologies provide fair, valid, consistent and appropriate assessment of student achievement, given the stated learning outcomes. There is an effective system for moderation of assessment materials and decisions.

Part 2

Applications

5. Details to be provided in applications for training scheme approvals

- 5.1. Institutions (*other than universities*) must provide the following details in their applications to NZQA to provide a training scheme under section 251 of the Act:
- (a) the name and contact details of the applicant:
 - (b) a title for the training scheme that properly reflects its subject area and level:
 - (c) credit value and level (*consistent with the level descriptors*):

- (d) the assigned six digit code from the New Zealand Standard of Classification of Education (NZSCED) system:
- (e) the purpose of the training scheme in relation to the needs of intended students, and relevant industry, community, and employer needs:
- (f) clear identification of any standards from the Directory that are used in the training scheme:
- (g) a summary description of how the training scheme meets the criteria set out in Rule 4.1, along with a copy of the institution's:
 - (i) record of internal approval of the training scheme prior to the application to NZQA for approval; and
 - (ii) a full self-assessment report addressing the key evaluation questions for training schemes that are published on the NZQA website.

6. Assessment standards used in training schemes

- 6.1 Where the training scheme for which approval is sought includes, or incorporates substantial content from, assessment standards listed on the Directory, the applicant must also either hold consent to assess against those standards or make application for consent to assess against those standards.

7. Exemptions for applications from Category 1 institutions

- 7.1 Category 1 institutions are not required to provide a copy of the self assessment required in Rule 5.1(g)(ii).

8. Applications for training scheme approval that will not be approved

- 8.1 Approval will not be granted to any institution for applications for training schemes where the training scheme has:
 - (a) a credit value of 40 or more credits and either -
 - (i) is substantially similar to a qualification on the NZQF, or
 - (ii) has outcomes that are more suited to being listed as a qualification on the NZQF; or
 - (b) included in the title any of the words "New Zealand", "national", "diploma", "degree", "bachelor", "master", "doctor", "under-graduate" or "post-graduate" where it may cause confusion with a qualification on the NZQF; or
 - (c) included in the title the name of a person, organisation, or product unless the applicant satisfies NZQA (*or Universities New Zealand in relation to university applicants*) that there is a sound justification for the inclusion.

9. Approval of applications for training scheme approval from institutions other than universities

- 9.1 NZQA will advise applicants if any of the details in the application require further work.
- 9.2 NZQA may carry out a site visit.
- 9.3 Where NZQA is satisfied with the details in the application, and it is not an application to which Rule 8.1 applies, NZQA will approve the application and advise the applicant.

- 9.4 Where NZQA is not satisfied with the details in the application, NZQA will not approve the application, and will advise the applicant.
- 9.5 NZQA will publish on its website up to date and appropriate details of training schemes it has approved.

10 Approval of applications for training scheme approval from universities

- 10.1 Applications by universities for training scheme approval will be decided by Universities New Zealand under section 253A of the Act, in accordance with any procedures set up for inter-university course approval and moderation under section 241(a) of the Act.

Part 3 Maintaining training scheme approval

11. Requirements to be met to maintain approval

- 11.1 Institutions holding training scheme approvals must continue to:
- (a) meet the criteria set out in Rule 4.1: and
 - (b) participate in quality assurance (*for institutions other than universities the quality assurance consists of carrying out self assessment and participating in external evaluation and review conducted by NZQA*).

Part 4 Use of sub-contractors

12. Use of sub-contractors to provide training schemes

- 12.1 Rules 12.2 to 12.5 apply to institutions other than universities.
- 12.2 Where an institution proposes to use a sub-contractor to provide a training scheme on the institution's behalf, and the institution and the sub-contractor have both been granted approval to provide the training scheme, the institution must notify NZQA of the sub-contracting arrangement prior to the training scheme being provided.
- 12.3 Where an institution proposes to use a sub-contractor to provide a training scheme that the institution has been granted approval to provide, and the subcontractor has not itself been granted approval, the institution must apply to NZQA for approval to engage the sub-contractor.
- 12.4 Applications under Rule 12.3 for approval to engage the sub-contractor must include the following information:
- (a) the name of the sub-contractor:
 - (b) identification of the training scheme(s) to be provided under the arrangement:
 - (c) the rationale for the proposed sub-contracting arrangement:
 - (d) a copy of the sub-contracting arrangement between the institution and the sub-contractor.

- 12.5 NZQA will grant approval to an application under rule 12.3 where it is satisfied that:
- (a) the institution remains responsible for the sub-contractor meeting all of the institution's obligations that are relevant for the training scheme:
 - (b) the sub-contractor will meet all relevant obligations in the Act and in rules made under section 253 of the Act in relation to the provision of the training scheme:
 - (c) there is a formal documented arrangement between the holder and the sub-contractor that includes provisions to ensure that NZQA is able to exercise its quality assurance and enforcement powers and functions in respect of the acts or omissions of the sub-contractor relating to the provision of the training scheme:
 - (d) the information and advertising for the training clearly states that it is provided through a sub-contracting arrangement:
 - (e) all student enrolments are through the institution, and the institution maintains all student enrolment and academic information.
- 12.6 The use of sub-contractors by universities will be governed by decisions of Universities New Zealand under Rule 10.1 and under other powers it may exercise under section 253A the Act.

Summary of PTE Records Rules

For a full copy of the PTE Enrolment and Academic Records Rules 2012 refer to the following website:

<http://www.nzqa.govt.nz/about-us/our-role/legislation/nzqa-rules/pte-enrolment-and-academic-records/>

Rules made under the provisions of the Education Act 1989:

- (a) section 253(1)(n), students enrolled in programmes and training schemes at PTEs, and
- (b) section 253(1)(o), the reporting requirements for a student's record of achievement, and
- (c) section 253(1)(q), keeping systems for students enrolled in standards education or training that does not involve a programme or training scheme.

Enrolment Records

Accurate enrolment records for each student must be kept, and kept up to date, by PTEs. They must be kept in a manner that ensures they are able to be easily recovered and printed, and readily available on the PTE's electronic data storage system.

Time frames

Enrolment records: Name, address, contact, NSI, nationality, domestic or international, education or training programme, start and finish dates, entry requirements, invoices and receipts for all fees. For international students – visa and immigration details, contact details for agent, health and travel insurances, fee protection information, passport numbers.

Kept for two years after the completion of the education or training in which the student is enrolled.

Academic Records

Time frames

Individual student assessment and examination results
Any cross credits, credit transfer, and recognition of prior learning arrangements for individual students
Records of student attendance
Records of the achievement of awards or qualifications by the students

Permanent record

Permanent record

Duration of the student's enrolment

Permanent record