

# CONSENT AND MODERATION REQUIREMENTS (CMR)

for Mechanical Engineering, Plastics and Materials Processing, Fibreboard Packaging, Food and Related Product Production, Can Making, Competitive Manufacturing, Manufacturing Processes, Retail Meat, Printing, Maritime, Lifting Equipment and Rail Transport

(version 6)

## Contact

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## Engineering and Technology > Mechanical Engineering

Domain	Standard IDs
Applied Principles of Mechanical Engineering	11385, 11386, 11392, 14866, 21277, 21772-21776, 21779, 21781-21785, 21787-21789, 22918
Dairy Systems Engineering	29158-29164, 31389, 31974
Engineering Core Skills	2395, 2396, 21905, 21906, 21908, 21909, 21911-21913, 22897-22900, 26326, 29397-29399, 29560-29562, 29650-29652, 29671-29676, 30472, 30665, 31068
Engineering Drawing and Design	2430-2434, 2436, 2441, 4434, 20802-20804, 21910, 29653-29655
Engineering - Fabrication	2414, 2416, 2417, 16955-16957, 25075, 25698-25713, 25874, 25875, 26418, 29670, 29730, 30263, 30272, 30274, 30440, 30473, 30474, 31143
Engineering Machining and Toolmaking	2699, 2701-2709, 2712-2718, 11661-11664, 18542-18546, 18616, 18617, 22908-22911, 30273, 30276, 30281, 30666, 31067, 31069
Engineering - Materials	2383, 4797, 4799-4802, 20799, 20917, 27446, 27447, 29549-29552
Engineering - Measurement	4432, 4433, 4435-4443
Engineering Patternmaking	2364-2370, 29634, 29635

<b>Domain</b>	<b>Standard IDs</b>
Engineering - Robotics	19445-19448
Fire Detection and Alarm Systems	23258-23267, 28813-28819
Fire Protection Systems Technology	17708, 17710, 17712-17715
Fixed Fire Protection Systems	9362, 9372, 9375, 17727-17732, 17734, 17735, 18432, 18433, 23587, 23588, 27524-27526, 28820, 28821, 28824-28834
Fluid Power - Hydraulics	2727, 2731, 2733, 20597, 20599, 20607-20611, 20613
Fluid Power - Pneumatics	2732, 20598, 20604, 20606, 20612, 20614
Gunsmithing	9125-9131, 9720-9724, 22324-22326
Hand Operated Fire Fighting Equipment	9013, 9020, 23585, 23586
Heating, Ventilating, and Air Conditioning	3235-3237, 3239, 3244, 26327-26340, 30582, 31141, 31142
Locksmithing	12906-12917, 12919-12926, 21334, 22451-22455, 30580, 30581, 30960-30973, 31182
Maintenance and Diagnostics in Mechanical Engineering	2397, 2400, 2401, 2403, 2404, 2406-2413, 11399-11401, 12293, 12294, 19873, 19874, 21780, 21786, 22901-22905, 26564-26566, 27203-27206, 27918-27921, 28023, 28114, 30284-30286
Mechanical Assembly	2387, 2391, 22913, 22914, 30438, 30439
Mechanical Commissioning	22915
Mechanical Engineering Inspection	15125-15129
Mechanical Engineering Technology	22923, 22924, 22926
Mechanical Installation	2390
Metal Forming	2371, 2373-2382, 2386, 15130, 15131, 19449, 19741, 30429, 30430, 31908-31911
Metal Surface Finishing	2352, 2353, 2355, 2360, 2361, 2363, 16961, 19740
Passive Fire Protection	26422-26424, 29157, 31915-31917

Domain	Standard IDs
Refrigeration and Air Conditioning	3837, 3841, 3842, 3846, 3847, 3851, 3852, 19666, 22707, 22709, 23959, 26721, 26722, 28950-28970, 29100, 29563, 30127, 31809, 31810
Split System Air Conditioning	22441-22443
Welding	2671-2698, 15133, 15134, 18105, 18106, 18108, 21907, 22906, 22907, 25783, 26393, 30080, 30275, 30277-30280, 30282, 30283

### Manufacturing > Food and Related Products Processing

Domain	Standard IDs
Baking	9954, 9955, 14708, 14709, 14721-14724, 15137, 15144-15146, 15148, 15149, 15735, 15736, 23081, 29061, 29069-29071, 29073, 29075-29077, 29082, 29101-29105, 29107, 29108
Baking - Bread	14710-14712, 14715-14717, 15147, 15151, 15154, 23083, 29078, 29106, 29109-29112, 29396
Baking - Cake and Biscuit	15150, 23082, 29079, 29080, 29113-29117
Baking - Pastry	15153, 29081, 29118-29122
Food and Related Product Production	7714, 7834, 22710, 24650
Food and Related Product Production Equipment	29534
Food and Related Product Storage and Distribution	7637, 7750, 7760
Wine Production - Cellar Operations	29239-29269, 29328-29334

### Manufacturing > Manufacturing Skills

Domain	Standard IDs
Additive Manufacturing	31197
Competitive Systems and Practices	18935, 21501-21512, 21515-21539, 24779-24800, 24804-24806, 29270-29276, 29312-29314

<b>Domain</b>	<b>Standard IDs</b>
Manufacturing Processes	4804-4811, 4813, 4814, 17525-17527, 17531, 17537, 17540, 17547, 19504-19507, 20298-20301, 21329-21333, 23539, 27853, 29278-29281, 29366-29370, 29447

### **Manufacturing > Meat Processing**

<b>Domain</b>	<b>Standard IDs</b>
Meat Retail Butchery	16103-16106, 17234, 17235, 26264-26282, 30044-30053
Meat Retailing	6993, 6995-6997, 17236-17239, 26263, 30054

### **Manufacturing > Plastics Processing Technology**

<b>Domain</b>	<b>Standard IDs</b>
Blown Film Extrusion	289, 291-294, 9710, 27666, 27667
Extrusion	9715, 27571, 27631, 29520-29522
Extrusion Blow Moulding	296-303
Film Conversion	277, 278
Injection Moulding	252, 255, 260, 9713, 27926, 29515
Injection Stretch-Blow Moulding	15207, 15208, 15211-15213
Plastics Materials	9708, 9709, 19378, 19379, 23128-23131, 25679
Plastics Processing - General	9711, 19380, 19381, 29514, 29516-29519
Rotational Moulding	16118, 16119, 16121
Thermoforming	265-267, 269

### **Manufacturing > Printing**

<b>Domain</b>	<b>Standard IDs</b>
Digital Processes for Print	23828, 23829

**Manufacturing > Sign Making**

Domain	Standard IDs
Sign Making - Core	27572, 27573, 30151, 30152, 30155, 30156, 30158-30164
Sign Making - Specialisation	27584, 30153, 30154, 30157

**Manufacturing > Solid Wood Manufacturing**

Domain	Standard IDs
Pole and Post Manufacturing	32085-32087

**Manufacturing > Steel Manufacturing**

Domain	Standard IDs
Steel Product Handling	14482

**Manufacturing > Wood Handling and Distribution**

Domain	Standard IDs
Timber Yarding	5703

**Manufacturing > Wood Manufacturing - Generic Skills**

Domain	Standard IDs
Wood Manufacturing Foundation Skills	156

**Service Sector > Lifting Equipment**

Domain	Standard IDs
Powered Industrial Lift Trucks	10851, 10852, 18409

**Service Sector > Maritime**

Domain	Standard IDs
Sea Survival and Sea Safety	29570, 29719, 29720

## Service Sector > Rail Transport

Domain	Standard IDs
Rail Core Skills	18864, 19383, 19391, 19487, 24603, 27284-27286, 27554, 27555, 28012
Rail Infrastructure	19779, 19781, 19784, 19785, 19788-19790, 19912, 19914, 19916
Rail Operations	18863, 18865, 18866, 18868, 18870, 18872, 18874, 19281-19283, 19286-19288, 19386, 19387, 19394, 19396, 19488, 28009-28011, 28013, 29374-29381

## 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

#### Competenz' approach to Consent to Assess (RCA)

Competenz will take a positive approach in its dealings with organisations applying for consent to assess. Competenz recognises the merits of having a diverse tertiary sector with a range of vocational pathways and delivery options that cater to varying learner needs. In evaluating applications by organisations for consent to assess Competenz takes into account the following factors:

- Maintaining the consistency and credibility of qualifications and standards.
- The expectations and characteristics of the industry for which standards or qualifications have been designed.
- The desirability of multiple entry and exit points on qualification pathways.
- Alignment of programmes to existing training pathways and access to further qualifications.
- Ensuring learners receive high quality training that prepares them for assessment against standards.
- The organisation's history of compliance with NZQA quality assurance requirements.

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

- Previous evidence of the organisation's history of training and meeting moderation requirements.
- For standards designed specifically for industry; the organisation's ability to arrange genuine workplace practice for standards designed to assess capability under workplace conditions.

Competenz is an advocate of best practice in assessment and will provide advice to organisations wishing to assess against its standards. In supporting an application for consent to assess, Competenz looks for evidence that the applicant organisation has the means to ensure that assessment decisions made by the organisation's assessors are consistent with the national standard.

Applicants seeking consent to assess against standards covered by this CMR are encouraged to contact Competenz for assistance during the preparation of their application. Visits by Competenz may include a representative from industry with specialist knowledge in some instances. Applicants will be notified when this is the case.

Requirements for consent to assess (except for the BSAS domains) as specified below.

Levels 1 and 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 a teaching professional in the same field from another organisation.

The following classifications are listed on the Base Scope of Assessment for Schools (BSAS) to Level 2 and therefore have a different option: *Engineering – Fabrication, Engineering – Materials, Engineering Measurement, Engineering Core Skills, Engineering Drawing and Design, Engineering Machining and Toolmaking, Fluid Power, Fluid Power – Hydraulics, Fluid Power – Pneumatics, Maintenance and Diagnostics in Mechanical Engineering, Mechanical Assembly, and Mechanical Engineering Technology.*

Levels 1 and 2	Evaluation of documentation by NZQA.
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**Note:** The option on some standards may not match the options above and will be updated when the standards are next reviewed or revised. The options specified in

this CMR and not that on the standards apply for all applications for consent to assess.

### **Visit waiver conditions**

Competenz may waive its involvement in a consent to assess visit:

- when Competenz has been consulted during the development of the application;
- if Competenz has sufficient confidence in the past track record of the organisation seeking consent to assess.

### **Areas of shared responsibility**

None, except for the Competitive Systems and Practice domain (see Appendix 1).

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

The SSB may choose to charge reasonable 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**

Competenz is responsible for standards in a range of industry sectors and occupational groups that have developed common and specific requirements to meet their needs. Competenz will not place unreasonable barriers in the way of organisations intending to assess against standards for Competenz industries. Where specific requirements are set these are in response to clear signals from industry and other stakeholders. Competenz' industry sector common requirements for consent to assess are listed below and the specific requirements for consent to assess are set out in the industry or sector-specific appendices attached to this CMR. Organisations seeking consent to assess must meet all requirements set out in the CMR and any applicable appendices.

Competenz industry or sector-specific requirements for consent to assess are set out in the following appendices:

Appendix 1	Requirements for Consent to Assess for the Competitive Systems and Practices domain
Appendix 2	Requirements for Consent to Assess for the Printing domain
Appendix 3	Requirements for Consent to Assess for the Maritime subfield
Appendix 4	Requirements for Consent to Assess for the Fire Protection domains: <i>Fire Detection and Alarm Systems, Fire Protection Systems Technology, Passive Fire Protection and Fixed Fire Protection Systems</i>
Appendix 5	Requirements for Consent to Assess for Fork Lift Training unit standards 10851 and 10852

### Criterion 1 Development and evaluation of teaching programmes

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

- all programmes state specific expected outcomes;
- there is current structured industry input into the development and review of programmes;
- programmes are regularly evaluated by staff, learners, and stakeholders;
- learners are provided with integrated teaching programmes that include learning strategies, resources, and assessment activities that enable them to meet the requirements of standards and qualifications being offered;
- programmes cover all aspects of the standards and qualifications they lead to.

### Criterion 2 Financial, administrative and physical resources

The applicant organisation must have policies and procedures to ensure that it owns or has access to the specialist machinery or equipment for the standards for which it is seeking consent to assess. Information is available on the Competenz website (<http://www.competenz.org.nz/>) about the specialist machinery or equipment needed for specific vocational training.

The applicant organisation must have policies and procedures to ensure there is sufficient safety equipment to cater for the student numbers and planned activities. Applicant organisations must be able to satisfy the requirements of the Health and Safety at Work Act 2015 and other relevant safety guidelines and regulations when providing practical training or assessments. The applicant organisation must have policies and procedures to ensure that they meet these regulations and guidelines through documented safety procedures, advice to learners regarding hazards, and reporting procedures.

### Criterion 3 Staff selection, appraisal and development

The applicant organisation must have policies and procedures to ensure that staff engaged in delivery of training and assessment:

- have completed training in standards-based assessment. They must have gained credit for unit 4098, *Use standards to assess candidate performance*; and may hold either unit 7114, *Coach adult learner(s)*, or unit 11552, *Design and evaluate assessment materials*;
- hold a qualification relevant to the domains they are teaching in or standards at or above the level at which they are required to teach and/or assess, or possess current equivalent knowledge and skills to assess against the standards for which consent to assess is being sought;
- demonstrate industry experience and knowledge relevant to the area they are teaching in.

Staff may also hold, or be working towards, a qualification in adult education and assessment (for example, the New Zealand Certificate in Adult and Tertiary Teaching (Level 4) [Ref: 2746]); a New Zealand-recognised teaching qualification; or be able to demonstrate equivalent knowledge and skills. It is also recommended that they are involved in ongoing professional development, including opportunities to keep up-to-

date with legislative and technological requirements and best industry practice in the sector.

Competenz will assist organisations wishing to confirm relevant experience and qualifications and provides a list of recognised qualifications on its web site (<http://www.competenz.org.nz>).

Criterion 4      Student entry

Applicant organisations must have policies and procedures to ensure that student entry requirements conform to those set out in the relevant standards and qualifications.

Criterion 6      Off-site practical or work-based components

The applicant organisation must have policies and procedures to ensure that off-site practical or work-based activities are covered by the health and safety policies and procedures of the host organisation, and meet the requirements of health and safety at work legislation.

*Use of other establishments by the applicant organisation for training and assessment*

Where learners are required to receive training off-site with another establishment, applicant organisations must have policies and procedures that cover such arrangements, including a memorandum of agreement or contract between the applicant organisation and the off-site establishment, which clearly states:

- the nature of the training the learners are to receive;
- responsibility for safety of the tutors and learners;
- the time and frequency of the learners' attendance;
- the name and relevant details of the student(s) attending specific off-site locations;
- a procedure which gathers information from the off-site establishment that allows the applicant organisation to make valid progress and assessment judgments;
- how feedback on learners' progress from the off-site establishment is documented;
- support mechanisms from the applicant organisation for both the student and the off-site establishment for the duration of the training;
- responsibility for undertaking assessment and reporting results.

When off-site facilities or resources are to be used, the applicant organisation must have policies and procedures to ensure that appropriate equipment, resources, and workplace environment for practical assessments are available.

*Use of the workplace for training and assessment*

Where work placements are to be used by an applicant organisation to contribute towards training and assessment there should be clear links between classroom-

based underpinning knowledge and structured on-site learning. The applicant organisation must have policies, procedures, and review mechanisms that ensure:

- adequate supervision of learners in the workplace;
- that assessment draws on evidence from workplace experience (organisations may contact Competenz for access to workplace assessment guides that have undergone pre-assessment moderation and other resources);
- that work placements are genuinely focused on training and are not a means of unpaid labour;
- that industry expectations, safety procedures, appropriate standards of hygiene, and other specific requirements are met.

#### Criterion 7      Assessment

The applicant organisation must have policies and procedures to support integrated assessment based on evidence that is fair and valid.

Where a Competenz standard specifies that it must be assessed under workplace conditions, it can only be replaced by a simulated environment if approved by Competenz. To gain approval to use a simulated environment, the applicant organisation must submit their assessment tools to Competenz for pre-assessment moderation and approval prior to use.

Competenz recognises the academic autonomy of organisations to assess against Competenz standards using self-developed assessment material. However, to ensure consistency of assessment decisions and to reduce the need for extensive pre-assessment moderation, Competenz invites all organisations to use Competenz assessment material and resources where they are available. There may be a charge for use of these. To ensure wide applicability, organisations are encouraged to participate in the development and review of Competenz assessment materials and resources. Information on available resources can be provided by Competenz' Quality Assurance team on 0800 526 1800.

Where applicant organisations intend to develop and use their own assessment materials for Competenz standards, they must have policies and procedures to ensure that materials have undergone pre-assessment moderation and approval by Competenz prior to use. All assessment material must clearly cover the outcomes of the standards and provide adequate evidence of competence.

Applicant organisations must have an appropriate appeals process for non-verified assessments.

#### Criterion 8      Reporting

The applicant organisation must have policies and procedures to ensure that credit achievement is reported to NZQA within three months of the completion of assessment.

## **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**

Competenz 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 Competenz.

## **Introduction**

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

Competenz requires organisations with consent to assess to participate in Competenz' moderation systems where Competenz standards are being used. Standards due for moderation will be published annually on the Competenz web site. Competenz will also publish information on how Competenz will select standards for moderation and the nature of moderation that will be used. Organisations will be contacted directly by Competenz when they are due for post-assessment moderation.

The design of the Competenz external moderation system takes into account how assessment typically occurs, the characteristics of the industry or sector, the risks associated with inconsistent assessment decisions, and issues regarding the cost effectiveness and manageability of a particular system. Moderation advice is provided to Competenz by industry advisory groups and specialist Moderators where required.

Competenz is responsible for:

- implementation of the national external moderation system;
- producing an Annual Moderation Plan and publishing it on the Competenz web site;
- moderation of assessments carried out by organisations with consent to assess;

- ensuring organisations being moderated have adequate notice of standards that have been selected for moderation;
- preparing an annual report for NZQA evaluating the moderation system and results of moderation activities;
- organising and coordinating the preparation of moderation materials and moderation meetings;
- providing professional development and support for organisations with consent to assess.

Organisations with consent to assess are responsible for:

- following the requirements of the Competenz CMR with respect to Competenz standards;
- ensuring assessment records are complete;
- ensuring copies of assessment evidence are kept for at least 12 months so they are available for moderation by Competenz if required;
- submitting materials to Competenz for moderation, when requested, by the specified date.

Moderation principles

Competenz' moderation system is based on the established Best Practice Principles of Moderation.

Principle 1: Selection	Best practice moderation will occur when the standards selected for moderation provide a sufficiently representative sample of the assessed standards.
Principle 2: Measurement	Best practice moderation will occur when the moderation accurately measures the assessment against the stated standard.
Principle 3: Reporting	Best practice moderation will occur when there is constructive and informative reporting of moderation outcomes.
Principle 4: Monitoring	Best practice moderation will occur when there is ongoing monitoring of the moderation system.
Principle 5: Review	Best practice moderation will occur when there is regular review of the moderation system.

In moderation, Competenz sets out to:

- support assessment that is fair, valid, and consistent;
- detect variance from the national standard and keep variance to a minimum;
- reflect the culture of a particular industry;
- protect the integrity and reputation of qualifications;
- create a moderation system that is supportive of assessors and trainers;

- ensure learners are not disadvantaged by the assessment and moderation process;
- provide organisations with consent to assess with constructive feedback.

Integral to all principles of best practice moderation are the relevant skills and experience of the participants within the moderation system. Competenz will provide ongoing professional advice in support of its standards. Organisations with consent to assess will be given help to benchmark their assessments against the rest of the sector through moderation processes.

Further advice about assessment or moderation of Competenz standards can be sought from Competenz, while advice about general aspects of assessment or moderation can be sought from NZQA.

### National External Moderation Activities

The key focus for the national external moderation system is to ensure that assessment decisions of TEOs, schools, and other organisations with consent to assess are consistent with the national standard. Organisations with consent to assess must engage with Competenz in moderation activities. Competenz is responsible for ensuring that the national external moderation system is manageable, supportive, and cost effective for users.

### Moderation process

Every year Competenz will publish an annual moderation plan in accordance with NZQA requirements. The moderation plan identifies standards that will be selected for moderation and the processes that will be used to engage with organisations with consent to assess. This information is made available to all organisations in January each year on the Competenz web site.

The moderation activities that Competenz may use include:

- pre-assessment moderation of resources and assessment guides;
- post-assessment moderation;
- moderation workshops;
- peer moderation;
- observed moderation.

Competenz may agree to alternative approaches to moderation with organisations presenting innovative situations where usual methods of moderation are less likely to achieve the desired outcome.

### Pre-assessment moderation

Organisations with consent to assess who develop their own assessment materials for Competenz' standards must ensure that materials have undergone pre-assessment moderation in accordance with their internal moderation system prior to submission to Competenz for approval. The assessment materials must also be submitted to Competenz for pre-assessment moderation and approval before they

are used. Assessment material submitted for pre-assessment moderation is allocated to a Competenz-registered moderator who has industry-specific moderation capability. The material is evaluated and a report is provided to the organisation seeking approval.

Competenz requires all Approved Prior Learning (APL), Recognition of Current Competence (RCC), or similar accelerated assessment processes developed by organisations using Competenz standards to undergo pre-assessment moderation and approval by Competenz.

Assessment tools must cover the outcomes of any Competenz standards that are used. Developers should consult with the Competenz Quality Assurance team in the development of such processes.

Competenz is supportive of innovation and good instructional design in organisation-developed resources. Material submitted for pre-assessment moderation will be received in confidence and treated in a manner that respects the owners' intellectual property. Competenz reserves the right to charge for this service. Charges are set out in Competenz' funding schedule on its web site and in the Funding section of this CMR.

Competenz is available to discuss moderation with any organisation and provide the direct assistance of a moderator if required.

In many instances, Competenz has assessment and training resources available for organisations to use that have undergone pre-assessment moderation and approval. These resources are user friendly and have been developed using the best principles of instructional design. There may be a charge for some resources and organisations should contact Competenz for further information on both resources and charges.

#### Post-assessment moderation

The Competenz Moderation Manager is responsible for ensuring that all requests for post-assessment moderation are complied with.

All organisations with consent to assess are required to participate in post-assessment moderation each year.

#### Post-assessment moderation process

Competenz will select standards for moderation based on the NZQA usage reports of assessments carried out by the organisation with consent to assess for the previous 12 months. Organisations will be notified of standards due for moderation in the first quarter of each year. Criteria for the selection of standards for the annual moderation schedule are based on:

- standards reported by organisations which recently gained consent to assess;
- standards reported by organisations that have recently changed ownership;
- standards involving high risk;



- high-use standards;
- new standards, or new versions;
- standards that have not been recently moderated;
- recommendations from Advisory Groups;
- recommendations from organisations with consent to assess;
- identified assessment problems.

Copies of original documents should be submitted whenever possible.

The level of moderation required and the selection of standards depends on a combination of:

- the total number of assessments being carried out by the organisation;
- the number of standards being assessed against by the organisation;
- the moderation history of the organisation;
- any other contributing quality assurance factors or requirements.

Assessment material required for moderation includes but is not limited to:

- assessment guides and completed schedules;
- evidence submitted by candidates, including completed workbooks, projects, photographs, or other forms of evidence. This evidence needs to include work which was assessed as:
  - clearly competent;
  - work requiring significant assessor judgement to establish whether competent (borderline); and
  - clearly not yet competent;
- questions and model answers;
- clear documentation of verification or attestation;
- any other supporting evidence deemed relevant.

### Moderation visits

Each year, Competenz may visit and review a sample of TEOs and schools with consent to assess. Visits may occur at the request of the organisation, or as a consequence of contractual arrangements where the provider is acting on behalf of Competenz. Competenz may also initiate visits where an organisation has experienced issues with moderation (see Non-compliance with moderation requirements section for details). Moderation visits may be charged for (see Funding section for details).

A site visit may include:

- sampling of assessment evidence;
- observation of assessment activity;
- discussion with the organisation with consent to assess on improvements to assessment practice.

Feedback will be provided by a report, for support and guidance purposes as well as to specify any actions required to bring about compliance with moderation requirements. This forms part of the organisation with consent to assess' overall moderation result for the year.

### Appointment of Moderators

Moderators are appointed for each industry sector by Competenz. They must be suitably qualified, meet the requirements set out by the relevant Competenz industry advisory group and hold Unit 11551, *Moderate assessment*. Moderators are required to participate in Competenz professional development and support as required. National External Moderation activities may include:

- writing moderation reports;
- undertaking visits arranged by Competenz or at the request of organisations with consent to assess;
- managing peer moderation.

### Moderation reports

Moderation reports will be sent to organisations within three weeks of a moderation event. Reports will include:

- a moderation outcome statement;
- an evaluation of the assessment material;
- an evaluation of evidence against the moderated standard(s);
- any remedial actions identified, including timeframes for their implementation.

### Confidentiality

Competenz and external moderators are required to ensure the security and confidentiality of assessment material and candidate work received for moderation. Competenz will return assessment materials back to the organisation with consent to assess once the moderation activities have concluded.

### Moderation Advice

For any issues arising out of assessment or moderation, organisations with consent to assess may contact:

Quality Assurance Manager  
Competenz  
PO Box 9005  
Newmarket  
Auckland 1149  
Telephone 0800 526 1800  
Fax 09 539 9899  
Email [QA @competenz.org.nz](mailto:QA@competenz.org.nz)

Each organisation with consent to assess should have a named person for moderation contact with Competenz.

## Reporting

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

Competenz also provides an annual report on the outcome of national external moderation activity to the Competenz leadership team and a summary of the findings is placed on the Competenz web site.

## Funding

Competenz funds its external moderation system from the National Moderation transfer from NZQA, fees charged to organisations with consent to assess, and industry contributions.

Competenz Fees Schedule Updated 2016		
Consent to Assess		
	Service	Fees
1.	For advising applicants preparing for consent to assess and/or moderation	\$75 per hour plus GST
2.	Administration fee	\$75 plus GST per application
3.	Evaluation of documentation	\$150 plus GST
4.	Evaluation of documentation and a consent to assess visit of up to one day	Consent to assess panellist \$400 per day plus GST
5.		\$200 per half day plus GST
6.	Advising a provider preparing for consent to assess	\$75 per hour plus "actual and reasonable" expenses
7.	Travel and accommodation	Reimbursement for "actual and reasonable" travel and accommodation expenses. Vehicle mileage as per the current IRD rate
		Charges are invoiced by Competenz directly to NZQA/ITPNZ as appropriate
Moderation		
1.	Moderation of documentation	\$75 per hour plus GST
2.	Moderation site visits	\$400 per day plus GST
3.	Additional time required for Moderation visit	\$200 per half day plus GST
4.	Travel and accommodation	Reimbursement for "actual and reasonable" travel and accommodation expenses.

		Vehicle mileage as per the current IRD rate
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The Fees Schedule is also published on the Competenz web site: (<http://www.competenz.org.nz/assets/Downloads/Consent-and-Moderation-Fees.pdf>).

### Non-compliance with moderation requirements

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

Where there are issues of non-compliance, Competenz in the first instance will try to resolve the matter directly with the organisation; this may include visits or additional moderation, which may incur charges. Where no action is taken by the organisation, they will be formally notified of non-compliance by letter in which it will be clearly stated what they must do to achieve compliance and the timeframe by which it must be achieved. Where an organisation persists in non-compliance, a recommendation will be made to NZQA.

Those selected for a visit as a result of non-compliance will be advised by letter prior to the moderation visit occurring and a suitable date for the visit will be negotiated. The purpose of the visit is to verify assessment practices, assessor decisions, and learner evidence in relation to practical unit standards at Level 2 or above.

### Appeals

If an organisation with consent to assess requires clarification of a moderation decision, an appeal may be made.

Organisations seeking to appeal a moderation decision should contact the Quality Assurance team at Competenz within three weeks of receiving the initial moderation decision. In the first instance, a Competenz Moderation Manager will review the decision and seek to resolve any issues. If the matter cannot be resolved, it will be referred to the Quality Assurance Manager for a final decision.

### DAS Registration Information

Process	Version	Date
Registration	1	September 1994
Revision	2	June 1998
Revision	3	December 2002
Review	4	September 2006
Review	5	April 2012
Review	6	April 2016

The next CMR review is planned to take place in 2020.

**Replacement Information**

<b>Replaced CMRs</b>	<b>Replacement CMRs</b>	<b>Date</b>
0005 v7	0013 v6	April 2016
0094 v3	0013 v6	April 2016
0134 v5	0013 v6 and 0030 v5	April 2016
0188 v2	0013 v6	April 2016

## **Appendix 1**

### **Requirements for Consent to Assess for the Competitive Systems and Practices domain**

Several industry training organisations (ITOs) have formed a Consortium and cooperated in the development of the standards classified in the domain referred to above. The domain contains Australian competency standards developed by the Manufacturing, Engineering and Related Services Industry Training Advisory Body (MERSITAB) that have been adapted for registration on the NZQF through development of cover sheets specifying NZQF data and any special notes relating to interpreting the standards in a New Zealand context.

Competenz has Standard Setting body (SSB) responsibility for the Competitive Systems and Practices (CSP) domain and represents the CSP consortium of ITOs on matters relating to development and quality assurance.

#### **Areas of shared responsibility**

Competenz may delegate involvement in consent to assess to one of the consortium member ITOs:

- MITO New Zealand Incorporated
- Primary Industry Training Organisation
- Building and Construction Industry Training Organisation
- The Skills Organisation
- NZ Marine and Composites Industry Training Organisation

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

The CSP context is defined as one in which a range of systematic manufacturing practice concepts and approaches has been adopted. It covers but is not limited to: lean manufacturing; agile manufacturing; monitoring and data gathering systems such as Systems Control and Data Acquisition (SCADA) software; Enterprise Resource Planning (ERP) systems; Manufacturing Resource Planning (MRP); and proprietary systems such as SAP, etc; statistical process control systems such as six sigma and three sigma; just in time (JIT), kanban and other pull-related manufacturing control systems; supply, value, and demand chain monitoring and analysis; and other continuous improvement systems. Competitive systems and practices should be interpreted to take into account the stage of implementation of CSP approaches, the enterprise's size and work organisation, culture, regulatory environment and manufacturing sector. Accreditation to deliver training and assessment against the CSP standards should be in relation to the above definition for competitive systems and practices.

## **MODERATION REQUIREMENTS (MR)**

A centrally coordinated national external moderation system has been set up by Competenz.

The moderation system will be managed in connection with the Australian quality assurance system so that an Australasian set of standards exists for the CSP domain. Through Competenz, the consortium and MERSITAB have agreed to develop assessment resources that align to both countries so that the standards have commonality.

### **Reporting**

Competenz will report to MERSITAB on the outcomes of moderation in New Zealand. It is intended this will lead to improvements in the Australian competency standards and in assessment resources.

For further information please contact:

Quality Assurance Manager  
Competenz  
PO Box 9005  
Newmarket  
Auckland 1149

Telephone    0800 526 1800  
Fax            09 539 9899  
Email         [QA@competenz.org.nz](mailto:QA@competenz.org.nz)

## **Appendix 2**

### **Requirements for Consent to Assess for the Printing domain**

There are specific requirements attached to gaining consent to assess in the printing domain. They are designed to give industry confidence that the credibility of its standards will be maintained.

This appendix sets out the requirements for gaining consent to assess for the printing domain that are in addition to those outlined in the main document.

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

##### Criterion 4      Student entry

The applicant organisation must have policies and procedures to ensure students are made aware of the colour vision requirements for some printing standards and are tested prior to enrolment for these standards.

Information on the colour vision policy, the Ishihara Test, and the standards affected can be obtained from Competenz.

For further information please contact:

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PO Box 9005  
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Auckland 1149

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Fax              09 539 9899  
Email            [QA@competenz.org.nz](mailto:QA@competenz.org.nz)



## Appendix 3

### Requirements for Consent to Assess for the Maritime subfield

There are specific requirements attached to gaining consent to assess in the *Maritime* subfield.

This appendix sets out the requirements for gaining consent to assess for the *Maritime* subfield which are in addition to those outlined in the main document.

The maritime training system is complex. There are two parallel training regimes: a qualifications licensing regime driven by the regulator, Maritime New Zealand, and a standards-based programme administered by Competenz. The first is curriculum and exam-based while the latter is competency-based. Competenz has been working with Maritime New Zealand, organisations with consent to assess, and the industry to bring about greater alignment between the two systems.

A full list of qualifications and licenses recognised by Maritime New Zealand can be found on their web site: <http://www.maritimenz.govt.nz>.

In addition to the information provided by Competenz, further information may be found about aspects of maritime legislation and training from the following web site: <http://www.maritimenz.govt.nz>.

Maritime New Zealand is the statutory body given power by the New Zealand government to ensure maritime 'Certificates of Competency' meet international standards.

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

##### Criterion 1 Development and evaluation of teaching programmes

The applicant organisation must have policies and procedures to ensure that the content of programmes developed meets the requirements of Maritime New Zealand under the following Regulations:

- a. The Masters, Mates, and Fishing Deckhands (Coastal, Fishing, and Restricted-Limit Ships) Qualification Regulations 1993 and Amendment.
- b. The Marine Engineers (Examination) Regulations 1993.
- c. The Masters and Mates (Foreign-Going and Coastal) Qualification Regulations 1993.
- d. The Shipping (Manning and Watchkeeping) Regulations 1986 and Amendments.

Until the above Regulations are replaced, the applicant organisation's assessment systems must comply with the Examination Regulations. Organisations must also comply with any subsequent legislative requirements specific to the maritime sector.

The applicant organisation must have policies and procedures to ensure that students are made aware of Maritime New Zealand requirements and definitions.

The requirement for **sea time** to meet statutory obligations is a separate requirement from sea time incurred as part of any learning qualification, although Maritime New Zealand may in some circumstances count sea time accrued.

For further information on this please refer to the Maritime New Zealand web site above.

#### Criterion 5 Student guidance and support systems

The applicant organisation must have policies and procedures to ensure that learners who undertake a programme in order to qualify for a National or New Zealand certificate in seamanship or any other maritime learning qualification are made aware of the difference between the New Zealand Qualifications Framework (NZQF) qualification and a Maritime New Zealand-issued 'Certificate of Competency'.

In addition, applicant organisations must have policies and procedures to ensure that learners are made aware that they need to comply with the provisions of being a 'fit and proper person' under Section 50 of the Maritime Transport Act 1994 before they can be granted or have renewed a 'Certificate of Competency' by Maritime New Zealand.

The applicant organisation must have policies and procedures to ensure that results of standards achieved are reported to NZQA and Competenz in order that validation, when necessary, can be provided to Maritime New Zealand for 'Certificate of Competency' purposes.

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## Appendix 4

### Requirements for Consent to Assess for the Fire Protection domains: *Fire Detection and Alarm Systems, Fire Protection Systems Technology, Passive Fire Protection and Fixed Fire Protection Systems*

There are specific requirements attached to gaining consent to assess in the fire protection domains. This is a small, highly-specialised sector in the New Zealand economy.

This appendix sets out the requirements for gaining consent to assess for the fire protection domains that are in addition to those outlined in the main document.

Fire protection is impacted by specific regulatory requirements. Details of these are provided in relevant *Fire Protection* standards. Further information can be obtained from the following source:

Department of Building and Housing compliance documents for the New Zealand Building Code (compliance documents). Available at <http://www.dbh.govt.nz/building-code-compliance-documents>

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

##### Criterion 1 Development and evaluation of teaching programmes

The applicant organisation must have policies and procedures to ensure that the content of the programmes developed takes account of input from the fire protection industry and the Fire Protection Association.

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

The applicant organisation must have policies and procedures to ensure that teaching staff have knowledge and experience gained from at least 5 years working in the fire protection industry within the last 10 years.

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

The applicant organisation must have policies and procedures to ensure that learners are fully informed of relevant regulatory requirements affecting fire protection activity.

For further information, please contact:

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## Appendix 5

### Requirements for Consent to Assess for Forklift Training unit standards 10851 and 10852

Competenz monitors and supports all forklift trainers on behalf of the Ministry of Business, Innovation and Employment (MBIE). MBIE has a special interest in maintaining and lifting safety standards surrounding forklift training and use. Under an arrangement with MBIE, Competenz certifies and registers all forklift trainers nationally, and maintains a publicly accessible register of all certified forklift trainers within New Zealand.

WorkSafe New Zealand involvement is required in the evaluation of applications for consent to assess against Forklift unit standards 10851 and 10852. Compliance with Health and Safety in Employment legislation is also required in the teaching and assessment of the Forklift unit standards.

Criterion 1 Development and evaluation of teaching programmes

DoL requirements for resources to support training

Applicant organisations are required to have policies and procedures to ensure the requirements of the *Approved Code of Practice for Training Operators and Instructors of Powered Industrial Lift Trucks* are met. For compliance with MBIE requirements, training course content is reviewed against the *Code*, which can be accessed on the WorkSafe New Zealand web site at: <http://www.business.govt.nz/worksafe/information-guidance/all-guidance-items/acop-forklifts/forklift-acop-pdf>.

Competenz has produced resource material packages to support both the training delivery and learning. Workbooks also help trainees toward achievement of the four NZQA unit standards required by forklift operators.

The forklift operator training resources available from Competenz include assessment resources for assessing trainee operators against Unit 10851, *Operate a powered industrial lift truck (forklift)*.

The resources also provide an introduction to and guidance for beginning the collection of evidence towards assessment against Unit 10852, *Operate a powered industrial lift truck (forklift) fitted with attachments*.

Applicant organisations may choose to develop their own training resources, however, to meet MBIE requirements; these must undergo evaluation and approval by Competenz prior to use.

Criterion 3 Staff selection, appraisal and development

An applicant organisation must have policies and procedures to ensure a registered forklift trainer is employed or contracted for delivery of training towards or assessment against standards 10851 and 10852.

## National Forklift Trainer Register

There is a process for an individual to register as an approved forklift trainer. The latest Register of all forklift trainers from around New Zealand can be found on the Competenz web site. The process for individuals to become registered as approved trainers is outlined at: <http://www.competenz.org.nz/employers/forklifts/>.

MBIE requires Competenz to review all applications from people in industry wanting to become a registered forklift trainer to train employees within their own workplace, or to act as an independent trainer and train employees within multiple companies.

### **For more information contact:**

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