

# CONSENT AND MODERATION REQUIREMENTS (CMR) for NZQA Adult Education and Training, and Generic Education and Training

(version 5)

## Contact

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## Education > Adult Education and Training

Domain	Standard IDs
Adult Literacy and Numeracy Education	29622-29632
Delivery of Adult Education and Training	7091, 7095-7097, 7102, 7106, 7108, 7110, 7114, 7115, 19444, 21981, 21982, 26009, 29690-29692
Design and Development of Adult Education and Training	7093, 7094, 7103-7105, 20470, 29689
Evaluation in Adult Education and Training	7098, 7099, 7113, 20469
Management of Adult Education and Training	7092, 7100, 7109, 7112, 30427

## Education > Generic Education and Training

Domain	Standard IDs
Assessment of Learning	4098, 11280, 11281, 11551, 11552, 18203, 26171, 26172, 29693, 30421-30426
Open, Flexible, and Networked Learning	10472, 25779-25781
Research in Education	9186, 9188, 9189, 9192

## 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**

Levels 4 - 7                  Evaluation of documentation and visit by NZQA and industry.

### **Visit waiver conditions**

Participation in a visit as part of the consent to assess process may be waived in the following circumstances:

- when the applicant organisation's history of teaching towards, and assessment against, other unit standards of a similar nature is well established and known to NZQA National Qualifications Services; or
- where an organisation is seeking to extend an existing consent to assess and has a successful record of delivery; or
- other reasons agreed to on a case-by-case basis between the applicant organisation and NZQA Qualifications Services.

### **Areas of shared responsibility**

None.

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

NZQA National Qualifications Services (NQS) may choose to charge reasonable fees for their involvement in granting consent to assess. Contact NQS 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

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

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

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

Criterion 3      Staff selection, appraisal and development

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

Criterion 4      Student entry

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

Criterion 5      Student guidance and support systems

Students have adequate access to appropriate guidance and support systems.

Criterion 6      Off-site practical or work-based components

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

Criterion 7      Assessment

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

Criterion 8      Reporting

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

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

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

Criterion 1      Development and evaluation of teaching programmes

The applicant organisation must have policies and procedures for the development, delivery and evaluation of teaching programmes to ensure that:

- recognised good practice and current research from authoritative sources informs programme development
- relevant stakeholders are involved in programme development, delivery and evaluation including appropriately experienced personnel, learners and consumers, and Māori and/or other cultural and/or ethnic groups if relevant to the organisation's community and/or programme

- feedback from learners once they have applied their learning is obtained and used to inform the development of future programmes.

These requirements are designed to ensure current research, industry and community expertise and the post-participatory experiences of the learner, inform adult education and training programmes.

Where Māori are the learners, the applicant organisation must have policies and procedures for the development and evaluation of teaching programmes to ensure that:

- Māori pedagogy is accommodated in terms of Māori teaching styles, language, culture and spirituality
- the Māori community is involved
- the teaching resources are culturally authentic and appropriate
- a holistic and integrated approach to programme design, delivery and assessment is used.

## Criterion 2 Financial, administrative and physical resources

### Physical resources

The applicant organisation must have policies and procedures to ensure that appropriate facilities and resources to deliver programmes of adult education and training are provided.

It is expected that there will be a wide variety of contexts for the delivery of these programmes and the extent of the programmes will vary widely, with some assessing against a small number of unit standards, and others assessing against a large number. The facilities of the applicant organisation must be appropriate to the overall context of the application and programmes offered by the applicant organisation.

In a situation where the applicant organisation uses premises other than its own for delivering programmes of education and training, arrangements for the provision of appropriate resources must be formalised in a written agreement.

The applicant organisation must have policies and procedures to ensure that staff and learners have access to research materials including journal databases and hard or soft copy books and media.

## Criterion 3 Staff selection, appraisal and development

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

- staff assessing against standards are qualified at least at a level higher than the level of the unit standard(s) they assess against. They must also either have obtained credit for the unit standards they will assess against, or are able to demonstrate equivalent knowledge and skills.
- staff involved in assessing against standards are trained in standards-based assessment. They must either have obtained credit for Assessment of Learning: Unit 4098, *Use standards to assess candidate performance*, or Unit 30421, *Carry out assessments against standards to make judgements of learner performance*,

Unit 11551, *Quality assure assessment* and Unit 11552, *Design and evaluate assessment materials*; or are able to demonstrate equivalent knowledge and skills.

- teaching staff hold, or are working towards, a qualification in adult education and training or are able to demonstrate equivalent knowledge and skills.
- staff involved in assessment are involved in ongoing professional development related to education, especially study towards the *New Zealand Certificate in Assessment Practice (Level 4)* [Ref: 2752].

#### Domain *Adult Literacy and Numeracy Education*:

The applicant organisation must have policies and procedures to ensure that staff engaged in teaching and assessment hold a qualification at Level 5 or above relevant to adult literacy and numeracy education, or are able to demonstrate equivalent knowledge and skills.

The applicant organisation must have policies and procedures to ensure that staff engaged in teaching and assessment of programmes that include assessment against standards 29622, 29628 and 29629 are able to demonstrate a comprehensive knowledge of Māori teaching methods and learning strategies.

#### Domain *Research in Education*:

The applicant organisation must have policies and procedures to ensure that staff engaged in teaching and assessment maintain knowledge of current research developments and are engaged in research relevant to education.

#### 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 standards being awarded.

#### Other

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

- internal pre-assessment moderation of assessment materials is undertaken
- candidates' evidence (including both achieved and not achieved examples) is available for internal post-assessment moderation.

#### **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

NZQA National Qualifications Services 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 NZQA.

## Introduction

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

NZQA manages moderation systems for TEOs assessing against the standards covered by this CMR.

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Monitoring and Assessment

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## Moderation System

National external moderation systems are developed to ensure that assessment decisions in relation to assessment standards are consistent nationally.

Feedback from national external moderation contributes to standard-setting and to improvements in assessment practice and outcomes for learners.

## Responsibilities

Two NZQA business units share the responsibility for national external moderation for the standards covered by this CMR.

The Assessment and Moderation business unit is responsible for producing and quality assuring moderation reports.

The Monitoring and Assessment team is responsible for establishing and monitoring annual moderation plans with TEOs. Final accountability and decision-making rests at management level.

### *Moderators*

NZQA appoints or contracts moderators, selected for their assessment and curriculum or subject expertise, to carry out the national external moderation of assessor decisions and assessment materials and to complete a moderation report for each moderated standard.

Each moderation system has a National Moderator whose role includes providing leadership in the interpretation of standards and monitoring consistency of moderator decisions in their system.

### *Liaison with NZQA*

Each TEO must appoint a Moderation Liaison who will be responsible for ensuring their organisation engages in national external moderation of NZQA-managed standards.

### *Meeting national external moderation requirements*

TEOs meet national external moderation requirements when they:

- provide an assessment plan for the year that fully reflects the organisation's assessment intentions
- meet moderation deadlines
- provide assessment materials and make assessor judgements that are fair and valid
- provide assessment materials that reflect the requirements of the standard.

It is the responsibility of TEOs with consent to assess and intending to assess against these standards to contact NZQA so that national external moderation of assessments can be arranged. All TEOs with new consent to assess or change of scope must contact Monitoring and Assessment to advise when assessment against standards covered by this CMR will commence.

### Assessment plan

TEOs are required to submit an assessment plan that captures the organisation's assessment intentions. On an annual basis (usually in November), Monitoring and Assessment requests an assessment plan identifying standards the TEO is likely to be assessed and/or reporting credit during the next academic (usually calendar) year. TEOs may request, on their assessment plan, that particular standards or groups of standards be selected for moderation in that year.

### Moderation plan

The moderation plan, created from the assessment plan, lists the sample of standards selected by NZQA for moderation in the academic year.

The moderation plan includes a submission date(s) (the date by when materials must be submitted to the moderator, although materials may be submitted prior to this date). TEOs may negotiate changes to the moderation plan if standards selected for moderation will not be assessed by the submission date.

Moderation plans for the relevant academic year are available online through the organisation's provider login at <http://www.nzqa.govt.nz/login>.

#### *Selecting standards for moderation*

For TEOs, the selection of standards depends on a combination of factors, which include:

- the amount of assessment being carried out;
- the range of moderation systems from which standards are being assessed;
- the number of standards being assessed within those moderation systems;
- risk factors, such as health and safety;
- any other contributing quality assurance considerations (for example, moderation results history or ongoing non-compliance) or requirements (for example, additional moderation).

#### *Submission date*

The submission date is the date by when materials must be submitted to the moderator. TEO submission dates are usually between June and November.

Detailed information for TEOs about assessment and moderation plans is available in the *National External Moderation Manual for TEOs*, published on the [NZQA website](#).

#### *How moderation occurs*

National External Moderation is carried out online, generally by individual moderators, and is usually post-assessment i.e. approval of assessment material and the review of assessor judgements are completed simultaneously after assessment has occurred.

Guidance on how to submit material for external moderation is available on the NZQA [website](#).

The focus of moderation is on assessor decisions. NZQA may not moderate assessment materials, particularly where assessor decisions in relation to assessment standards are nationally consistent.

#### *Pre-assessment moderation*

NZQA recognises the academic autonomy of organisations with consent to assess to use self-developed assessment materials. Pre-assessment moderation by NZQA of assessment materials is not usually required. Situations in which pre-assessment moderation may be requested include:

- newly registered standards which include health and safety components that present a potential risk if not validly assessed
- organisations with consent to assess where issues have been identified around their capability to develop valid assessment material.

#### *On-site moderation*

An on-site verification visit may occur to observe and verify assessor decisions for standards which contain practical components. Moderation visits are carried out by moderators. An NZQA staff member may also be in attendance. TEOs will be notified if an on-site visit is part of the moderation process. The timing of the visit will



be at a time mutually agreed between the organisation with consent to assess and NZQA.

### **Materials required for moderation**

Materials submitted for moderation must include:

- the assessment tool or assessment activity or instructions given to the learner (learner evidence guide)
- an assessment schedule (that includes evidence and judgement statements)
- samples of assessed learner work.

The assessor decisions for each sample of learner work must be clearly identified. Individual learners must be clearly identified where the learner is part of a group performance.

#### *Learner samples*

Learner samples must be a complete sample for each individual learner, rather than composite samples.

TEOs are required to submit:

- eight samples of learner work for standards for which more than one grade is available (i.e. achieved, merit and excellence)
- three samples of learner work for standards for which the only available grade is achieved.

For standards for which more than one grade is available, the sample submitted by each TEO must include assessed work for each grade awarded. The majority of samples must be 'achieved' or higher and any 'not achieved' samples must be borderline.

### **Reporting**

#### *Moderation reports*

Moderation reports include feedback on assessor judgements and may include feedback on assessment materials.

Moderation reports are uploaded to the TEO's homepage on the NZQA website - <http://www.nzqa.govt.nz/login>. For postal moderation submissions, moderated assessment materials and learner samples are returned to the TEO.

#### *Annual summary of moderation outcomes*

An annual *summary* is sent to Quality Assurance Contact and Moderation Liaison at the end of the moderation cycle. The summary will detail what actions, if any, are required to address issues identified by moderation (See *Non-compliance with moderation requirements* below).

#### *Querying moderation reports*

TEOs unclear about the meaning of comments in a moderation report may lodge a query with the moderator. Guidance is available on the [NZQA website](#).

### *Feedback on the national external moderation system*

TEOs with consent to assess may provide NZQA with feedback on the national external moderation system at any time. NZQA will evaluate the moderation system at least every three years, with feedback sought from participants as to its effectiveness and efficiency. Where significant changes are made, NZQA will revise the CMR's MR to reflect the changes. Information about significant changes to the MR will be promulgated on the NZQA website. Minor changes to the management of the moderation system will be communicated to TEOs through the TEO Guidelines.

## **Funding**

Costs associated with establishing and centrally managing the national external moderation system will be funded by NZQA. This funding excludes NZQA Best Practice Workshops. Please refer to the NZQA website for the costs relating to this service. If moderators are required to provide additional support to organisations with consent to assess, this will be charged at \$190/hr (GST excl.).

NZQA may charge for any additional activities required by them to address issues identified through moderation or other non-compliance with national external moderation requirements (for example, non-submission of assessment material and/or candidate samples). These activities (such as pre-assessment moderation, additional moderation, on-site moderation, assessment practice reviews, and visits to TEOs to discuss assessment or moderation issues) will be charged at \$190/hr (GST excl.)

## **Non-compliance with moderation requirements**

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

When a TEO is non-compliant, follow-up action will normally be initiated by the Monitoring and Assessment Evaluator.

### *Ongoing non-compliance*

Where non-compliance continues, actions that may be taken by NZQA business units may include but are not limited to:

- request for revised assessment materials (and associated learner samples) to be submitted for moderation
- request for an action plan to address identified issues
- additional targeted moderation in the system(s) in which non-compliance has been identified, which may include NZQA nominating specific learner samples to be submitted
- additional moderation in the systems other than those in which non-compliance has been identified, which may include NZQA nominating specific learner samples to be submitted
- focused reviews of assessment practice
- imposing a condition on the organisation's Consent to Assess.

Further information about non-compliance with National External Moderation requirements is available on the [NZQA website](#).

## Appeals

### *Appealing moderation decisions*

An appeal process is in place for occasions when an organisation disagrees with a moderator's decisions. Guidance is available on the [NZQA website](#).

The outcome of the appeal is final.

## DAS Registration Information

Process	Version	Date
Registration	1	May 1996
Revision	2	October 2001
Revision	3	March 2006
Review	4	May 2012
Review	5	October 2019

The next CMR review is planned to take place during 2024.