

# CONSENT AND MODERATION REQUIREMENTS (CMR)

## for NZQA Inclusive Education

(version 6)

From the 4<sup>th</sup> October 2021 these standards will be managed by a WDC. Please contact the relevant WDC if you have any questions.

### Notes:

The WDCs will not be charging for any external moderation activities.

The CMRs will be fully updated by the WDCs over the coming months.

### Contact

Toitū te Waiora - Community, Health, Education, and Social Services WDC

**Email** [qualifications@toitutewaiora.nz](mailto:qualifications@toitutewaiora.nz)

**Website** [toitutewaiora.nz](http://toitutewaiora.nz)

### Education > Inclusive Education

Domain	Standard IDs
Inclusive Education Intervention and Support	7289, 21224, 31905, 31906
Inclusive Education Practice	7299, 7310, 9144, 31907, 31999

### 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 3 and above	Evaluation of documentation and visit by NZQA, industry and teaching professional in the same field from another provider.
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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.

## 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 known to NZQA National Qualifications Services; or
- where an accredited 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 National Qualifications Services.

Industry involvement in a visit is required if:

- a new application is being made
- results of national external moderation are unsatisfactory
- results of external evaluation and review for the applicant organisation are unsatisfactory
- documentation supplied in support of the application raises concerns.

## Areas of shared responsibility

None.

## 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**

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

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

- recognised good practice and current research from authoritative sources informs programme development and evaluation
- relevant stakeholders are involved 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 graduates 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 inclusive education programme development and evaluation.

Where Māori are the learners, the applicant organisation must have policies and procedures 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 development and evaluation is used.

### 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 standard(s) they assess against. They must also either have obtained credit for the 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 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*, or are able to demonstrate equivalent knowledge and skills;
- staff involved in moderation of standards must have obtained credit for Assessment of Learning: Unit 11551, *Quality assure assessment*, or are able to demonstrate equivalent knowledge and skills;
- staff involved in assessment design for standards must have obtained credit for Assessment of Learning: Unit 11552, *Design and evaluate assessment materials*; or are able to demonstrate equivalent knowledge and skills;
- teaching staff hold a qualification in adult education and training (or are working towards one), a teaching qualification, or are able to demonstrate equivalent knowledge and skills;
- staff involved in assessment are involved in ongoing professional development related to inclusive education.

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

The applicant organisation must ensure that arrangements with providers of off-site practical or work-based components are formalised in writing, and responsibilities for assessment, student progress, credit reporting, health and safety and support for learners are specified.

### **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.

TEOs contact:

Monitoring and Assessment

Email:

[qaadmin@nzqa.govt.nz](mailto:qaadmin@nzqa.govt.nz)

Telephone:

04 463 3000

### 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. 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 assessing 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 also 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**

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 Guidelines 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.

#### *Kāhui or fono*

For some moderation systems, mainly in Field Māori or Pasifika, moderation occurs through kāhui or fono. At these meetings moderators moderate submitted assessment materials and learner samples concurrently. The systems for which moderation occurs through kāhui or fono will be confirmed annually by NZQA. The submission date for these systems may be different to the overall submission date shown on the moderation plan. In these cases, the kāhui or fono submission date will be identified on the moderation plan.

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 moderation 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 the 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's website. Minor changes to the management of the moderation system will be communicated 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 the QAAM™ process and NZQA Best Practice Workshops. Please refer to the NZQA website for the costs relating to these services. 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 learner samples). These activities (such as pre-assessment moderation, additional moderation, on-site moderation, assessment practice reviews, and visits to discuss assessment or moderation issues) will be charged at \$190.00 /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 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 for TEOs 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	June 1996
Revision	2	July 1999
Revision	3	October 2001
Revision	4	March 2009
Review	5	May 2013
Review	6	September 2019

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