

CONSENT AND MODERATION REQUIREMENTS (CMR)

for Blaster Coating, Drilling Industry, Extractive Industries, Gas Industry, Hot Dip Galvanizing, Metalliferous Mining, Petrochemical Industry, Resource Recovery, and Solid Waste

(version 8)

From the 4th 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

Hanga-Aro-Rau Manufacturing, Engineering, and Logistics WDC

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Engineering and Technology > Extractive Industries

Domain	Standard IDs
Extractive Industries Management	7142-7144, 8902, 8903, 8905, 8922, 15247, 16686, 16687, 16697, 17691-17695, 17743, 17744, 17979, 17980, 17982, 17984-17986, 17989, 17991, 17992, 19737, 19738, 20333, 21151, 21152, 21155, 21156, 21629, 21661, 22056, 22057, 23546, 23550, 23648-23650, 25876, 25877, 25879, 25880, 26855, 28793, 29087, 30902-30905, 31092
Surface Extraction	8891-8893, 8895, 8900, 8901, 8904, 8906, 8907, 8909, 8914, 8915, 8917, 14868, 14870, 15663-15665, 16689, 16690, 16694, 17696, 17697, 17699, 17700, 17981, 17983, 17988, 17990, 17993, 19734-19736, 21153, 21154, 21632, 22058-22060, 22345, 22346, 27238-27241, 30901
Underground Extraction	7145, 7146, 7151, 7164, 7165, 15662, 15666, 15669, 17705, 17741, 19863, 21278, 21280, 21281, 21662, 21821, 30899, 30900

Engineering and Technology > Metalliferous Mining

Domain	Standard IDs
Metalliferous Mining - Operations	24477

Service Sector > Resource Recovery

Domain	Standard IDs
Resource Recovery Operations	28746

Requirements for Consent to Assess (RCA)

Introduction

The purpose of the Requirements for Consent to Assess (RCA) is to set out the nature of the process for granting consent to assess and involvement of the standard setting body (SSB) and others in the process, and to set out the SSB's industry or sector-specific requirements for a tertiary education organisation (TEO)¹ or school's quality systems in relation to the gazetted "criteria for accreditation".

Standard Setting Body involvement in process for granting consent to assess

Levels 1 and 2	Evaluation of documentation by NZQA and industry.
Level 3 and above:	Evaluation of documentation and visit by NZQA and industry.

Visit waiver conditions

Industry involvement in a consent to assess visit may be waived:

- where an applicant organisation is seeking to extend existing consent to assess;
or
- where the application for consent to assess has been developed in consultation with MITO and, where applicable, NZ Transport Agency endorsement has been obtained;
or
- when the applicant organisation's history of training and assessing against unit standards of a similar nature is well known to MITO;
or
- for other special reasons agreed on a case-by-case basis between the applicant organisation, MITO and NZQA.

Applicant organisations must provide satisfactory evidence of their capability to effectively manage, deliver, and assess against the unit standards before a waiver will be granted.

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

Areas of shared responsibility

Driver licensing and endorsement unit standards

MITO will invite the NZ Transport Agency to participate in the evaluation of documentation and site visits where the unit standards incorporated in the consent to assess application include driver licence and driver licence endorsement unit standards, and the purpose of the assessment is to issue a licence or endorsement.

Unit standards 8638 and 18138

Where consent to assess is sought for unit standards 8638 and 18138 as part of an application for Snowsport training and assessment, CMR 0050 applies. In all other instances this CMR applies.

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

The SSB may choose to charge 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

MITO recognises that an applicant organisation may enter into sub-contracting or collaborative arrangements for the delivery of training that involves assessment against unit standards. In these instances a formal written agreement is required. The responsibilities of both parties for teaching, training, assessment, moderation, student welfare and reporting of results must be itemised in writing and a copy of the agreement made available to MITO on request. The agreement must identify currency of arrangements.

Applicant organisations must intend to assess against all the unit standards included in an application for consent to assess, and this intention must be documented when seeking support from MITO for the application.

Criterion 1 Development and evaluation of teaching programmes

The applicant organisation must have policies and procedures to ensure that students are provided with integrated teaching programmes based on learning strategies, resources, and assessment activities that will enable them to meet the requirements of the standards and qualifications being offered; and to ensure that:

- all training programmes state specific expected outcomes
- training programmes are regularly, and at least annually, evaluated against the requirements of the currently registered unit standards and qualifications, and adjusted if necessary to meet the requirements of the latest version
- formal advisory links with industry are maintained and used to source expertise and guidance on current industry practice, including advice on the development and review of training programmes
- the development of new training programmes includes:
 - a description of who the programme is aimed at
 - evidence of market research identifying the need and demand for the proposed programme
 - details of how embedded literacy and numeracy will be taken into account in developing the proposed programme and learning resources
 - details of how the learner profile and industry feedback have been taken into account in developing the proposed programme.
- all the requirements of the unit standards in the programme are met including explanatory notes requirements, specified assessment conditions, and all health and safety requirements.

Applicant organisations must have policies and procedures to ensure that NZ Transport Agency requirements are met for unit standards that are associated with an organisations' NZ Transport Agency Approved Course Provider status.

Criterion 2 Financial, administrative and physical resources

The applicant organisation must have policies and procedures to ensure:

- the organisation has, or has access to, the necessary equipment and resources for training and assessment against the unit standards in the consent to assess scope

- that current copies of relevant legislation, regulations, handbooks, and manuals are available in relation to the unit standards for which consent to assess is sought
- adequate first aid facilities are available at the location of training and assessment
- that training and assessment against unit standards which require personal protective equipment will only be undertaken where personal protective equipment is used.
- the safety of students and staff. On and off-site work, training and assessment areas and procedures must meet the requirements of the Health and Safety in Employment Act 1992 and all other relevant safety guidelines and regulations when providing training or assessment. The applicant organisation must show evidence of their capacity to meet these regulations and guidelines; for example, documented safety procedures, advice to students regarding hazards, and reporting procedures.
- for unit standards 1753 and 1754, appropriate equipment is available for the loading and unloading of vehicles, including those with hazardous substances markings, and for load securing items and load covers that are required by the unit standards concerned.

Training and assessment against unit standards which involve skills being demonstrated in a port environment, can only be carried out where there is documented proof of access to a port environment. This must include evidence that the applicant organisation can meet the organisational policies and procedures of the port company which granted the access.

Training and assessment against unit standards which involve skills being demonstrated in a vehicle, on a vessel, with a crane or other specified equipment, can only be carried out where there is access to appropriately certified vehicles, vessels, cranes, and equipment and where the trainers and assessors hold appropriate certification including the appropriate driver licence or licence endorsements.

Criterion 3 Staff selection, appraisal and development

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

- all assessing staff hold Unit Standard 4098, *Use standards to assess candidate performance*, or are able to demonstrate equivalent knowledge and skills
- all teaching and training staff must hold an appropriate teaching qualification, and/or Unit 7114, *Coach adult learner(s)*, or are able to demonstrate equivalent knowledge and skills
- teaching, training and/or assessing staff hold the qualifications or unit standards they are training and/or assessing against, or are able to demonstrate equivalent knowledge and skills
- ongoing professional development is undertaken by teachers, trainers and assessors
- teachers, trainers and assessors will maintain regular contact with industry and keep up-to-date with relevant technological advances, industry best practice, and legislative changes
- for the automotive sector:

- staff teaching, training and/or assessing against unit standards up to Level 2 must hold a New Zealand Trade Certificate, or a National Certificate at Level 3 or above, or an equivalent qualification, which is relevant to the unit standards the staff member is training and/or assessing against
- staff teaching, training and/or assessing against unit standards at Level 3 must hold a New Zealand Trade Certificate, or a National Certificate at Level 4 or above, or an equivalent qualification, which is relevant to the unit standards the staff member is training and/or assessing against
- staff teaching, training and/or assessing against unit standards at Level 4 or above must either:
 - hold a New Zealand Advanced Trade Certificate, or an 'A' Grade Registration, which is relevant to the unit standards the staff member is training and/or assessing against
- or
 - hold the National Certificate in Motor Industry (Advanced Technical) (Level 5) with strands in Automotive Electrical and Mechanical, and Collision Repair [Ref: 1143], with whichever strand is relevant to the unit standards the staff member is training and/or assessing against
- or
 - hold a New Zealand Trade Certificate, or a National Certificate at Level 4 or above, or an equivalent qualification, which is relevant to the unit standards the staff member is training and/or assessing against, and have a minimum of five years industry experience in a role that requires skills and knowledge in the same subject matter as the unit standards they are training and/or assessing against.
- for the *Heavy Haulage* domain, training and assessing staff are suitably qualified in order to meet the New Zealand Transport Agency compliance standards required by these unit standards, and to ensure the safety of all road users. This may be evidenced by one of:
 - current (within the last two years) operational experience working in the field as an operator in the road transportation of overweight and overdimension loads;
 - five or more years' experience in the heavy haulage industry with employer verification of operational experience;
- and
 - New Zealand Heavy Haulage Association endorsement
 - New Zealand Transport Agency endorsements may also be required.
- For the Drilling, Extractives and Metalliferous Mining industries, trainers and assessors must:
 - hold the unit standards they are training and assessing against on their NZQA Record of Achievement (ROA), or hold MITO-approved equivalent standards (e.g. Australian units of competency)
 - have currency of experience relevant to the unit standards they are training and assessing against.

Criterion 4 Student entry

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

- entry requirements conform to those set out in the unit standards and qualifications
- student entry records are kept and maintained
- students' English language skills are sufficient for them to understand all requirements, instructions and communications (oral, written, and graphic) necessary for compliance with industry-related regulations, and health and safety requirements.
- communication skills, literacy and numeracy skills and physical abilities match the requirements of the relevant unit standards and qualifications.

Criterion 5 Student guidance and support systems

The applicant organisation must have policies and procedures to ensure that all students enrolled in distance learning programmes or involved in on-job training have access to, and regular contact with, a tutor and assessor.

Criterion 6 Off-site practical or work-based components

The applicant organisation must have policies and procedures for off-site or work-based training which ensure that:

- the equipment, resources, and workplace environments are sufficient to meet student numbers and the practical assessment requirements for the unit standards
- the nature of the work undertaken relates to the range of work indicated in the relevant unit standards and involves the use of specified equipment
- the responsibilities of the applicant organisation and the workplace organisation are detailed and confirmed in a written contract between the applicant organisation and the workplace organisation. The written contract must detail the responsibilities for, and the method of:
 - instruction, assessment, tracking and reporting for all practical training and assessment
 - gathering information from the off-site trainer that allows the applicant organisation to make accurate progress and assessment judgements
 - ensuring safe working environments for the students
 - providing support mechanisms to both the trainee and the off-site trainer for the duration of the training is developed
- the frequency of student attendance is agreed, and student names and attendance recorded.

For the *Heavy Haulage* domain:

The applicant organisation must have documented arrangements with a heavy haulage company to ensure that students have access to practical experience in an operational situation transporting overweight and overdimension loads by road.

For the *Stevedoring and Ports Industry* subfield:

The applicant organisation must have documented arrangements with a port company to ensure that students have access to practical experience in an operational situation where appropriate.

Criterion 7 Assessment

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

- specific requirements for assessment of identified high-risk unit standards and unit standards entailing joint assessment are met. Refer to Appendix 1.
- assessment provides for the integration of on-job and off-job assessment against the unit standards within a programme
- individual assessment needs of students and/or employers are identified
- current, quality assured assessment materials are used in the assessment process
- responsibilities for assessment are clearly understood and documented
- that all requirements for pre-assessment moderation are met (refer to Moderation Requirements (MR) for specific pre-assessment moderation requirements)
- Recognition of Current Competence (RCC) and other equivalency and competency mapping processes which result in the award of credit are consistent with the national standard; organisations must submit their assessment materials to MITO for pre-assessment moderation before conducting this assessment service.

Assessment materials for unit standards that state NZ Transport Agency involvement:

Where the purpose of the assessment is to issue a driver license class or endorsement, only assessment material that has been approved by the NZ Transport Agency and MITO may be used. Charges may apply. Where the outcome of the assessment is not for the purposes of driver license classes or endorsements, applicant organisations may develop their own assessment material (see pre-assessment moderation in the Moderation Requirements section).

Criterion 8 Reporting

The applicant organisation must have policies and procedures to comply with NZQA requirements for reporting credit.

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

MITO 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 MITO.

For the *Drilling Industry and Metalliferous Mining* subfields, the moderation system will be managed by MITO and outcomes reported to SkillsDMC in accordance with the MoU.

Introduction

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

MITO's Group Manager - Quality Standards is responsible for the appointment of the National Moderators and for the implementation, evaluation, and management of MITO's national external moderation system. MITO's Group Manager - Quality Standards is also responsible for contracting technical advice and/or additional moderation expertise as required. Contracting of additional moderation expertise will be based on moderation and/or assessment and/or industry experience, and knowledge of teaching programmes.

The National Moderators are responsible for coordinating and facilitating regional cluster group moderation meetings, carrying out postal moderation and site moderation visits, and for reporting moderation outcomes to the respective organisations with consent to assess.

Each organisation with consent to assess is responsible for meeting national external moderation requirements. The organisation must provide MITO with the name and contact details for the organisation's Moderation Contact. The Moderation Contact must not be an assessor, teacher or trainer for the organisation. All formal communication with the organisation in relation to MITO moderation will take place through the Moderation Contact.

Assessment intentions information

At the start of the calendar year, organisations with consent to assess will be requested to provide MITO with assessment intentions for the coming year.

Focus unit standards

At the start of the calendar year MITO will select unit standards that will be the focus of moderation for that year. Focus unit standards do not preclude the selection of other unit standards for pre- and/or post-assessment moderation as well as or instead of the focus unit standards.

Annual moderation plans

For each organisation with consent to assess, MITO will determine an annual moderation plan (AMP) for the year.

The moderation process may involve:

- pre-assessment moderation of samples of assessment material
- post-assessment moderation of samples of assessment material, candidate evidence, and assessor decisions
- a site moderation visit to observe assessment in practice and/or provide guidance and support.

Each organisation with consent to assess will be notified of their annual moderation plan, detailing the unit standards that will be moderated, the due dates, and the documentation that will need to be supplied on or before the due date, as well as information about cluster group meeting moderation and site visit moderation.

Selection, Training and Appointment of Moderators

MITO coordinates the selection, training, and contracting of moderators. Selection is based on subject or geographic need; and the individual's industry knowledge, industry experience, academic background, and standing in the industry.

Pre-assessment Moderation

MITO recognises the academic autonomy of organisations with consent to assess to develop their own assessment materials except where the outcome of the assessment is used to obtain a driver license class or endorsement, when only assessment material that has been approved by the NZ Transport Agency and MITO may be used.

All self-developed assessment material for unit standards in the blaster coating, drilling, extractives, gas, hot dip galvanizing, metalliferous mining, petrochemical, resource recovery, and solid waste industries must be submitted to MITO for pre-assessment moderation.

For the *Commercial Road Transport, Driving and Logistics, Ports and Stevedoring and Motor Industry* subfields, self-developed material for unit standards at level 3 and above must be submitted to MITO for pre-assessment moderation. MITO may request a sample of level 1-2 assessment materials for these sectors.

Other pre-assessment moderation requirements will be communicated to each organisation as necessary, including what material will need to be submitted, and the due dates.

A charge for pre-assessment moderation will apply. Current rates are available on request from MITO.

Post-assessment moderation

Post-assessment moderation requirements are set out in each organisation's AMP at the beginning of the year.

The requirements for post-assessment moderation for a provider may include:

- moderation during a site visit
- participation in a cluster group moderation meeting
- postal moderation (moderation of material submitted by post or email).

Material for post-assessment moderation is brought to regional cluster group meetings for peer moderation, or posted or emailed to the National Moderator(s).

Site Visit Moderation

A sample of organisations with consent to assess will be selected each year for on-site moderation visits. The selection of the organisations included in the sample will be based on the unit standards in the organisation's consent to assess, the level of current assessment activity, and moderation history.

The purpose of a moderation visit will be to monitor assessment procedures, follow up where the postal moderation process has identified assessment decisions that are not consistent with the national standard, and observe any practical assessments being undertaken by the organisation against unit standards for which MITO is the Standard Setting Body.

Cluster Group Meetings

Organisations with consent to assess that have reported credit for MITO standards in the previous year may be invited to attend a MITO cluster group moderation meeting during the year. Organisations invited to attend cluster group meetings are determined by industry sector.

Cluster group moderation meetings are regional and include provider, industry, and MITO representation.

Cluster group moderation meetings include peer moderation, and attendees are required to bring completed assessment material and candidate evidence (such as written work, photographs, and video) from assessments they have completed in the previous 12 months for moderation.

Reporting

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

The National Moderators will report annually to the Group Manager – Quality Standards on the effectiveness of the moderation system; including moderation statistics, outcomes of moderation, issues raised and resolutions. The report will be used by MITO to improve the effectiveness of the moderation system.

Organisations with consent to assess are encouraged to provide feedback to MITO on the effectiveness of the current moderation system, and the ability of MITO to service the system.

Funding

MITO will meet the costs of this moderation system through the National Moderation Transfer from NZQA; industry contributions; and any fees charged.

Organisations with consent to assess are responsible for the costs incurred in their participation in moderation, such as attendance at moderation meetings and the submission of materials.

Non-compliance with moderation requirements

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

Where there is non-compliance with moderation requirements, MITO will provide the organisation with consent to assess with written details of the non-compliance, the remedial action(s) that are required, and the timeframe in which the remedial action(s) must be completed.

Where non-compliance continues, the Chief Executive (CE) of MITO will meet with the non-compliant organisation. The CE will seek to establish, where possible with the agreement of the non-compliant organisation, the remedial action(s) required and the timeframe in which the remedial action(s) must be completed.

Where an organisation with consent to assess fails to achieve compliance within the specified timeframe MITO will advise NZQA and forward documented evidence of non-compliance to them.

MITO reserves the right to charge for 'actual and reasonable' travel and accommodation expenses related to the resolution of moderation non-compliances (vehicle mileage at Inland Revenue standard mileage rate for motor vehicles, available at <http://www.ird.govt.nz>).

Appeals

In the first instance an issue with a moderation outcome should be discussed with the National Moderator. If the issue is not resolved to the satisfaction of the organisation with consent to assess a formal appeal may be made to the Group Manager – Quality Standards.

The appeal must:

- be on the MITO Moderation Appeal Form, which may be obtained from the Quality Standards Co-ordinator using free phone 0800 88 21 21
- state that it is an appeal, and state the reason(s) for the appeal and/or the rationale for requesting that MITO change the moderation outcome.
- be received by MITO within 15 working days of the National Moderator sending out written notification of the moderation appeal outcome.

At the discretion of the Group Manager - Quality Standards, the above requirements may be waived.

Within 10 working days of the appeal being received by MITO the Group Manager - Quality Standards will:

- consider the appeal
- obtain technical advice and consult with other parties as necessary
- make a decision on the appeal of the moderation outcome
- send written notification of the outcome of the appeal to the appellant.

The outcome of the appeal may only be overturned through the formal complaints process. Contact the MITO Quality Standards Team on 0800 88 2121 for advice about the complaints procedure

DAS Registration Information

Process	Version	Date
Registration	1	August 1996
Revision	2	June 1999
Revision	3	January 2001
Review	4	June 2004
Review	5	November 2006
Revision	6	March 2008
Revision	7	June 2010
Review	8	September 2015

Appendix 1

High Risk Unit Standards – Joint Assessment (Extractives industries)

Joint assessment **must** be conducted in the assessment of the following unit standards:

7145	Design, establish and maintain an effective ventilation system in an underground mine
8918	Carry out shotfiring operations
8920	Design blasting layouts and carry out shotfiring in underground metalliferous mines
8921	Design blasting layouts and carry out shotfiring in underground coal mines
15662	Investigate and design a roof support system for underground mines and tunnels
17697	Design blasting layouts and carry out blasting operations for construction work
17705	Develop and maintain basic ventilation systems in underground mines and tunnels
21280	Demonstrate knowledge of and design an effective ventilation system in an underground mine
21281	Interpret and test for gases in an underground extraction site

To conduct a joint assessment, two assessors, or one assessor and one technical verifier, must have witnessed the student undertaking the tasks required in the unit standard and have come to the same conclusion in regards to the student being competent or not yet competent.

At least one assessor or verifier must hold the unit standard they are assessing on their NZQA Record of Learning.

A technical verifier must have the skills and experience to verify student competence in the assessment task requirements.

Both assessor stamps, or the assessor stamp and the technical verifier's name and signature, must appear on the MITO reporting form.