

# CONSENT AND MODERATION REQUIREMENTS (CMR) for Plastics Processing Technology

(version 5)

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

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

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

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

## Manufacturing > Coatings, Inks, and Adhesives

Domain	Standard IDs
Paint Manufacturing	20287, 20288, 20290-20292, 20294-20297, 26284, 26285, 29136-29140

## Manufacturing > Glass and Glazing

Domain	Standard IDs
Glass Container Manufacturing	18769, 18770, 18919, 18920, 18922, 23061-23073, 28564-28571, 29277

## Manufacturing > Plastics Processing Technology

Domain	Standard IDs
Plastics Fabrication	20655-20658

## Sciences > Home and Life Sciences

Domain	Standard IDs
Home and Life Sciences - Textile Technology	6685-6703, 16837

## 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.
- 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 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.

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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.

Level 5 and above Evaluation of documentation and visit by NZQA, industry, and a teaching professional in the same field from another organisation.

**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.*

### 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.

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.

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

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	March 1997
Revision	4	March 1997
Review	5	April 2016

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

Unit standards covered by this CMR will be moved to either CMR 0013 or CMR 0030 when they are next reviewed – see table below.

## Replacement Information

Replaced CMRs	Replacement CMRs	Date
0134 v5	0013 v6 and 0030 v5	April 2016