

CONSENT AND MODERATION REQUIREMENTS (CMR) for NZQA Early Childhood Education and Care [CMR 135]

(version 4)

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

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

Email qualifications@toitutewaiora.nz

Website toitutewaiora.nz

Education > Early Childhood Education and Care

Domain	Standard IDs
Early Childhood: Educational Theory and Practice	10013, 10019, 10026, 26707, 26708, 29852-29858, 29860, 29863-29866, 29872-29875, 29877, 29881, 32988-32991, 33034
Early Childhood: Family, Whānau, Community, and Society	29859, 29861, 29867, 29870, 29871, 29876, 32992, 32994-32997
Early Childhood: Professional Practice	29868, 29869, 29878-29880

1. 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 1-4	Evaluation of documentation by NZQA, sector and/or teaching professional in the same field from another provider.
Levels 5 and above	Evaluation of documentation and visit by NZQA, sector and teaching professional in the same field from another provider.

¹ 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 application process may be waived in the following circumstances:

- when the applicant organisation's history of teaching towards, and assessment against, unit standards similar to those covered by the application is well known to the ECE sector and NZQA National Qualifications Services (NQS); 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 National Qualifications Services.

All applicant organisations must provide satisfactory evidence to NZQA National Qualifications Services (NQS) of capability to effectively manage, deliver, and assess against the relevant ECE unit standards before a waiver will be given.

Sector involvement in a visit is required if:

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

Areas of shared responsibility

NZQA National Qualifications Services (NQS) may share responsibility with other standard-setting bodies depending on the scope of the application for consent to assess.

Fees for SSB involvement in process for granting consent to assess

The full cost of a consent to assess application depends on several factors. These include the extent of standard-setting body involvement, the scope of consent to assess applied for, and whether the application is an initial application or an extension to existing consent to assess.

NZQA National Qualifications Services (NQS) may charge reasonable fees for their involvement in assessing applications for the industry or sector specific requirements for 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

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

There are special requirements for consent to assess on the following criteria. The rationale for these special requirements is to ensure that the needs of the learner are met, and that children are safe in their care.

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 that include the unit standards in the scope of the application to ensure that:

- recognised good practice and current research from authoritative sources informs programme development;
- consultative mechanisms with appropriately experienced personnel, learners and consumers inform programme development, delivery and evaluation.

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

Criterion 2 Financial, administrative and physical resources

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

- the physical resources are adequate, accessible, and appropriate for the numbers of students being catered for at any one time;
- provision of access to library resources provides up-to-date information through a range of media, for example, access to online electronic databases such as the Educational Research Information Centre (ERIC) as well as written text;
- any arrangements for the use of facilities or resources not owned by the applicant are formalised in writing.

The rationale for this requirement is to ensure that learning is informed by current research information on Early Childhood Education and Care through access to a range of information sources.

Criterion 3 Staff selection, appraisal and development

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

- for Levels 3 and above, the majority of teaching staff have a teaching qualification and a qualification in Early Childhood Education and Care (encompassing both theory and practice) at a higher level than the unit standards against which they are assessing. All teaching staff must also either have obtained credit for the standards they will assess against, or be able to demonstrate equivalent knowledge and skills;
- opportunities are provided for staff to seek higher qualifications in Early Childhood Education and Care as part of on-going professional development. Opportunities for staff to seek on-going professional development in assessment of standards, and adult education and training may also be provided;
- safety checking of the children's workforce is carried out consistent with the requirements of the Vulnerable Children Act 2014 (VCA). Providers must be able to show records of the outcome of each safety check for staff that are part of the children's workforce.

The rationale for this requirement is to ensure that students receive quality education, and are assessed by staff with appropriate levels of knowledge, skills and experience in early childhood education and care.

Criterion 4 Student Entry

The applicant organisation must have policies and procedures for ensuring that students are suitable for working with young children.

- Completion of many of the ECE standards require practical experience within an early childhood setting. These placements will require the student to pass a safety check consistent with the requirements of the VCA, before having access to children.
- The applicant organisation must have policies and procedures for carrying out a safety check consistent with the requirements of the VCA on prospective students where the provider plans to place these students in practicums in early childhood settings.
- While the VCA is clear that early learning services are accountable for ensuring students have been safety checked, the VCA allows these checks to be done by another organisation (such as a TEO/provider) on their behalf. Where a safety check has been completed by a provider/applicant organisation on the early learning services behalf, the early learning service will still need to confirm it was to the VCA standard, do an identity check and a risk assessment.
- Student entry will be provisional until safety checks have been completed. Providers must be able to show records of provisional entry and the outcome of each safety check.

For more information on the Vulnerable Children Act 2014, safety checking regulations, and guidelines see <http://childrensactionplan.govt.nz/>.

Information from the Tertiary Education Commission (TEC) on safety checking of vocational trainees/students as required by the Vulnerable Children Act 2014 is available at <http://www.tec.govt.nz/assets/Archived-TEC-Now/Safety-checking-of-vocational-trainees-as-required-by-the-Vulnerable-Childrens-Act-2014.pdf>.

Criterion 6 Off-site practical or work-based components

The applicant organisation must have policies and procedures to identify criteria for selection of off-site Early Childhood Centres, and a written contract between an applicant organisation/provider and the Early Childhood Centres at which practicums take place. It is required that the contract, amongst other things, addresses the following:

- the role and responsibilities of the practicum supervisor in relation to the student, including skills, knowledge, and attributes to be applied, and reporting in relation to the provider's gathering of assessment evidence against unit standards;
- the provider's policy and procedures for ensuring the suitability of the student to be placed in an Early Childhood Centre, including addressing arrangements for safety checking of the student;
- procedures for dealing with any difficulties that may arise.

Criterion 7 Assessment

Policies and procedures must be in place to:

- ensure that assessment and moderation practices conform to best practice protocols (refer websites of the Institutes of Technology and Polytechnics (ITPs), Industry Training Federation and NZQA for best practice documents). Internal moderation procedures must be in place to ensure the validity and sufficiency of

- assessment including online, workplace-based, and naturally occurring evidence;
- Recognise Prior Learning (RPL) and/or Recognise Current Competence (RCC) of students.

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.

2. 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 schools and TEOs assessing against the standards covered by this CMR.

Schools contact:

School Quality Assurance and Liaison

Email: schoolsliaison@nzqa.govt.nz

Telephone: 04 463 3000

Fax: 04 463 3113

TEOs contact:

Tertiary Assessment and Moderation

Email: qaadmin@nzqa.govt.nz

Telephone: 04 463 3000

Fax: 04 382 6895

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

Within NZQA, three business units - *Assessment and Moderation* and *School Quality Assurance and Liaison* (for schools) and *Tertiary Assessment and Moderation (TAM)* (for TEOs) - manage national external moderation for standards for which the Ministry of Education or NZQA is the Standard Setting Body (SSB). 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 assessment materials and assessor decisions and to complete a moderation report for each standard that is moderated.

Each curriculum area or 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 school must appoint a Principal's Nominee and each TEO 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

Schools meet national external moderation requirements when they:

- meet moderation deadlines
- provide assessment materials and make assessor judgements that are fair, valid and consistent nationally.

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, valid and consistent nationally.

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 TAM to advise when assessment against standards covered by this CMR will commence.

Assessment plan

Schools are not required to submit an assessment plan, but may do so if they choose.

TEOs are required to submit an assessment plan that captures the organisation's assessment intentions. On an annual basis (usually in November), TAM requests an assessment plan indicating those standards for which 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 (the date by when materials must be submitted to the moderator, although materials may be submitted prior to this date).

- Schools may negotiate changes to the moderation plan if the standard was not assessed in the previous year and will not be assessed in the current year.
- NZQA will select each year some standards that are mandatory for schools and this will include standards used for the National Systems Check. These standards cannot be negotiated.
- 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 schools, a representative sample of standards will be selected from results reported in the previous year. Additional standards may be selected based on national external moderation results history.

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.

School submission dates are between March and December.

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

Moderation is generally carried out by individual moderators, rather than at cluster meetings or moderation workshops, 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. These are meetings of moderators to 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 that of the overall submission date shown on the moderation plan. If so, the kāhui or fono submission date will be identified on the moderation plan.

Schools and TEOs are expected to submit assessment materials electronically for moderation. Guidance is available on the NZQA website.

The focus of moderation is on assessor decisions. Assessment tasks may not be moderated, particularly if assessor decisions in relation to assessment standards are consistent nationally.

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. Schools and 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.

Quality Assured Assessment Materials (QAAM™) and NZQA Approved™

These trademarks are designed to identify assessment materials for secondary school subjects only that have been certified by NZQA as meeting the requirements of the assessment standard. Assessment materials that hold a [QAAM™ or NZQA Approved™](#) trademark must still be submitted for national external moderation to ensure that materials were assessed as intended or that any changes made do not impact on the validity of the materials or their consistency with the assessment standard. Further information about how to apply for a QAAM™ and the costs

involved is available from the [NZQA website](#). The NZQA Approved™ status only applies to Ministry of Education assessment materials.

Materials required for moderation

Materials submitted for moderation must include:

- a completed Moderation Cover Sheet (for hard copy submissions)
- 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. Requirements for submitting audio and visual material for moderation are provided on the [NZQA website](#).

Learner samples

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

Schools are required to submit:

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

Each school is required to have systems in place for random selection of learner samples for the standards listed in the moderation plan. A [guideline](#) for the selection of learner samples for moderation is available on the [NZQA website](#).

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 school Provider login or 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 school/TEO.

Annual summary of moderation outcomes

For schools, a letter and report summarising moderation outcomes is sent to the Principal and Principal's Nominee at the conclusion of the moderation cycle.

For TEOs, the annual *National External Moderation Results (NEMR)* report, which summarises moderation outcomes, is uploaded to the TEO's homepage on the NZQA website within 30 working days of the submission date. A letter attached to the NEMR report will detail what actions, if any, are required to address issues identified by moderation (See *Non-compliance with moderation requirements* below).

Querying moderation reports

Schools and 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

Schools and TEOs with consent to assess may provide NZQA with feedback on the effectiveness and efficiency of 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 to organisations with consent to assess via the review summaries page on [NZQA's website](#). Minor changes to the management of the moderation system will be communicated via circulars to schools and 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 the QAAM™ process and Best Practice Workshops. The applicant is required to meet the costs of the QAAM™ process or pay a registration fee for workshops. If moderators are required to provide additional support this will be charged at \$150/hr (GST excl.).

For TEOs, NZQA may charge for any additional activities required by NZQA 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 TEOs to discuss assessment or moderation issues) will be charged at \$150/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 school is considered to be non-compliant, follow-up action will normally be initiated by the NZQA School Relationship Manager.

When a TEO is considered to be non-compliant, follow-up action will normally be initiated by the Assessment and Moderation Facilitator.

Ongoing non-compliance

Where non-compliance continues, actions that may be taken by NZQA business units for both schools and TEOs 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

There is an appeal process for those situations where an organisation disagrees with a moderator's decisions. Guidance is available on the NZQA website.

The outcome of the appeal is final.

3. DAS Registration Information

Process	Version	Date
Registration	1	March 1997
Revision	2	October 2001
Review	3	May 2004
Review	4	February 2017

The next CMR review is planned to take place during 2022.