

# CONSENT AND MODERATION REQUIREMENTS (CMR) for Retail, Distribution, and Sales

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(version 4)

## Contact

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## Service Sector > Retail, Distribution, and Sales

Domain	Standard IDs
Bicycle Sales and Servicing	20182-20186, 20698
Distribution	11973, 11985, 28497, 28498, 28501-28503, 28506, 30287
Garden Retail	3146-3149, 22161, 22162, 28105
Jewellery Sales and Service	23602, 23604-23606, 23608, 23610
Merchandising and Marketing	63, 67, 409, 420, 422, 11949, 11951, 11993, 12005, 22013
Retail and Distribution Core Skills	402, 405, 11941, 11968, 11971, 11978, 12003, 24996-25002, 25795-25803, 27229, 28147-28154, 28297-28303, 28306-28309
Retail and Distribution Management	68, 410, 413, 11957, 11965, 11969, 11981, 11988, 11989, 11995, 11997, 19581, 22012
Retail Delicatessen	11998, 15962-15971
Retail Produce	15954, 15955, 15957, 15958, 28108
Retail - Technical Skills	26556, 26557
Sales	61, 10457-10471, 26857-26876, 29290-29294
Sales Transactions	11817, 11831, 11938, 12009, 20248, 28295
Stock Control	404, 11962, 11966, 11972, 11992, 19172, 23544, 28499, 28500, 28504, 28505, 29728, 29729, 30288

## Requirements for Consent to Assess (RCA)

### Introduction

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

### Standard Setting Body involvement in process for granting consent to assess

Levels 1-2 Evaluation of documentation by NZQA.

Levels 3 and above Evaluation of documentation and visit by NZQA and industry.

### Visit waiver conditions

Participation in the consent to assess visit may be waived by ServiceIQ under the following circumstances:

- when the application for consent to assess has been prepared in consultation with ServiceIQ and is supported by ServiceIQ; and/or
- when the applicant is well known to the ServiceIQ and the ServiceIQ has confidence in the applicant organisation's capacity and capability to assess against the standards; and/or
- when the scope of the application is sufficiently narrow that ServiceIQ considers a visit is not warranted; and/or
- when the ServiceIQ evaluator for the application documentation is satisfied that any additional information required can be gained by another means (eg letter, telephone, email).

### Areas of shared responsibility

None.

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

The fees schedule is applicable to all applications for consent to assess received by NZQA from 1 November 2004. However, the SSB may choose to charge lower fees for their involvement in 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 consent to assess. Contact the relevant quality assurance body (QAB) for information.

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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.

## **General requirements for accreditation**

These are the general requirements for accreditation of providers gazetted in 1993. Applicants should consult their QAB (NZQA or CUAP) for details of the requirements.

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

There is a system for developing coherent teaching programmes and for their evaluation, which should include evaluation by learners/consumers.

### **Criterion 2      Financial, administrative and physical resources**

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

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

### **Criterion 3      Staff selection, appraisal and development**

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

### **Criterion 4      Student entry**

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

### **Criterion 5      Student guidance and support systems**

Students have adequate access to appropriate guidance and support systems.

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

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

### **Criterion 7      Assessment**

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

### **Criterion 8      Reporting**

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

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

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

### Criterion 1 Development and evaluation of teaching programmes

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

- teaching programmes are relevant, structured and purposeful and include embedded literacy training to meet the identified literacy demands of the required unit standards
- industry input has been considered in the development and delivery of teaching programmes and resources, all of which must demonstrate a clear link with unit standards
- all practical work is applied and practiced within a commercial Retail or Wholesale environment where students are able to access the equipment and systems commonly used within the retail and wholesale industries such as POS (point of sale), stock control systems, policy and procedure manuals and eftpos machines. Students must experience real customer interaction throughout their programme
- student feedback is taken into account in evaluating programme quality.

### Criterion 2 Financial, administrative and physical resources

The applicant organisation must have policies and procedures to ensure that any training and assessment against practical unit standards will only occur when the student has access to appropriate and adequate resources.

### Criterion 3 Staff selection, appraisal and development

The applicant organisation must have policies and procedures for the appointment and ongoing performance management of staff, which ensure that assessors:

- hold a recognised industry qualification at or above the level at which they are assessing or are able to demonstrate equivalent knowledge and skills. Recognised industry qualifications may include but are not limited to:
  - National Certificate in Retail (Level 2) [Ref: 0993]
  - National Certificate in Retail (Level 3) with optional strands in Bicycle Sales and Servicing, Garden Retail, Visual Merchandising, Delicatessen, and Produce [Ref: 0994]
  - National Certificate in Retail (Level 4) [Ref: 0995]
  - National Certificate in Distribution (Level 2) [Ref: 0990]
  - National Certificate in Distribution (Level 3) [Ref: 0991]
  - National Certificate in Distribution (Level 4) [Ref: 0992]
- have sufficient on-site industry experience. Sufficient industry experience for the following levels is considered to be:
  - Level 2 – minimum of one year of Retail/Wholesale experience
  - Level 3 – minimum of one year of Retail/Wholesale experience at a supervisory level
  - Level 4 – minimum of one year of Retail/Wholesale experience at a management level.

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

- trainers and assessors maintain annual contact with industry to ensure awareness of developments within the industry in relation to legislation, industry best practice, and technology

- all assessing staff are trained to assess against unit standards on the DAS and hold unit standard 4098
- all teaching and assessing staff hold relevant unit standards. Recognised unit standards or qualifications may include but are not limited to:
  - Unit standards 19444 or 7108
  - National Certificate in Adult Education and Training (Level 4) with strands in New Zealand Environment, and International Environment [Ref: 0378]
  - National Certificate in Adult Education and Training (Level 5) with strands in New Zealand Environment, and International Environment [Ref: 0379]
  - National Diploma in Adult Education and Training (Level 6) [Ref: 1549].

#### Criterion 4 Student entry

The applicant organisation must have policies and procedures for the selection of students that ensure that their English language skills are sufficient for them to understand all requirements, instructions, communications (oral, written, and graphic) necessary for compliance with industry-related regulations, and health and safety requirements. This is to ensure that health and safety requirements in relation to unit standards can be communicated to, and comprehended by, students.

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

The applicant organisation must have policies and procedures to ensure that a memorandum of understanding or contract is established with the organisation providing the off-site or work-based components that covers the responsibilities for the health and safety of students, undertaking assessments, and reporting credits to NZQA.

#### Criterion 7 Assessment

The applicant organisation must have policies and procedures for the recognition of prior learning.

### **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**

ServiceIQ 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 ServiceIQ.

## Introduction

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

ServiceIQ will appoint a Moderator to oversee the national external moderation system. All moderators, including the National Moderator, report directly to the Quality Assurance Manager. ServiceIQ will be responsible for the training and development of the Moderator and for providing administrative support (including the keeping of records) for moderation activities. Additional moderators will be called upon as necessary, by the Quality Assurance Manager, to assist with national external moderation.

This moderation system is designed to meet the needs of the retail and wholesale industries and of the organisations with consent to assess, including schools, private training establishments, institutes of technology and polytechnics, and industry training organisations.

The moderation system is designed to ensure that:

- assessment is fair, valid and consistent
- variances from the standard are detected, corrected, and kept to an agreed and acceptable level
- assessment judgements are moderated
- 'best practice' in assessment is used including integrated assessments based around a 'collection of evidence' model.

This moderation system is based on:

- 1 Post-assessment moderation of assessment decisions.
- 2 On-site visits to observe and moderate practical assessments.

## The Moderation Process

ServiceIQ five year moderation cycle is available upon request: email: intel@serviceiq.org.nz

The moderation cycle lists the standards that will be called for moderation in any given year. The plan may be updated and new unit standards can be added to the moderation cycle at any point. Organisations with consent to assess will be sent a copy of the moderation cycle annually.

At the start of each year organisations with consent to assess will be asked to provide the Moderator with the following information:

- A list of ServiceIQ unit standards to be assessed against
- Any ServiceIQ assessment material that will be used

- Other assessment materials that will be used in place of ServiceIQ assessment material
- Number of students to be assessed for each unit standard on the list
- Estimated timeframes for completion of assessments for each unit standard on the list.

The Moderator will use this information to identify usage patterns for ServiceIQ unit standards and choose relevant unit standards to moderate.

On a quarterly basis, the Moderator will access credit reporting data from NZQA and select the unit standards for post-assessment moderation for that quarter. The unit standards will be selected using the following criteria:

- The unit standard falls into the five-year moderation cycle
- The organisation with consent to assess has assessed against the unit standard
- The results of the organisation's most recent moderation report from ServiceIQ
- The number of assessments completed for each unit standard by the organisation with consent to assess.

The organisation with consent to assess will be required to submit the following assessment material for post-assessment moderation via post within one month of the request:

- Assessment activities
- Assessment schedules and/or model answers
- A sample of assessed trainee work

Assessment material will be moderated, by a Moderator, for consistency and validity of the assessment decisions made.

The Moderator will report back to the organisation with consent to assess the outcome of the moderation process within one calendar month of receipt of assessment material.

The organisation with consent to assess is required to take appropriate steps to ensure assessment practice is improved, if recommended by the Moderator in the moderation reports.

#### Practical assessment moderation visits

Organisations with consent to assess who deliver entire national certificates will be selected for a moderation visit to take place in the first half of the calendar year.

A letter will be sent to the organisation with consent to assess notifying them that they will be moderated within the next three months. If they are not planning to complete any assessments in that timeframe they must notify ServiceIQ immediately.

The selected organisation must respond to the letter informing the moderator of when their next assessment will take place (within a reasonable time for the moderator to arrange travel).

The Moderator will then coordinate the moderation and any travel required.

Organisations with consent to assess will not be charged for these visits.

## Reporting

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

The Quality Assurance Manager will report annually to the Board of Directors of ServiceIQ on moderation activities for the year and on the moderation system.

ServiceIQ will keep records of moderation activities. It will use these records and the Moderator's report to annually evaluate the effectiveness of the moderation system.

## Funding

All moderation activities will be funded through the National Moderation Transfer from NZQA, industry contributions of time and from charges for visits resulting from non-compliance with moderation requirements.

Non-compliance visits incur the following rates:

Site visits	\$300 per day plus GST
Extra time (per half day)	\$150 plus GST
Reimbursement for actual and reasonable travel and accommodation expenses.	

## Non-compliance with moderation requirements

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

Where non-compliance is identified, the Moderator will provide details in writing to the organisation with consent to assess. Required corrective action will be explained on an action plan form and the time frame for compliance given. During this period the ServiceIQ Moderator will be available to provide guidance surrounding non-compliance.

ServiceIQ may request a moderation visit where an organisation with consent to assess is consistently non-compliant with the national external moderation system.

If a visit is requested the organisation with consent to assess will be notified in writing as to the purpose and expected outcomes of the visit. Organisations will be charged for these visits (See *Funding* above).

## Appeals

If a disagreement should occur about moderation decisions, the organisation with consent to assess should contact the Moderator so that the disagreement can be



solved. If an agreement cannot be reached then the decision may be appealed to the Quality Assurance Manager. The Quality Assurance Manager's decision is final.

An appeal fee of \$80 + GST applies to all moderation decision appeals. This fee is refunded in full if ServicelQ finds in favour of the appellant.

Upon receipt of an application to appeal a moderation decision, ServicelQ staff will:

- within 30 working days, acknowledge receipt of the application in writing and advise when the appellant may expect to receive advice of the outcomes of the appeal
- forward full details of the appeal of the moderation decision to the Quality Assurance Manager to review and request formal response within ten working days.

Upon receipt of the results of the moderation decision review from the Quality Assurance Manager, ServicelQ staff will:

- *Successful Appeal*
  - advise the appellant of the successful outcome of their appeal in writing within 30 working days of receipt of the results of the review from the Quality Assurance Manager
  - in the event of a successful appeal, a full refund of fees will be made to the appellant.
- *Unsuccessful Appeal*
  - advise the appellant that their appeal has been unsuccessful and the reasons for the decision, within 30 working days of receipt of the results of the review from the Quality Assurance Manager.

### **DAS Registration Information**

<b>Process</b>	<b>Version</b>	<b>Date</b>
Registration	1	June 1993
Revision	2	February 2004
Review	3	May 2009
Revision	4	September 2011

### **Replacement Information**

<b>Replaced CMR</b>	<b>Replacement CMR</b>	<b>Date</b>
0034	0225	November 2006

The next CMR review is planned to take place during 2014.