

CONSENT AND MODERATION REQUIREMENTS (CMR) for Generic Design

(version 2)

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

Toi Mai WDC

Email qualifications@toimai.nz

Website toimai.nz

Engineering and Technology > Design

Domain	Standard IDs
Generic Design	2100, 7484, 7497, 7518, 7520, 15726, 15730-15732

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

Level 4 and above Evaluation of documentation and visit by NZQA and industry.

Visit waiver conditions

Participation in a visit as part of the consent to assess process may be waived in the following circumstances:

- when the application has been developed in consultation with NZQA National Qualifications Services; or
- when the applicant organisation's history of teaching towards, and assessment against, other unit standards of a similar nature is well established and known to NZQA National Qualifications Services; or
- when the applicant organisation provides evidence of its capability to effectively manage, deliver and assess against standards including meeting all legislative

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

and/or regulatory health and safety requirements relevant to the unit standards applied for; or

- other reasons agreed to on a case-by-case basis between the applicant organisation and NZQA National Qualifications Services.

Areas of shared responsibility

None.

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

NZQA National Qualifications Services may choose to charge reasonable fees for their involvement in granting consent to assess. Contact NZQA National Qualifications Services for further information.

Additional fees can be charged by [NZQA](#), and the Committee for University Academic Programmes (CUAP) for involvement in granting consent to assess. Contact the relevant quality assurance body (QAB) for information.

General requirements for accreditation

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

Criterion 1 Development and evaluation of teaching programmes

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

Criterion 2 Financial, administrative, and physical resources

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

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

Criterion 3 Staff selection, appraisal, and development

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

Criterion 4 Student entry

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

Criterion 5 Student guidance and support systems

Students have adequate access to appropriate guidance and support systems.

Criterion 6 Off-site practical or work-based components

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

Criterion 7 Assessment

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

Criterion 8 Reporting

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

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

Industry or sector-specific requirements for consent to assess**Criterion 1** Development and evaluation of teaching programmes

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

- proposed programmes have a sound rationale, a clear outline of the content, and identify the intended target audience and the intended outcomes;
- advisory links with industry are created to inform the development, maintenance and review of programmes;
- the safety of students and tutors is protected during delivery of programmes;
- students are provided with integrated teaching programmes that provide learning strategies, resources, and assessment activities that enable them to meet the requirements specified in the unit standards.

Criterion 2 Financial, administrative and physical resources

The applicant organisation must have policies and procedures to ensure that it has, or has access to, the necessary up-to-date technological equipment to support teaching towards and assessment against unit standards in the scope of the application. Examples include access to on-site operational equipment and graphics capable computers and software, reprographic equipment with zoom capacity, and photographic equipment.

The applicant organisation must have policies and procedures to ensure that it has, or has access to, the facilities necessary to support teaching towards and assessment against all unit standards in the scope of the application. Examples include: indoor teaching facilities, library, studios, learning resource spaces, and laboratories or workshops for computer aided draughting, and manual draughting.

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

- if teaching and learning and/or assessment activities are planned to occur in an area with identified hazards, sufficient safety equipment and facilities are available relative to the number of students and the unit standards being assessed against;
- the requirements of the Health and Safety at Work Act 2015 and other relevant safety guidelines and regulations when providing practical training or assessments are satisfied. Applicant organisations 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.

Criterion 3 Staff selection, appraisal and development

The applicant organisation must have policies and procedures to ensure that staff teaching and/or assessing against these unit standards:

- have a relevant design qualification at least at the level of the unit standards they are assessing against, or have demonstrated equivalent knowledge and skills;
- have a National or New Zealand qualification in the delivery of adult education and training, or have demonstrated equivalent knowledge and skills;
- are competent in standards-based assessment practice through having credit for Unit 4098, *Use standards to assess candidate performance*, or Unit 30421, *Carry out assessments against standards to make judgements of learner performance*, or have demonstrated equivalent knowledge and skills;
- are competent in moderation practice through having credit for Unit 11551, *Quality assure assessment*, or have demonstrated equivalent knowledge and skills, prior to participating in moderation;
- have their performance appraised at least annually;
- are provided with opportunities for professional development.

Criterion 4 Student entry

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

- student entry requirements are consistent with those set out in the relevant unit standards;
- students for whom English is not their first language are at a language level where they can adequately cope with the linguistic demands of the programme.

Criterion 6 Off-site practical or work-based components

The applicant organisation must have policies and procedures to ensure that access to appropriate equipment, resources, and workplace environments is provided.

Where the applicant organisation arranges for students to receive training in an off-site situation, applicant organisations must have policies and procedures to ensure that a written contract between the organisation with consent to assess and the organisation providing the service is established, clearly stating:

- the nature of the training the students are to receive;
- responsibility for safety of the tutors and students;
- the time and frequency of the students' attendance;

- the name and relevant details of the students attending the organisation providing the service;
- a procedure for gathering information from the organisation providing the service that allows the organisation with consent to assess to make progress and assessment judgements;
- a procedure for the organisation with consent to assess to provide feedback on students' progress to the organisation providing the service;
- a procedure to provide support mechanisms to both the student and the organisation providing the service for the duration of the training.

Criterion 7 Assessment

The applicant organisation must have policies and procedures to ensure assessment complies with the *Generic Resources and Guidelines* available at the [NZQA website](#).

The applicant organisation's policies and procedures for assessment should provide guidance for:

- identification of individual needs of students and/or employers;
- the integration of on-job and off-job assessment against the unit standards within a programme;
- the recognition of current competence.

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

The NZQA National Qualifications Services is able to provide sufficient trained participants to service the requirements of processes for granting consent to assess.

Moderation Requirements (MR)

A centrally established and directed national external moderation system has been set up by the 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:

Monitoring and Assessment

Email: qaadmin@nzqa.govt.nz

Telephone: 04 463 3000

Moderation System

National external moderation systems are developed to ensure that assessment decisions in relation to assessment standards are consistent nationally.

Feedback from national external moderation contributes to standard-setting and to improvements in assessment practice and outcomes for learners.

Responsibilities

Three NZQA business units share the responsibility for national external moderation for the standards covered by this CMR.

The Assessment and Moderation business unit is responsible for producing and quality assuring moderation reports.

The School Quality Assurance and Liaison and the Monitoring and Assessment teams are responsible for establishing and monitoring annual moderation plans with schools and TEOs respectively. Final accountability and decision-making rests at management level.

Moderators

NZQA appoints or contracts moderators, selected for their assessment and curriculum or subject expertise, to carry out the national external moderation of assessor decisions and assessment materials and to complete a moderation report for each moderated standard.

Each moderation system has a National Moderator whose role includes providing leadership in the interpretation of standards and monitoring consistency of moderator decisions in their system.

Liaison with NZQA

Each 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 and valid
- provide assessment materials that reflect the requirements of the standard.

TEOs meet national external moderation requirements when they:

- provide an assessment plan for the year that fully reflects the organisation's assessment intentions
- meet moderation deadlines
- provide assessment materials and make assessor judgements that are fair and valid
- provide assessment materials that reflect the requirements of the standard.

It is the responsibility of TEOs with consent to assess and intending to assess against these standards to contact NZQA so that national external moderation of assessments can be arranged. All TEOs with new consent to assess or change of scope must contact Monitoring and Assessment to advise when assessment against standards covered by this CMR will commence.

Assessment plan

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), Monitoring and Assessment requests an assessment plan, identifying standards the TEO is likely to be assessing and/or reporting credit during the next academic (usually calendar) year. TEOs may request, on their assessment plan, that particular standards or groups of standards be selected for moderation in that year.

Moderation plan

The moderation plan, created from the assessment plan, lists the sample of standards selected by NZQA for moderation in the academic year.

The moderation plan also includes a submission date(s) (the date by when materials must be submitted to the moderator, although materials may be submitted prior to this date).

- 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.
- Each year NZQA will select standards that are mandatory for schools. 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 at [NZQA website](#).

How moderation occurs

National External Moderation is carried out online, generally by individual moderators, and is usually post-assessment i.e. approval of assessment material and the review of assessor judgements are completed simultaneously after assessment has occurred.

Kāhui or fono

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

Guidance on how to submit material for external moderation is available on the NZQA [website](#).

The focus of moderation is on assessor decisions. NZQA may not moderate assessment materials, particularly where assessor decisions in relation to assessment standards are nationally consistent.

Pre-assessment moderation

NZQA recognises the academic autonomy of organisations with consent to assess to use self-developed assessment materials. Pre-assessment moderation by NZQA of

assessment materials is not usually required. Situations in which pre-assessment moderation may be requested include:

- newly registered standards which include health and safety components that present a potential risk if not validly assessed
- organisations with consent to assess where issues have been identified around their capability to develop valid assessment material.

On-site moderation

An on-site moderation visit may occur to observe and verify assessor decisions for standards which contain practical components. Moderation visits are carried out by moderators. An NZQA staff member may also be in attendance. 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.

Materials required for moderation

Materials submitted for moderation must include:

- the assessment tool or assessment activity or instructions given to the learner (learner evidence guide)
- an assessment schedule (that includes evidence and judgement statements)
- samples of assessed learner work.

The assessor decisions for each sample of learner work must be clearly identified. Individual learners must be clearly identified where the learner is part of a group performance.

Learner samples

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

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 end of the moderation cycle.

For TEOs, an annual summary is sent to the Quality Assurance Contact and Moderation Liaison at the end of the moderation cycle. The summary will detail what actions, if any, are required to address issues identified by moderation (See *Non-compliance with moderation requirements* below).

Querying moderation reports

Schools and TEOs unclear about the meaning of comments in a moderation report may lodge a query with the moderator. Guidance is available at [NZQA website](#).

Feedback on the national external moderation system

Schools and TEOs with consent to assess may provide NZQA with feedback on the national external moderation system at any time. NZQA will evaluate the moderation system at least every three years, with feedback sought from participants as to its effectiveness and efficiency. Where significant changes are made, NZQA will revise the CMR's MR to reflect the changes. Information about significant changes to the MR will be promulgated on the NZQA 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 NZQA Best Practice Workshops. Please refer to the NZQA website for

the costs relating to these services. If moderators are required to provide additional support to organisations with consent to assess, this will be charged at \$190/hr (GST excl.)

For TEOs, NZQA may charge for any additional activities required by them to address issues identified through moderation or other non-compliance with national external moderation requirements (for example, non-submission of assessment material and/or learner samples). These activities (such as pre-assessment moderation, additional moderation, on-site moderation, assessment practice reviews, and visits to TEOs to discuss assessment or moderation issues) will be charged at \$190 /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 non-compliant, follow-up action will normally be initiated by the NZQA School Relationship Manager.

When a TEO is non-compliant, follow-up action will normally be initiated by the Monitoring and Assessment Evaluator.

Ongoing non-compliance

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

An appeal process is in place for occasions when an organisation disagrees with a moderator's decisions. Guidance is available at [NZQA website](#).

The outcome of the appeal is final.

DAS Registration Information

Process	Version	Date
Registration	1	February 2012
Review	2	July 2019

The next review of this CMR is due to taken place in 2024.