

CONSENT AND MODERATION REQUIREMENTS (CMR) **for Community Support; Health, Disability, and Aged Support; Human Services; Social Services; Urban Pest Management; and Cleaning and Caretaking**

(version 9)

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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 1	Evaluation of documentation by NZQA.
Level 2	Evaluation of documentation by NZQA and industry.
Levels 3 and 4	Evaluation of documentation and visit by NZQA and industry.
Level 5 and above	Evaluation of documentation and visit by NZQA, industry and teaching professional in the same field from another provider.

Where an applicant organisation is based on and operates according to kaupapa Māori, Careerforce will be represented in a manner that is appropriate to the applicant organisation's kaupapa at no extra cost to the applicant organisation.

Careerforce retains the right to include additional people with specialist experience and/or knowledge in document evaluation for the visit. The inclusion of extra people will be on a case-by-case basis.

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

Visit waiver conditions

A waiver may be granted on a case-by-case basis upon application to Careerforce:

- when the application for consent to assess has been developed in conjunction with Careerforce and has its support; or
- when Careerforce has sufficient confidence in the applicant organisation's history of teaching and assessment; or
- where the applicant seeks consent to assess against a very small number of assessment standards and Careerforce decides that, given the particular nature of the assessment standards, a visit is not warranted; or
- when there are other special reasons agreed to on a case-by-case basis between the applicant organisation, Careerforce, and NZQA.

Areas of shared responsibility

- None.

Fees for SSB involvement in process for granting consent to assess

For information on SSB fees for applications for consent to access see the Funding section of this CMR or contact the SSB.

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

Applicant organisations must provide evidence that there has been appropriate and meaningful consultation with stakeholders and interested parties, including learners, concerning the development of training programmes.

Applicant organisations must have policies and procedures for ongoing consultation with stakeholders and interested parties on the continuing development and evaluation of training programmes. Stakeholders and interested parties include Māori, Pacific peoples, service providers, clients and/or consumers/tangata whai ora and relevant representatives of industry.

Applicant organisations must have policies and procedures to ensure the integration of theory and practice in the teaching/training, and that the means of achieving this integration is transparent, both to learners and to those providing work-based components of the assessment standards.

For programmes in *Mental Health* and *Addiction* support, the applicant organisation must have policies and procedures that ensure the involvement of consumers/tangata whai ora in the delivery of the programme.

Criterion 2 Financial, administrative and physical resources

Applicant organisations must have policies and procedures to ensure that they provide access to resources that are appropriate to the scope of consent to assess, including either:

- a resource facility that contains learning and research resources, including web-based/e-learning resources; or
- formalised arrangements with a library or libraries for learners to access equivalent learning and research resources.

Applicant organisations must have operational policies and procedures in place to ensure that:

- the plant, facilities, and relevant specialist equipment used in a simulated setting to provide training and carry out assessment activities are comparable to an actual workplace for the particular programme/assessment standards involved;
- equipment meets standards as set down by the relevant professional/regulatory body.

Criterion 3 Staff selection, appraisal and development

Applicant organisations must have policies and procedures to ensure that staff engaged in training and assessment:

- a) are appropriately qualified to assess against assessment standards. To meet this requirement assessors must hold unit standard 4098 or 30421, or are able to demonstrate equivalent knowledge and skills;
- b) hold an adult education qualification or are able to demonstrate equivalent knowledge and skills;
- c) either hold a qualification relevant to the content of the standards being assessed, at one level above the level of the standard(s) they assess, or have held the standards being assessed for a minimum of 6 months, or are able to demonstrate equivalent knowledge and skills to those standards including evidence of applied practice;
- d) keep up to date with legislative and technical requirements and best industry practice relevant to the scope of consent to assess;
- e) undertake relevant training or professional development to remain current in their specialist or technical subjects relevant to their sector;
- f) attend training or professional development to remain current in assessment practice;
- g) where relevant, hold professional registration.

Applicant organisations must have policies and procedures to ensure professional relationships between staff and learners and for managing alleged breaches of the professional relationship and/or professional boundaries.

Criterion 4 Student entry

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

- pre-course information is explicit enough to enable learners to determine their suitability to apply for enrolment into the programme;
- processes for learner selection are transparent and applied equally, consistently and fairly, in accordance with equal opportunity principles. In particular, applicant organisations must have policies and procedures regarding learner selection that recognise the importance of recruitment and training of Māori, Pacific people and consumers/tangata whai ora into the mental health workforce;
- requirements for police vetting and disclosure of record of convictions are met.

Criterion 5 Student guidance and support systems

The applicant organisation must have policies and procedures to ensure that learners are informed of industry requirements with regards to managing ethical, professional and legal issues, including conforming to professional and organisational codes of ethics and conduct.

The applicant organisation must have policies and procedures to ensure that the privacy and confidentiality of learners and service users is protected.

The applicant organisation must have policies and procedures that state how the applicant organisation will deal with learners in training, who demonstrate that they may be unsafe to practice.

The applicant organisation must have policies and procedures:

- for ensuring that learners are made aware of review and appeal procedures available to them if they do not meet the required standard;
- for ensuring protection of the physical, cultural, emotional and spiritual safety of learners, and for supporting and assisting learners who experience physical, cultural, emotional or spiritual issues during their training or assessment. These policies and procedures must have regard to any particular needs of Māori, Pacific people and other Tauwiwi and consumers/ tangata whai ora within the applicant organisation.

Criterion 6 Off-site practical or work-based components

Applicant organisations must have policies and procedures that ensure that:

- work-based components provide opportunities for practical experience relevant to the learning and assessment. These are adequately resourced and have formally documented agreements with clearly defined roles and responsibilities for all parties;
- supervision of work-based components is provided by suitably qualified and experienced supervisors;
- the safety of learners is maintained within the health and safety policies and procedures of the applicant organisation and those of the host organisation for off-site or work-based components;
- When off-site facilities or resources are to be used for training and assessment, the applicant organisation must have policies and procedures to ensure that the

appropriate equipment, resources, and workplace environment are available. The offsite arrangements must meet NZQA rules and any applicable legislation. Applicant organisations intending to use commercial or other facilities in a collaborative or commercial relationship must have policies and procedures to ensure that a formal agreement is signed by the legally recognised signatories of the parties;

- a learner is safe to work with clients and/or consumers/tangata whai ora as part of their learning and assessment for off-site practical or work-based components of the programme(s). The applicant organisation must show how it will advise learners of these policies and procedures;
- ethical and professional relationships between learners and clients and/or consumers/tangata whai ora during off-site and work-based components are maintained and any alleged breaches of the professional relationship are managed.

Criterion 7 Assessment

The applicant organisation must have policies and procedures to ensure that any self-developed assessment resources are submitted to Careerforce for pre-assessment moderation and approval at least 20 working days before use. Please see the Moderation System described in this CMR and Careerforce Moderation Procedures on the Careerforce website for further information.

Careerforce has developed assessment material for some assessment standards. These have been moderated and are available from the Careerforce website.

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

- internal pre-assessment moderation of assessment materials is undertaken;
- learners' evidence (including both achieved and not achieved examples) is available for internal post-assessment moderation.

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 standards being awarded.

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 Careerforce Moderation Team provides the capacity and expertise 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 established by Careerforce.

Introduction

The purpose of the Moderation Requirements (MR) is to provide details of the Careerforce national external moderation system 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 these requirements.

Moderation System

Annually, Careerforce will contact organisations with consent to assess to arrange for national external moderation to be undertaken. Each organisation must have a named person who is the moderation contact with Careerforce.

Careerforce has established cluster groups for national external moderation. Cluster groups are established according to the qualifications or individual assessment standards offered by each organisation with consent to assess. These cluster groups are periodically reviewed depending upon the number of organisations with consent to assess. Details of the cluster groups are available on the Careerforce website.

Careerforce maintains a 5-year moderation plan which details the assessment standards that are targeted for moderation each year. This is available on the Careerforce website.

Where an organisation wishes to assess against assessment standards that are not listed for the current year in the 5-year moderation plan, that organisation must advise the Moderation Team which assessment standards they intend to assess.. Arrangements can then be made for post-assessment moderation by Careerforce. Every organisation must participate in annual moderation even if the assessment standards that they have assessed are not on the 5-year moderation plan for the current moderation year.

The two parts of the national external moderation system are Pre-assessment moderation and Post-assessment moderation.

1. Pre-assessment moderation

If organisations with consent to assess are not using Careerforce-supplied learner assessments, they must supply assessment materials to Careerforce for pre-assessment moderation of self-developed assessment materials at least 20 working days prior to use. There is no cost for pre-assessment moderation of unit standard assessments.

Careerforce charges \$100/hour for pre-assessment moderation of non-unit standard assessments using graduate outcomes.

Samples submitted for pre-assessment moderation must include:

- the assessment tasks
- criteria used by the assessor to make assessment decisions (assessment guide/schedule, marking guide, model answers, exemplars)
- A matrix that maps assessment tasks to the assessment standards

Cluster groups may moderate self-developed assessment materials to ensure that the materials provide learners with the opportunity to provide sufficient evidence for the assessment standard(s). Groups are expected to agree on any necessary changes, but in the event of lack of agreement, Careerforce will provide a definitive ruling which will be recorded in the minutes of the meeting. This ensures that all assessment activities used in the industry are fair, valid, and consistent.

Alternatively, pre-assessment moderation of self-developed assessment materials may be undertaken by Careerforce by post or during a site visit.

If organisations with consent to assess conduct assessments using assessment materials that have not first been approved by Careerforce through pre-assessment moderation, Careerforce will escalate notification of a risk to NZQA.

2. Post-assessment moderation

Organisations with consent to assess can attend annual cluster group meetings to moderate assessments against the assessment standards assessed during the year. Preference is for assessment standards detailed in the 5-year moderation plan. Organisations must still complete post-assessment moderation regardless of which assessment standards they have assessed. Details of the cluster group meetings are available on the Careerforce website and will also be advised in writing to organisations at least one month before the meeting.

Alternatively, post-assessment moderation may be undertaken by Careerforce by post or during a site visit.

All organisations assessing against assessment standards must present samples of learners' work gathered from assessments conducted within the current calendar year or from the second half of the preceding year. Samples submitted for post-assessment moderation must include:

- the assessment tasks
- criteria used by the assessor to make assessment decisions (assessment guide/schedule, marking guide, model answers, exemplars)
- A matrix that maps assessment tasks to the assessment standards
- Samples of learners' work accompanied by assessor feedback to the learners

The Careerforce Moderation Team co-ordinates and facilitates the cluster group meetings and is responsible for ensuring that any issues of interpretation or variation in assessment practice or judgements are resolved. In the first instance, the Moderation Team will ensure that cluster group members make every effort to

resolve any disagreements. It is the responsibility of the Moderation Team to make a definitive ruling if any disagreements cannot be resolved.

If a cluster group meeting is unable to complete moderation of all samples presented at a meeting, the samples that were not moderated will be allocated to a Careerforce moderator for moderation. This will be without charge to the organisation that submitted the samples. The Moderation Team is responsible for recording the outcomes and sending moderation reports and feedback to the organisation.

During post-assessment moderation, if organisations with consent to assess are found to have conducted assessments using assessment materials that have not first been approved by Careerforce through pre-assessment moderation, Careerforce will escalate notification of a risk to NZQA. Careerforce will initiate pre-assessment moderation of the non-approved assessment materials and may charge the non-compliant organisation for this service. Subsequent action will be determined by the outcome of pre-assessment moderation.

Careerforce charges \$100/hour for post-assessment moderation of non-unit standard assessments using graduate outcomes.

All decisions are documented. Organisations are expected to inform all of their assessors of the decisions made and to ensure that any necessary changes are made to the organisation's assessment practice.

Materials required for post-assessment moderation

Education Providers must supply:

- A minimum of **3 samples** of learner assessments for each of **3 different unit standards** every year for post-assessment moderation from **each delivery site** in N.Z. where different people assess.
- Samples must include assessments from each programme containing Careerforce unit standards delivered by the provider in the year being moderated.
- A minimum of **3 samples** of assessments for **3 different unit standards** every year from each overseas delivery site. Samples must include assessments from each programme containing Careerforce unit standards delivered overseas by the provider in the year being moderated.

Careerforce may require additional samples to be supplied at any time.

Confidentiality and Intellectual Property

All parties involved in moderation will ensure confidentiality and security of all materials used. None of the parties involved in moderation may use the materials for any purpose other than for moderation, unless they have obtained written permission from the author or author organisation.

Reporting

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

Information obtained from pre-assessment and post-assessment moderation will be used by Careerforce to inform revisions and reviews of assessment standards.

Careerforce evaluates its national external moderation system on an annual basis as part of the annual evaluation and reporting to NZQA and conducts a formal review every three years. At any time, organisations with consent to assess, assessors, and moderators can submit feedback or recommendations to Careerforce regarding the moderation system.

The Moderation Team reports on assessment decisions and moderation outcomes in the minutes for each national external moderation event. The report is sent to each participating organisation within 20 working days of the meeting.

Funding

The Careerforce national external moderation system will be funded by:

- the National Moderation Transfer from NZQA;
- charges resulting from non-compliance with moderation requirements;
- charges for pre and post-assessment of assessments provided by organisations using non-unit standard assessments
- additional funds as required from Careerforce.

Organisations with consent to assess are responsible for the costs incurred by their participation in moderation, such as the cost of their representative's time, accommodation, and travel to cluster group meetings.

Careerforce may charge for services. Charge rates are \$100/hour to a maximum of \$800/day.

Non-compliance with moderation requirements

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

The Careerforce Moderation Team may decide that additional moderation is required when the national standard for moderation has not been met by an organisation with consent to assess. Careerforce will request further samples of learner work or revised assessment materials to be supplied within 20 working days of the original moderation decision. There is no charge for this additional moderation.

In the event of non-compliance with moderation requirements, the Careerforce Moderation Team will discuss requirements with the organisation to reach a solution. A timeframe and the required actions for compliance will be advised by the

Moderation Team to the non-compliant organisation. In addition, the Moderation Team may delegate to a suitably qualified and experienced person to contact or visit the organisation to facilitate compliance.

In situations of non-compliance, Careerforce may charge actual and reasonable costs for time (\$100 per hour including GST, to a maximum of \$800 per day), travel, and accommodation incurred by Careerforce for a visit by the Moderation Team or their delegate(s) to the non-compliant organisation.

Appeals

Any organisation with consent to assess may lodge an appeal against a moderation decision or process. The Moderation Disputes and Appeals process is available on the Careerforce website in the Careerforce Moderation Procedures.

The Careerforce Moderation Team and the organisation with consent to assess should negotiate a solution before progressing to a formal appeal. If negotiation cannot resolve the issue then the organisation with consent to assess can lodge a written request for a review with the Careerforce Manager - Moderation and Assessment Practice, including all relevant documentation, within 10 working days of issue of a moderation report. An independent review will be conducted by Careerforce as soon as practicable and a decision reached within 20 working days of receipt of the request for review.

Where the dispute process cannot resolve an issue, a written appeal may be lodged with the Careerforce Manager – Moderation and Assessment Practice within 10 working days of the outcome of the disputes process being advised. This appeal must include a cover letter detailing the reason for the appeal, the specific issues not resolved through the dispute process, and all relevant documentation.

The appeal will be considered by Careerforce Management and a decision communicated to all parties notified within 20 working days of receipt of the appeal.

The General Manager Learning Solutions of Careerforce will make a final determination and decision for all parties.

DAS Registration Information

Process	Version	Date
Registration	1	December 1994
Revision	2	October 2000
Revision	3	April 2002
Revision	4	December 2002
Review	5	March 2009
Review	6	May 2012
Review	7	April 2015
Review	8	June 2016
Review	9	June 2019

The next CMR review is planned to take place during 2021.

Unit standards covered by CMRs 0004 and 0222 will be moved to this CMR when they are next reviewed or revised – see table below.

Replaced CMRs	Replacement CMRs	Date
0004 v6	0024 v7	April 2015
0222 v6	0024 v7	April 2015