

CMR reference number: xxxx

Contact (s)

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Introduction

This consent and moderation requirements document (CMRs) specifies what a tertiary education organisation (TEO) or school/kura must meet to gain and maintain consent to assess against the standards this CMR applies to.

Information on how to apply for consent to assess, how to apply for programme or micro-credential accreditation that incorporates standards on the Directory of Assessment and Skill Standards, the documentation required, and NZQA Rules are on the [NZQA website](#).

The following sections outline the consent and moderation requirements set up by Waihanga Ara Rau.

Consent requirements

a. Particular skills and knowledge of teachers and assessors.

<p>General: The applicant organisation must have policies and procedures to ensure teachers or tutors, verifiers, assessors, or moderators maintain industry currency through selection, appraisal, and professional development opportunities.</p>
<p>Teachers or Tutors: The applicant organisation must have policies and procedures to ensure those engaged in teaching or training:</p> <ul style="list-style-type: none">• hold the relevant qualification, standards, or registration at, or preferably one level above, the level at which they are required to teach.• hold or are working towards a qualification in the delivery of adult education and training.• maintain regular contact with industry and maintain currency with technological advances, industry best practice, and legislative changes.• are able to demonstrate knowledge of and apply safe working practices. This will include applicable safety and legislative frameworks.
<p>Verifiers: The applicant organisation must have policies and procedures to ensure those engaged in verifying evidence:</p> <ul style="list-style-type: none">• hold the relevant qualification, standards, or registration at, or preferably one level above, the level at which they are required for verifying evidence for; or, are able to demonstrate equivalent technology skills and knowledge.

- are in a position or role to observe the learner undertaking tasks, performance, and validity of evidence.

Assessors:

The applicant organisation must have policies and procedures to ensure those engaged in assessment:

- hold the relevant qualification, standards, or registration, at, or preferably one level above, the level at which they are required to assess.
- are trained in standards-based assessment and understand competency-based assessment practice through gaining credit for standard 4098 - Use standards to assess candidate performance, or hold a relevant adult education and training qualification.
- meet the additional requirements of a regulatory board around supervision or being an authorised person.
- maintain regular contact with industry and maintain currency with technological advances, industry best practice, and legislative changes.
- are able to demonstrate knowledge of and apply safe working practices. This will include applicable health, safety and wellbeing obligations, or regulatory registration and legislative frameworks.

Note: If an assessor does not meet the CMR requirements then contact Waihanga Ara Rau to discuss a comparable alternative

Moderators:

The applicant organisation must have policies and procedures to ensure those engaged in internal or external moderation:

- are competent in moderation practice through gaining credit for standard 11551 - Quality assure assessment, or are able to demonstrate equivalent knowledge and skills.
- Have or are working towards US11552: Design and evaluate assessment materials.

b. Special resources required for assessing against the standards.

General:

- Where an organisation with consent to assess has entered into a collaborative or sub-contracting arrangement with an organisation without consent to assess for delivery and assessment of programmes, the organisation must apply to NZQA for approval to engage the subcontractor.
- Organisations must be able to satisfy the requirements of applicable safety and legislative requirements. Organisations must be able to show evidence of their capacity to meet this legislation and guidelines; for example, documented safety procedures, advice to learners regarding hazards, and reporting procedures.
- Where standards state Waka Kotahi (NZ Transport Agency) involvement, applicant organisations must have policies and procedures to ensure that Waka Kotahi requirements are met.

Resource Development:

Organisations must have policies and procedures to ensure that:

- there has been consultation with industry and other interested parties in the development of training and assessment materials, where appropriate or necessary.
- formal advisory links with industry are maintained and used to source expertise and guidance on current industry practice, for development and review of training and assessment materials.
- all assessment materials are submitted to Waihanga Ara Rau for pre-assessment moderation and approval before use, and following any changes to those materials.

- any Recognition of Current Competence (RCC), or other equivalency and competency mapping process assessment resources which result in the award of credit for standards, are pre-assessment moderated by Waihanga Ara Rau before use and following any changes to those resources.
- all self-developed assessment materials are internally pre-assessment moderated prior to submission to Waihanga Ara Rau.
- any obtained (purchased) assessment materials are internally pre-assessment moderated prior to use to verify suitability.
- internal pre-assessment moderation is undertaken by appropriately qualified and trained Moderators.
- robust internal evaluation of assessment materials, to ensure a continuing focus on improving assessment practice, is undertaken annually by appropriately qualified and trained staff.
- feedback on delivery, and training and assessment materials is obtained from learners and industry representatives, and incorporated into future development.
- a holistic and integrated approach to delivery and assessment is employed, including all health and safety requirements.
- training and assessment materials enable all learning outcomes of standards to be met by all learners, including Māori, Pacific peoples, and learners with disabilities.
- the literacy, language and numeracy (LLN) requirements of training and assessment are considered in accordance with identified abilities of learners, and support is either embedded within materials, or provided externally when required.

Specialist Equipment:

Organisations must have policies and procedures to ensure that an appropriate range of training equipment and access to specialist equipment, materials and resources will be available to learners to support learning and assessment activities and enable standard and/or programme outcomes to be achieved.

Facilities:

Organisations must have sufficient safety equipment and facilities relative to the number of learners and the types of standards being assessed. The policies and procedures must state site responsibilities, safety arrangements, and access time.

c. Learner access to resources.

General:

Applicant organisations must have policies and procedures to ensure that learners are supported by having access to:

- training and assessment materials in various formats to accommodate different learning styles and accessibility needs.
- the standards, any pre-requisite standards, and all other relevant information.
- work/practical experience relevant to the industry, as per standard requirements, and there is regular contact with tutors and assessors throughout.
- clear assessment guidelines that detail the assessment method(s) and task(s), environment, duration, and appeals process.
- tutoring and/or mentoring to assist with any difficulties/challenges to achieve the standard.
- sufficient and appropriate guidance, including for those enrolled in distance learning programmes or involved in on-job training.

Assessment:

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

- assessment is fair, valid, and consistent.
- assessment occurs when the learner is ready for assessment.
- assessment provides for the integration of off-site practical and work-based assessment against the standards within a programme.
- 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.
- NZQA requirements for reporting credit achievement are complied with.
- there is a reliable system for ensuring samples of assessment against standards are stored for 12 months and readily available for post-assessment moderation.
- there is a reliable system for archiving information on final student achievements.

d. Practical experience

General:

The applicant organisation must have policies and procedures to ensure that on-job work-based components of training and assessment:

- are integrated with off-job components when teaching programmes are developed.
- are covered by the health and safety policies and procedures of the host organisation and meet the requirements of occupational safety and health legislation.
- that responsibilities for assessment and reporting of credits are clearly specified.
- that the assessor and/or verifier understand the principles of competency-based assessment and the implications of any guidance information outlined in relevant standards.

Workplace Environment:

Where learners are required to receive training in an off-site or work-based situation, applicant organisations must have policies and procedures that include a MOU or contract between the applicant organisation and the off-site provider which clearly states:

- the nature of the training the learners are to receive.
- the responsibility for safety of staff engaged in training and assessment, and of learners.
- the time and frequency of the learners' attendance.
- the name and relevant details of the learner(s) attending specific off-site locations.
- the information from the off-site provider that allows the applicant organisation to make progress and assessment judgements.
- the support mechanisms available to both the learner and the off-site provider for the duration of the training, including health and safety requirements, which includes a site safety plan.
- the nature of the work undertaken, alignment to the range of work indicated in the relevant standards, and the use of specified equipment.
- the responsibilities for assessment.

e. Site visit

General:

A site visit to the applicant organisation shall be required where the consent to assess application is for standards at Level 3 or above following the evaluation of the documentation supplied.

A site visit may be waived:

- where an organisation wants to extend an existing consent to assess and has a record of successful delivery and assessment; or

- where the level of consent to assess sought, combined with low numbers of standards, does not warrant a visit; or
- where the application for consent to assess has been developed in consultation with Waihanga Ara Rau; or
- where the organisation is well known to Waihanga Ara Rau and Waihanga Ara Rau has confidence in the organisations capacity and capability to assess against the standards.

Please see the Appendix at the end of this CMR for industry or sector-specific requirements that apply only to standards in specific domains.

Moderation requirements

National external moderation (NEM) systems are developed to ensure that assessment decisions in relation to assessment and skill standards are consistent nationally. All TEOs and schools with consent to assess against the standards, and all TEOs and schools with programme or micro-credential accreditation that incorporates standards on the Directory of Assessment and Skill Standards, must meet the requirements for NEM. Standard Setting Bodies (SSBs) are responsible for managing national external moderation systems for the standards they set, in accordance with the [Directory of Assessment and Skill Standard Rules](#).

SSBs must report annually to NZQA any concerns about the performance of education organisations participating in NEM. Ongoing unresolved non-compliance may lead to the withdrawal of consent to assess.

f. Moderation

All standards in the scope of this CMR are moderated through the national external moderation system of Waihanga Ara Rau, which is detailed below.

The moderation system operates on a planned annual cycle and will align with the current Moderation Process, Moderation Plan, and Assurance Plan published by Waihanga Ara Rau on their website.

The Waihanga Ara Rau moderation system is committed to assisting organisations in achieving consistency with the national standard.

Refer: <https://www.waihangaararau.nz/assurance/>

Moderation principles

Waihanga Ara Rau has a set of guiding principles that govern moderation. The moderation system should:

- support assessment that is fair, valid, and consistent.
- support 'best practice' in assessment, which includes using an integrated method of assessment based around an evidence collection model.
- foster collaboration between the parties and support continuous improvement principles.
- suit the culture of the particular industry sector.
- protect the integrity of the industry sector qualifications.

Key features of the moderation system include:

- a moderation cycle for each organisation with consent to assess.
- an annual review by Waihanga Ara Rau of the national external moderation system and its effectiveness.
- feedback and information sharing amongst all participants.

Responsibilities of Participants

The GM Assurance and Assurance Managers are responsible for the management of the moderation system.

The Waihanga Ara Rau Assurance Specialists are responsible for carrying out moderation activities as directed by the Assurance Managers.

Organisations with consent to assess are required to submit materials to Waihanga Ara Rau by the specified due date.

Moderation process

Waihanga Ara Rau has implemented a more collaborative and coordinated approach to the planning for moderation.

Moderation activities will be determined by one or more of the following:

1. **Focus** classifications: Focus classification for both providers and standards. This will be based on the NZQA credit reporting schedule for all tertiary education organisations.
2. A providers **internal** moderation plan: Aligning the sampling to the providers internal moderation planning.
3. **Themes** based moderation: Aligned to identified themes that have been captured during a moderation cycle. This may include specific themes for an industry, across several providers, or targeted standards.

Pre-assessment moderation

Organisations with consent to assess must submit self-developed assessment materials to Waihanga Ara Rau for pre-assessment moderation and approval prior to use or following change to already approved materials.

Organisations need to include internal moderation reports with all pre-assessment submissions.

Any Recognition of Current Competence (RCC) or other equivalency and competency mapping process assessment resources, which result in the award of credit for standards, must be submitted for pre-assessment moderation by Waihanga Ara Rau before use and following any change to already approved resources.

Post-assessment moderation

All organisations with consent to assess are required to participate in post-assessment moderation when requested by Waihanga Ara Rau.

Organisations with consent to assess must participate in accordance with the current Moderation Plan published by Waihanga Ara Rau. Where a provider is not aligned to the Moderation Plan, Waihanga Ara Rau will align moderation activity to the providers internal moderation plan.

Organisations need to include internal moderation reports with all post-assessment request submissions.

When the moderation process is concluded, each organisation will receive a moderation report outlining results and recommending improvements, if required.

Organisations may be required to participate in on-site visits conducted by Waihanga Ara Rau. On-site visits will focus on the assessment of practical standards through observation of assessment activity and discussion with the organisation on improvements to assessment practice. When the moderation process is concluded, each organisation with consent to assess will receive a moderation report outlining results and recommending improvements, if required.

Post-assessment moderation will focus on:

- the highest level at which assessment is occurring.
- newly registered unit standards and/or areas of consent to assess.
- high quantity of assessment occurring.
- high focus standards as determined by Waihangara Ara Rau

Moderation Group Workshops (Cluster/Peer Review/Panel)

Waihangara Ara Rau may, at its discretion, co-ordinate or establish Moderation Group Workshops focused on specific groups of standards or organisations within industry sectors.

Moderation Group Workshops will be facilitated by Waihangara Ara Rau. Participants will be required to bring selected assessment samples and learners' evidence for moderation.

Waihangara Ara Rau will provide participating organisations with details of the workshop in advance and organisations with consent to assess will meet all costs associated with attending these workshops.

Moderators

All staff with responsibility for undertaking internal and/or external moderation are competent in moderation practice which is demonstrated through having credit for:

- US11551: Quality assure assessment, and
- Have or are working towards US11552: Design and evaluate assessment materials.

Assessors

All organisations will need to provide a list of all current assessors, including workplace and contracted assessors, to Waihangara Ara Rau upon request. The list will need to include evidence of how each assessor's credentials meet CMR requirements.

Evidence of how each assessor's practice and judgements meet CMR requirements will be demonstrated through provision of post-assessment moderation history over the past two years.

Waihangara Ara Rau reserves the right to call specific assessors for post-assessment moderation based on the current list.

Confidentiality

Waihangara Ara Rau will ensure the security and confidentiality of assessment materials and candidates' work received for moderation.

Reporting

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

Waihangara Ara Rau will evaluate the effectiveness of the moderation system annually. Information obtained from pre- and post- assessment moderation will be used by Waihangara Ara Rau to inform revisions and reviews of standards and to assist with NZQA Consistency Reviews.

Waihanga Ara Rau welcomes feedback from organisations with consent to assess to assist with the continual improvement of the national external moderation system. Contact the Waihanga Ara Rau Assurance Team to provide feedback via email at moderation@waihangaararau.nz.

Non-compliance with moderation requirements

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

Where an organisation with consent to assess does not meet moderation requirements, Waihanga Ara Rau will request further material and/or information from the organisation.

Waihanga Ara Rau will, on request from an organisation with consent to assess, provide clarification on any issue of non-compliance. This may involve a site visit with the organisation to work through any issue of non-compliance.

In cases where moderation uncovers inappropriate assessment methods and/or materials, Waihanga Ara Rau, in cooperation with the organisation with consent to assess, will outline an action plan. The action plan will specify the actions to be taken for the organisation to become compliant and the timeframe by which this must be achieved.

g. Appeals and dispute resolution.

In the event of any unresolved dispute over the results of moderation, the case should be submitted in writing to the Waihanga Ara Rau within 15 working days of the moderation result being received. The appellant completes the Appeals form available on the Waihanga Ara Rau website and returns the form to moderation@waihangaararau.nz. Waihanga Ara Rau will acknowledge receipt of the appeal and agree a timeframe for resolution.

The appeal will be completed within a 20-working day timeframe for resolution and the appellant advised of the result of the appeal.

If the organisation is not satisfied with the resolution, they may appeal further to the GM Assurance in writing within 15 working days of receiving the appeal result. The appeal will be reviewed, and the Waihanga Ara Rau Assurance Committee will provide a written response within 15 working days.

All available documentation will be taken into consideration and the Waihanga Ara Rau Assurance Committee decision will be final and binding.

An Appeals Policy is available from the Waihanga Ara Rau website.

Registration Information for the CMR

Process	Version	Date
Registration	1	dd Month yyyy
Revision	2	dd Month yyyy
Next review date	xx	dd Month yyyy

Replacement Information *(Remove table if not required)*

Replaced CMR(s)	Replacement CMR(s)	Date
XXXX VX	XXXX VX	dd Month yyyy
XXXX VX	XXXX VX	dd Month yyyy

FOR CONSULTATION

Appendix 1 Industry Specific Criteria

Applicant organisations must meet the common requirements of each criterion detailed in the CMR and these specific requirements for standards in the following specific domains and continue to meet them to maintain their consent or accreditation.

The domains specified within the following paragraphs have the specific requirements set out below those domains.

h. Particular skills and knowledge of teachers and assessors.

Domains	<ul style="list-style-type: none"> • Core Plumbing, Gasfitting, and Drainlaying • Plumbing • Gasfitting • Drainlaying
Specific Requirements	<p>Teachers or Tutors: For the teaching of Plumbing, Gasfitting, or Drainlaying qualifications or standards, the applicant organisation must have policies and procedures to ensure that teachers or tutors:</p> <ul style="list-style-type: none"> • are licenced as a Plumber and/or Gasfitter and/or Drainlayer if teaching programmes leading to the award of nationally recognised qualifications at Level 3 and Level 4. • are licenced as a Certifying Plumber and/or Certifying Gasfitter and/or Certifying Drainlayer if teaching programmes leading to the award of nationally recognised qualifications at Level 5 or above. • complete upskilling equal to that required for maintaining a current Plumbing, Gasfitting and Drainlaying (PGD) Registration Board licence relevant for the standards that they are assessing against, and which may count towards continuous professional development requirements of the PGD Registration Board.
	<p>Assessors: For the assessing of Plumbing, Gasfitting, or Drainlaying qualifications or standards, the applicant organisation must have policies and procedures to ensure that assessors:</p> <ul style="list-style-type: none"> • hold a current PGD Board certifying licence for the qualification/s they are assessing against. • are trained in standards-based assessment and understand competency-based assessment practice through gaining credit for standard 4098 - <i>Use standards to assess candidate performance.</i> • complete upskilling equal to that required for maintaining a current PGD Board licence relevant to the qualification/s that they are assessing against, and which may count towards continuous professional development requirements of the PGD Registration Board.
	<p>Verifors: For the verification of Plumbing, Gasfitting, or Drainlaying qualifications or standards, the applicant organisation must have policies and procedures to ensure that :</p> <ul style="list-style-type: none"> • for the verification of plumbing or drainlaying tasks, hold a current PGD Board licence as a registered tradesperson in the area they are assessing. • for the verification of gasfitting tasks, staff must hold a current PGD Board licence as a certifying gasfitter.

	<ul style="list-style-type: none"> observe the task being undertaken.
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Domains	Building, Construction, and Allied Trades Skills for Secondary Schools
Specific Requirements	<p>Staff teaching Building, Construction, and Allied Trades Skills qualifications or standards must be a registered teacher, who has completed technology teacher training, or who is able to demonstrate equivalent technology skills and knowledge.</p> <p>Organisations need to include images and plans or drawings of Level 3 BCATS projects (actual or intended) to demonstrate that projects are appropriate and of sufficiently complex to meet the definition of a Level 3 BCATS project. This will need to be provided for all Consent to Assess and Programme Endorsement applications.</p>

Domains	<ul style="list-style-type: none"> Generic Engineering – Level 6 Generic Infrastructure Civil Engineering – Level 6 Electrotechnology – Level 6 Applied Principles of Mechanical Engineering – Level 6
Specific Requirements	<p>The applicant organisation must have policies and procedures in place for the appointment of staff that ensure staff are appropriately qualified and experienced by:</p> <ul style="list-style-type: none"> demonstrating their current competence to practice as an engineer in a New Zealand jurisdictional context at least to the level at which they are intending to teach or assess. This will be evidenced by current registration as a Certified Engineering Technician (CertETn), Engineering Technology Practitioner (ETPract) or Chartered Professional Engineer (CPEng). demonstrating engagement with the wider engineering profession in New Zealand. Membership of EngNZ would provide good evidence of this, but engagement could be evidenced through membership of other learned society groups or industry associations. teaching staff holding or be working towards a qualification in the delivery of adult education and training.

i. Special resources required for assessing against the standards.

Domains	<ul style="list-style-type: none"> Driver Licence Endorsements
Specific Requirements	<p>Wheels, Tracks, Roller:</p> <p>The applicant organisation must have policies and procedures to ensure Waka Kotahi NZ Transport agency approved driver licensing course standards, used to obtain wheels, tracks or roller driver licence endorsement are conducted:</p> <ul style="list-style-type: none"> by a Waka Kotahi NZ Transport Agency approved course provider or an assessor working under a 'certificate of authorisation' to an approved course provider organisation; and in accordance with the Waka Kotahi NZ Transport Agency document "Statement of approval conditions document governing the delivery Waka Kotahi NZ Transport Agency approved driver licensing courses; and using the current version of the relevant approved assessment material, available for purchase from Connexis - Te Pūkenga. This is the only assessment material that may be used for assessment.

	<ul style="list-style-type: none"> • Recognition of Prior Learning (RPL) or other equivalency and competency mapping process assessment resources which result in the award of credit for standards, may not be applied in assessment of any standards to obtain a wheels, tracks and or roller (WRT) driver licence endorsement.
Domains	<ul style="list-style-type: none"> • Advanced Rigging • Advanced Scaffolding • Core Rigging • Elementary Scaffolding • Industrial Rope Access • Intermediate Rigging • Intermediate Scaffolding • Rigging and Scaffolding Safety • Suspended Scaffolding
Specific Requirements	<p>Learner Entry: Given the high-risk nature of the industrial rope access, rigging and scaffolding industries, the applicant organisation must have policies and procedures to ensure learners have the physical strength, dexterity, balance, co-ordination and motor skills to demonstrate competence in the standards.</p>