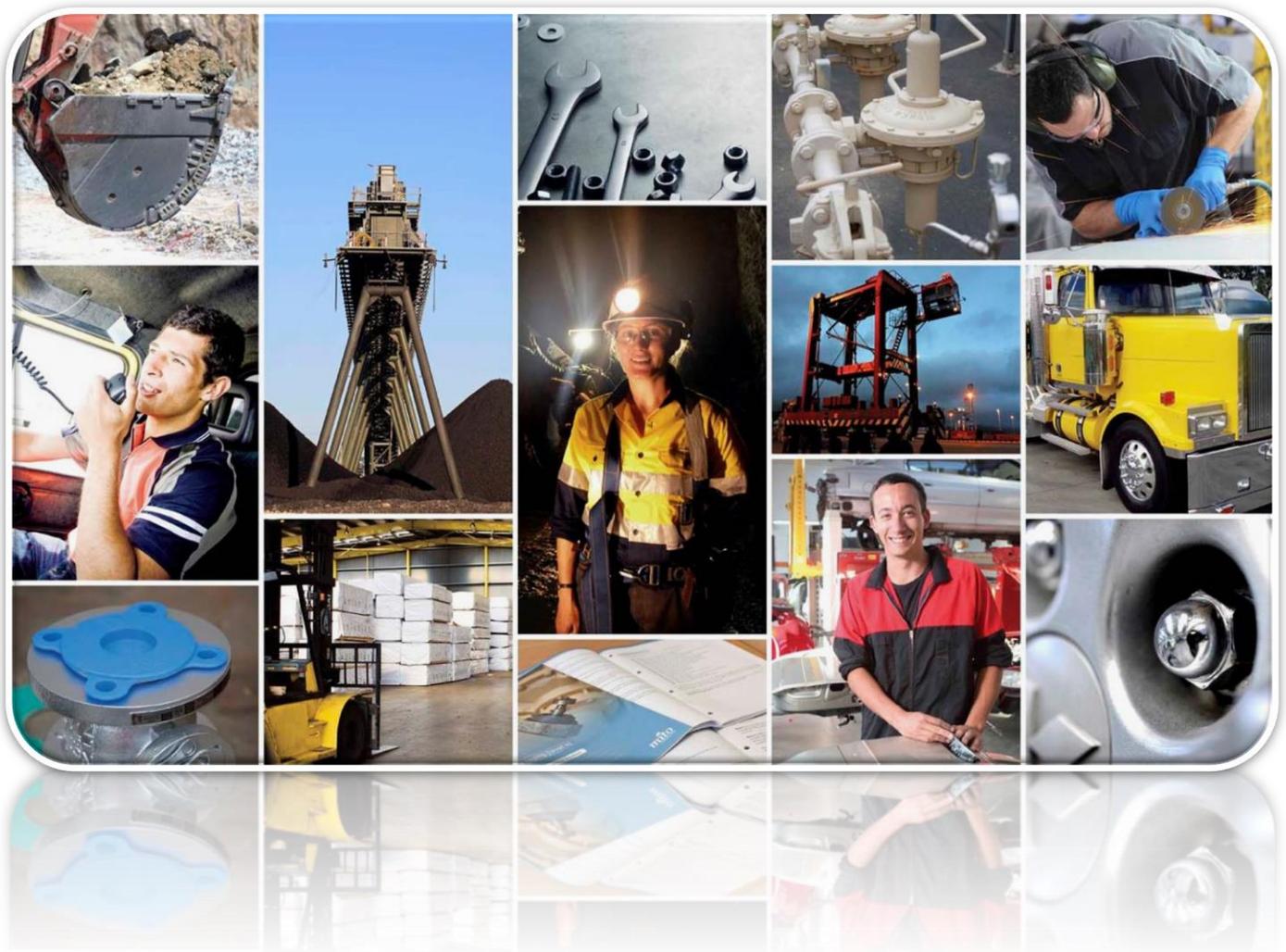




GUIDELINES FOR TERTIARY EDUCATION TRAINING PROVIDERS



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1 Introduction

These guidelines are designed to assist training providers to comply with MITO's requirements for moderation and gaining and maintaining consent to assess MITO unit standards.

All training providers assessing MITO unit standards must comply with MITO's CMR to maintain their consent to assess. For further detail about MITO's requirements for consent to assess, including sector-specific requirements, refer to CMR 0014.

2 Moderation

Moderation provides assurance that assessment is fair, valid and at the National Standard, and that assessors are making consistent judgements about candidate performance.

MITO's moderation system ensures that all training providers are assessing to the same standard.

It is the responsibility of each training provider to comply with the moderation requirements applicable to the unit standards they are assessing.

The unit standards for which a training provider has been granted consent to assess by NZQA are listed under the training provider on the [NZQA website](#).

For a training provider with consent to assess MITO unit standards, moderation may be any or all of:

- post-assessment moderation
- pre-assessment moderation
- site visit moderation.

2.1 Post-assessment Moderation

Post-assessment moderation involves moderation of completed assessments. In addition to ensuring that the assessment materials are at the National Standard (see pre-assessment moderation below), post assessment moderation ensures that assessor decisions about the candidate evidence/performance are consistent with the National Standard.

Assessor decisions are not consistent with the National Standard if the:

- assessor has not used the example evidence in the assessment schedule as a guide to their judgement
- judgement statement(s) in the assessment schedule have not been adhered to
- candidate evidence is inadequate for the level of the unit standard and/or the requirements of the unit standard

- assessor decisions are not marked clearly on the assessment material
- evidence to fulfil the requirements of the unit standard is missing
- authenticity of the evidence is in doubt.

2.2 Pre-assessment Moderation

Pre-assessment moderation involves moderation of assessment material before it is used to assess candidates.

Pre-assessment moderation ensures that:

- the assessment materials provide a candidate with the opportunity to demonstrate the required skill and knowledge in the unit standard outcomes, elements and/or range statements
- the explanatory notes in the unit standard have been considered in the assessment material
- the assessment materials allow the assessor to make fair, valid and consistent decisions about candidate evidence/performance
- assessment will be against a current version of the unit standard.

A training provider may develop assessment material to assess MITO unit standards or may purchase assessment material. Regardless of its source, the training provider reporting the result using their provider code is solely responsible for the quality of the material and for the quality of the assessor decisions that are made using the material.

Assessment material which has not been developed by the training provider reporting the result to NZQA should be quality assured before being used to ensure that the material will provide the candidate with the opportunity to meet the requirements of the current version of the unit standard.

Outcomes of pre-assessment moderation are either 'Met', 'Met but Modify' or 'Not Met'

An outcome of 'Not Met' may result if:

- the assessment material lacks quality and quantity judgement statements about the evidence that must be presented and/or
- the evidence and/or judgement statements are inadequate for the level of the unit standard and/or the requirements specified in the unit standard.

MITO requirements for pre-assessment moderation are detailed in Section 3.

2.3 Moderation Contact

All communication from MITO regarding moderation will take place through the training provider's appointed Moderation Contact. The Moderation Contact co-ordinates the training provider's response to a MITO invitation to assessor meetings and sends assessment material to MITO for moderation.

The Moderation Contact must not be the training provider's assessor. It must be someone at least one step removed from the national external moderation process, e.g. a person who is responsible for quality assurance within the training provider.

Where required MITO may negotiate a change to a training provider's Moderation Contact.

2.4 Moderation Plans

Organisations with consent to assess will be notified by email of the assessment material to be submitted for moderation, the due dates, and details of assessor meetings and site visit moderation as required.

Moderation requirements may include attendance at a moderation meeting, submission of post-assessment moderation, and/or participation in site visit moderation. A request for post-assessment moderation will be accompanied by a link to the Moderation Submission Cover sheet which must be submitted with the assessment materials.

Additional pre- and/or post-assessment moderation may result from non-compliance with moderation requirements or non-compliance with the National Standard (refer to section 2.7). In these cases, the Moderation Contact for the training provider is notified by email, and/or in the *Moderation Outcome Report* and moderation outcome email.

Any queries regarding moderation plans should be emailed to moderation@mito.org.nz

Moderation Submission Requirements

Assessment materials submitted for moderation must:

- be submitted on or before the due date
- be copies (not original assessments)
- for post-assessment moderation and moderation meeting moderation, include examples of assessments with an 'Achieved' outcome
- include all of the items requested, including the assessor judgement. These requirements will be specified in the moderation request
- have passed through an internal moderation process
- be accompanied by a completed Moderation Submission Cover Sheet for each unit standard being moderated.

Assessment evidence supplied for moderation must be identifiable as authentic to the learner for whom the assessment or evaluation decision was made, but for privacy reasons, the learner's name should not be on the material. The evidence may be identified using 'learner 1', 'learner 2' etc., instead of names. Any commercially sensitive information (such as company name, customer name, vehicle registration number) should also be removed from the submission material.

MITO undertakes to uphold the intellectual property rights and copyrights of other training providers and, for privacy reasons, to maintain confidentiality over Moderation Outcome Reports and recommendations.

Training providers are expected to submit assessment material by the date requested. If this date is unable to be met, contact the Qualifications Team at MITO as soon as possible to negotiate a new submission date.

If the submission is incomplete, MITO will email or call the Moderation Contact. MITO will hold the material but not moderate it until the remainder of the items required are received on or before the due date. All material submitted must be accompanied by a completed Moderation Submission Cover Sheet.

Moderation Outcome Notification

When moderation has been completed, notification of the outcome is provided via the MITO Moderation Outcome Report, which is emailed to the Moderation Contact. The Moderation Outcome Report states whether the assessment material and/or assessor decisions were consistent with the National Standard, and any actions which are required as a result of the moderation. Additional requirements may be included in the case of a moderation site visit.

The Moderation Outcome Report is sent by email, which also contains any follow-up actions required. Follow-up actions set out in the moderation outcome cover letter are added to the training provider's moderation plan and must be adhered to (refer to section 2.7 Non-compliance).

The training provider is accountable for implementation of any recommended/required actions specified in the Moderation Outcome Report and/or any follow-up actions contained in the moderation outcome cover letter. The Moderation Contact should facilitate and track the implementation process.

2.5 Site Visit Moderation

A sample group of training providers is selected each year for on-site moderation visits. The selection of the training providers is based on the unit standards in the training provider's consent to assess, the level of current assessment activity, and moderation history.

The purpose of a moderation visit is to monitor assessment procedures, follow up where the postal moderation process has identified assessment decisions that are not consistent with the National Standard, and observe any practical assessments being undertaken by the training provider against unit standards for which MITO is the Standard Setting Body (SSB).

A site visit verifies that assessment requirements and assessor decisions are consistent with the National Standard. It is also an opportunity for the MITO to provide advice and guidance in relation to assessment and assessment policy and procedures, and the National Standard.

The visit includes:

- discussion about the provider's moderation outcomes for MITO unit standards in the current and previous years

- discussion about the provider's participation in MITO's moderation meetings in the current and previous years
- review of the provider's policies/processes for assessment against MITO unit standards.

The visit may also include:

- group discussion session for the provider's staff
- observation of assessment taking place.

Training providers will be informed when they have been selected for a site visit via email, and MITO will contact the Moderation Contact to determine suitable times and dates.

2.6 Non-compliance

Non-compliance with MITO's External Moderation System

Where there are concerns regarding a training provider's participation with MITO's external moderation system, MITO will contact the training provider to negotiate a satisfactory outcome. In the case of non-compliance, MITO will provide the training provider with written details of the non-compliance, the required action(s) and/or recommendations, and the timeframe in which the required action(s) must be completed.

Non-compliance with the National Standard

When a training provider's assessment material and/or assessor decisions are not consistent with the National Standard, MITO will follow up by any or all of:

- requesting submission of additional candidate evidence for post-assessment moderation
- requesting further pre-assessment and/or post-assessment moderation
- requesting submission of an action plan outlining how the required actions and/or recommendations will be addressed, including timeframes
- arranging a moderation site visit.

Ongoing Non-compliance

As an outcome of ongoing non-compliance with MITO's external moderation system and/or the National Standard, the training provider may be asked to prepare an Action Plan showing how they will achieve compliance with the national external moderation system and/or the National Standard.

MITO will report unresolved on-going non-compliance to NZQA.

2.7 Appealing a Moderation Outcome

In the first instance an issue with a moderation outcome should be discussed with the Senior Advisor – Quality and Compliance. If the issue is not resolved a formal appeal may be made to the Manager Quality and Compliance.

The appeal must:

- be on the MITO Moderation Appeal Form, which may be obtained from the Assessment and Moderation Co-ordinator on 0800 88 21 21
- state that it is an appeal and state the reason(s) for the appeal and/or the rationale for requesting that MITO change the moderation outcome.
- be received by MITO within 15 working days of your notification of the moderation outcome.

At the discretion of the Manager Quality and Compliance, the above requirements may be waived.

Within 10 working days of the appeal being received by MITO, the Manager Quality and Compliance will:

- consider the appeal
- obtain technical advice and consult with other parties as necessary
- decide on the appeal of the moderation outcome
- send written notification of the outcome of the appeal to the appellant.

The outcome of the appeal may only be overturned through the formal complaints process. Contact the MITO Qualifications team on 0800 88 21 21 for advice about the complaints procedure.

3 Training and Assessment

Training providers are required to assess MITO unit standards according to NZQA's best practice principles. All unit standard requirements must be met including explanatory notes requirements, specified assessment conditions, and health and safety requirements.

3.1 Programme Development and Evaluation

MITO requires training providers who assess MITO unit standards to:

- maintain links with industry and seek industry guidance on current industry practice

- regularly, and at least annually, evaluate programmes against the requirements of the currently registered unit standards and qualifications, and adjust the programmes if necessary, to meet the requirements of the latest versions
- have, or have access to, the necessary equipment and resources for training and assessment against the MITO unit standards in their programmes.

3.2 Programme Entry

Training providers must ensure that:

- entry requirements for programmes conform to those set out in the unit standards and qualifications
- student entry records are kept and maintained
- student's English language skills are sufficient for them to understand all requirements, instructions, and communications (oral, written, and graphic) necessary for compliance with industry-related regulations, and health and safety requirements.
- communication skills, literacy and numeracy skills and physical abilities match the requirements of the relevant unit standards and qualifications.

3.3 Trainer and Assessor Qualifications and Experience

Training providers must ensure that teachers, trainers and assessors (employed or contracted):

- hold the qualifications or unit standards they are training and/or assessing against, or are able to demonstrate equivalent knowledge and skills
- undertake ongoing professional development
- maintain regular contact with industry and keep up to date with relevant technological advances, industry best practice, and legislative changes.

All assessing staff must hold Unit Standard 4098 *Use standards to assess candidate performance*, or have equivalent knowledge and skills

All teaching and training staff must hold an appropriate teaching qualification, and/or Unit Standard 7114 *Coach adult learner(s)*, and/or have equivalent knowledge and skills.

Important

Additional requirements for trainer and assessor qualifications and experience apply to the industries below.

Automotive Industry

- staff teaching, training and/or assessing against unit standards up to Level 2 must hold a New Zealand Trade Certificate, or a National or New Zealand Certificate at Level 3 or above, or an equivalent qualification, which is relevant to the unit standards the staff member is training and/or assessing against

- staff teaching, training and/or assessing against unit standards at Level 3 must hold a New Zealand Trade Certificate, or a National or New Zealand Certificate at Level 4 or above, or an equivalent qualification, which is relevant to the unit standards the staff member is training and/or assessing against
- staff teaching, training and/or assessing against unit standards at Level 4 or above must either:
- hold a New Zealand Advanced Trade Certificate, or an 'A' Grade Registration, which is relevant to the unit standards the staff member is training and/or assessing against

or

- hold the National Certificate in Motor Industry (Advanced Technical) (Level 5) with strands in Automotive Electrical and Mechanical, and Collision Repair [Ref: 1143], with whichever strand is relevant to the unit standards the staff member is training and/or assessing against

or

- hold a New Zealand Trade Certificate, or a National Certificate at Level 4 or above, or an equivalent qualification, which is relevant to the unit standards the staff member is training and/or assessing against, and have a minimum of five years industry experience in a role that requires skills and knowledge in the same subject matter as the unit standards they are training and/or assessing against.

Heavy Haulage Industry

For the Heavy Haulage domain, training and assessing staff must be suitably qualified to meet the New Zealand Transport Agency compliance standards, and to ensure the safety of all road users. This may be evidenced by one of the following:

- current (within the last two years) operational experience working in the field as an operator in the road transportation of overweight and over dimension loads.
- five or more years' experience in the heavy haulage industry with employer verification of operational experience

and

- New Zealand Heavy Haulage Association endorsement.

New Zealand Transport Agency endorsements may also be required.

Drilling, Extractives and Metalliferous Mining Industries

Trainers and assessors must:

- hold the unit standard they are training and assessing against on their NZQA Record of Achievement (ROA), or hold a MITO-approved equivalent standard (e.g. Australian unit of competency)
- have currency of experience relative to the unit standard they are training and assessing against.

3.4 Training and Assessment Resources

Training providers must ensure that all resources required for the assessment of the unit standards are available and certified as appropriate, including all necessary equipment, vehicles and premises.

All on and off-site premises and procedures must meet the requirements of the Health and Safety at Work Act 2015 and any subsequent legislation, and all other relevant safety requirements including appropriate certification personal protective equipment and access to first aid.

3.5 Training and Assessment Materials

MITO recognises the academic autonomy of organisations with consent to assess to develop their own assessment materials except where the outcome of the assessment is used to obtain a driver license class or endorsement, when only assessment material that has been approved by Waka Kotahi NZ Transport Agency and MITO may be used.

All self-developed assessment material for unit standards in the following subfields must be submitted to MITO for pre-assessment moderation:

- Drilling
- Extractives
- Gas
- Metalliferous mining
- Resource recovery
- Solid waste

For the Commercial Road Transport, Driving and Logistics, Ports and Stevedoring and Motor Industry subfields, self-developed material for unit standards at level 3 and above must be submitted to MITO for pre-assessment moderation.

MITO may also request a sample of level 1-2 assessment materials for these sectors.

Other pre-assessment moderation requirements will be communicated if necessary.

A charge for pre-assessment moderation will apply. Current rates are available on request from MITO.

Training providers may submit any other self-developed assessment material to MITO for pre-assessment moderation to ensure it is at the National Standard.

Training providers developing resource materials for MITO unit standards should check this [spreadsheet](#) for information about the specific unit standards. This spreadsheet includes MITO rulings on the interpretation of individual MITO unit standards. Queries or comments about MITO unit standards or qualifications should be emailed to resourcecomments@mito.org.nz.

3.6 Off-site Practical or Work-Based Training

In cases where training is conducted off-site or is work-based, a written agreement between the training provider and the organisation conducting the off-site practical or work-based training must be signed.

The written contract must detail the responsibilities for, and the method of:

- instruction, assessment, tracking and reporting for all practical training and assessment
- gathering information from the off-site or work-based training provider to allow both parties to make accurate progress and assessment judgements
- ensuring safe working environments for the students
- providing support mechanisms to both the learner and the off-site trainer for the duration of the training is developed.

The quality of the assessment including adherence to the requirements of the unit standard must be assured in the terms of the agreement between the two parties.

3.7 Assessor Upskilling Meetings

MITO training providers will receive an assessor meeting invitation at least once every three years. Each year a focus sector is selected by MITO, and meetings are held online or across the country for training providers in that sector. It provides opportunity for discussion, professional development, and best practice assessment.

Training providers fund their own administration for attendance at assessor meetings, and any travel and accommodation requirements.

Invitations to Cluster Group Moderation Meetings

An invitation is emailed by MITO to the Moderation Contact for the training provider. The Moderation Contact must RSVP to the invitation as directed in the invitation, with the names of attendees and the meeting(s) they will attend.

If the training provider does not RSVP to an invitation, the training provider's Moderation Contact will be emailed a reminder invitation.

If the reminder invitation is not responded to, MITO will contact the Moderation Contact to discuss the invitation. Procedures for non-compliance with MITOs' External Moderation System will be initiated as necessary.

Confirming Meetings

Once RSVPs have been received, MITO will confirm meeting dates and times, and locations and venues if necessary, and email the details to the Moderation Contact.

Appendix A – Joint Assessment Unit Standards (Extractives industries)

Joint assessment must be conducted in the assessment of the following high risk unit standards:

7145	<i>Design, establish and maintain an effective ventilation system in an underground mine</i>
8918	<i>Carry out shotfiring operations</i>
8920	<i>Design blasting layouts and carry out shotfiring in underground metalliferous mines</i>
8921	<i>Design blasting layouts and carry out shotfiring in underground coal mines</i>
15662	<i>Investigate and design a roof support system for underground mines and tunnels</i>
17697	<i>Design blasting layouts and carry out blasting operations for construction work</i>
17705	<i>Develop and maintain basic ventilation systems in underground mines and tunnels</i>
21280	<i>Demonstrate knowledge of and design an effective ventilation system in an underground mine</i>
21281	<i>Interpret and test for gases in an underground extraction site</i>
30898	<i>Design and maintain effective ventilation systems for a non-coal underground operation</i>
30899	<i>Describe, develop, and maintain basic ventilation systems for a non-coal underground operation</i>
30900	<i>Test for gases, interpret findings, and demonstrate knowledge of follow-up actions in a non-coal underground operation</i>

To conduct a joint assessment, two assessors, or one assessor and one technical verifier, must have witnessed the learner undertaking the tasks required for assessment against the unit standard and have come to the same judgement of competence.

At least one assessor or the verifier must hold the unit standard they are assessing against on their NZQA Record of Achievement.

A technical verifier must have the skills and experience to verify student competence in the assessment task requirements.