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NEW ZEALAND QUALIFICATIONS

AUTHORITY



NEW ZEALAND QUALIFICATIONS AUTHORITY  
MANA TOHU MĀTAURANGA O AOTEAROA

— Policies and Criteria for the  
Ongoing Registration of  
Private Training Establishments

New Zealand Government



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# Foreword


This publication outlines the *Policies and Criteria for the Ongoing Registration of Private Training Establishments*. It explains how NZQA ensures registered PTEs continue to provide a sound and stable learning environment after their initial registration.

For information about initial registration, please refer to the *NZQA Guidelines for the Registration of Private Training Establishments*.

These two documents replace *Quality Assurance Standard One*, which has been revoked with the introduction of the new, evaluative Quality Assurance Framework, from 1 September 2009.

The Quality Assurance Framework focuses primarily on the outcomes of learning and teaching. Its main components are:

- registration, accreditation and course approval;
- self-assessment – an ongoing process through which education organisations evaluate their own performance and identify strengths and areas for improvement;
- external evaluation and review – a systematic assessment by an external body of the quality of learning outcomes achieved.

For ongoing registration, a PTE must deliver education that is responsive to the needs of learners and other stakeholders. A registered PTE must also have the capacity to undertake evaluative self-assessment. 





# Legislative requirements for ongoing registration

Under section 253(1) (ca) of the Education Act, it is a function of New Zealand Qualification Authority to establish policies and criteria for the registration of PTEs.

Compliance with policies and criteria made under section 253(1)(ca) is a condition of ongoing registration for all registered PTEs.

Other policies and criteria established under section 253(1)(ca) are NZQA's Student Fee Protection Policy and its policy requirements for the Quality Assurance Framework outlined on its website.


Where it is relevant, a registered PTE must also comply with policies established by NZQA under section 253(1). This relates to course approval, course accreditation and National Qualifications Framework accreditation.

To maintain registration, PTEs must also continue to meet all the requirements for registration set out in section 236(1) of the Education Act and comply with any conditions applying to it.<sup>1</sup>

Please note that failure to comply with any of these statutory requirements and policies and criteria may give grounds for NZQA to cancel a PTE's registration under section 237 of the Education Act.

NZQA will, wherever possible, give a PTE the opportunity to rectify any failure to meet the standards required under these policies. However, in serious cases, NZQA may issue a compliance notice under section 255A of the Education Act 1989. A compliance notice requires the PTE to do, or refrain from doing, a particular thing in relation to its registration. If the PTE fails to comply with the notice within the specified time, NZQA may decide it is appropriate to cancel the PTE's registration.

The following policies and criteria outline the approach NZQA will take to determining whether a PTE continues to meet the standard required for ongoing registration.

The criteria identify the standards a registered PTE is expected to comply with to maintain its registration. Each criterion is followed by policies that outline NZQA's expectations for ongoing registration. 

<sup>1</sup> Section 237, Education Act 1989.



# Criterion One: Governance And Management

Governance and management functions are distinct, support academic integrity and are undertaken in the best interests of the PTE and its learners.

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## POLICIES

### Goals and purposes

- 1.1 The primary focus of the PTE's activities must be the achievement of its goals and purposes relating to education and training.
- 1.2 The PTE contributes positively to the goals of the Tertiary Education Strategy and the objectives of tertiary education in the Education Act 1989.

### Ownership

- 1.3 The body corporate status of the PTE or its governing body must be current and the organisation compliant with all legal requirements.
- 1.4 The conduct of the PTE's officers and directors must not be likely to bring the PTE into disrepute nor conflict with its educational goals and purposes.
- 1.5 Arrangements with shareholders, trust beneficiaries, related companies and other bodies must not conflict with the PTE's educational focus or be incompatible with its education and training purposes and goals.
- 1.6 The PTE incorporates relevant principles of the Treaty of Waitangi into its culture and activities.


### Change of ownership

- 1.7 Where ownership is changed as a result of a sale or transfer of the PTE's assets or operating activities to a body that is not a PTE registered under the Education Act 1989, the new owner must apply for new registration and, where applicable, accreditation.
- 1.8 Where ownership of the enterprise is changed as a result of a sale or transfer of shares, the purchaser or transferee must apply to have the PTE's current registration confirmed under the new ownership.

## Management

- I.9 The people who are responsible for day-to-day management must have skills and experience appropriate to the PTE's educational goals and purposes, its specific characteristics, its distinctive contribution to the tertiary education sector and the services it provides to learners and other stakeholders.
- I.10 The PTE must comply with all applicable legal and regulatory requirements.
- I.11 The PTE must submit, annually, such documents as are required by NZQA to monitor the PTE's continued satisfaction of the statutory requirements of registration and compliance with NZQA *Policies and Criteria for Ongoing Registration*.
- I.12 Public information about the PTE and the education and other services it provides must be accurate, clear and not misleading.
- I.13 A PTE cannot associate its registration status with courses not approved under the Education Act 1989 section 258 or qualifications not registered on the National Qualifications Framework.
- I.14 Personnel policies and procedures for all staff should comply with New Zealand laws, be reviewed regularly, and should meet the needs of the PTE.
- I.15 A PTE must ensure its records are managed to ensure their accuracy, integrity and compliance with relevant statutory requirements.

## Quality management

- I.16 The PTE applies a coherent quality management system across all aspects of its business.
- I.17 Every PTE should have a risk management plan appropriate to the PTE and its special characteristics. The risk management plan should identify, analyse and evaluate risks across the PTE's business activities, including education provision. The PTE should have policies and procedures to mitigate the likelihood and consequence of some risks. 



## Criterion Two: Finances

Financial management uses sound practices and achieves acceptable financial performance to recognised professional standards.

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### POLICIES


#### Accounting

- 2.1 All financial records are kept up-to-date and follow accepted accounting principles.
- 2.2 The PTE must have an adequate system of internal controls which is reviewed annually.

#### Financial reporting

- 2.3 Financial statements are prepared according to Generally Accepted Accounting Practice and comply with all financial reporting standards in New Zealand.

#### Financial viability

- 2.4 A PTE must be financially sustainable and able to meet its financial commitments. 



# Criterion Three: Resources

Physical and learner resources support good educational practice and are current, available and relevant to the learners.


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## POLICIES

### Premises

- 3.1 All premises used for the purposes of teaching and training must be of a sufficient size for the number of learners, suitable to the learners' needs, and appropriate for the courses being taught.
- 3.2 All premises must comply with regulations relevant to the purposes for which they are used.
- 3.3 A PTE should take reasonable steps to ensure off-site learning is undertaken in conditions which are equal to on-site learning conditions.

### Learning resources

- 3.4 Learners can access and use learning resources and equipment that are current and appropriate.
- 3.5 Learners can access independent learning services, such as library, study aids and electronic aids, where these are needed to achieve good learning outcomes.
- 3.6 The PTE takes all reasonable steps to ensure equipment used during the course of education and training is safe to use and is used safely. 




## Criterion Four: Staff

Recruitment, management and development of staff ensure sufficient personnel with the necessary skills, experience and knowledge.

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### POLICIES

- 4.1 A PTE must use appropriate recruitment and selection practices to make sure it has enough personnel with:
  - (a) teaching and subject knowledge;
  - (b) assessment and moderation expertise;
  - (c) educational management expertise;
  - (d) quality management expertise;
  - (e) student support skills;
  - (f) financial and administration expertise.
- 4.2 The PTE's policies and procedures for ensuring the recruitment, management and development of teaching staff ensure there are sufficient personnel with the skills, experience and knowledge necessary to provide high quality teaching and learning.
- 4.3 A PTE must implement staff development and management processes to ensure teaching skills and subject knowledge are current and relevant to the needs of learners and other stakeholders. 



# Criterion Five: Courses

Development, design and delivery of courses respond to the demonstrated needs of learners and relevant parties and are consistent with the goals and purposes of the private training establishment.


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## POLICIES

### Development, Design and Approval

- 5.1 The PTE designs, develops and approves courses/programmes that:
- (a) are based on the needs of learners and other relevant parties, including potential employers and communities;
  - (b) incorporate requirements of any funding or standard-setting bodies;
  - (c) specify the learning outcomes and expected standards of achievement;
  - (d) ensure the learning outcomes are achievable within the timeframe of the course/programme;
  - (e) have appropriate content, teaching and learning strategies, resources and assessment activities;
  - (f) are current with latest industry or unit standards;
  - (g) integrate any off-site practical or workplace components.

### Delivery and Evaluation

- 5.2 The effectiveness of a course, its delivery and its value to learners and other relevant parties is evaluated as part of the PTE's ongoing self-assessment.
- 5.3 The results of self-assessment of courses/programmes are used to improve learning outcomes and achievement. 



## Criterion Six: Learners

Learner support, information and entry ensure appropriate learning pathways, a safe learning environment and a reasonable chance of successful achievement.


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### POLICIES

#### Learner support

- 6.1 The PTE deals with students in a fair and equitable manner.
- 6.2 The PTE has an approach to well-being that encompasses taha whānau (social/cultural), taha wairua (spiritual), taha hinengaro (emotional/mental) and taha tinana (physical) dimensions to encourage and enable progress.
- 6.3 Learners have access to educational and non-educational support and guidance services that meet their individual needs.
- 6.4 There is a clear process for receiving and responding to student complaints which is accessible by students and which refers to NZQA's complaints process.
- 6.5 The PTE must comply with NZQA's Student Fee Protection Policy.

#### Learner information and entry

- 6.6 Students and prospective students receive clear information on the PTE, its courses and other educational services to enable them to make informed choices about their course of study.
- 6.7 Written information on entry and selection criteria, total course costs and other financial commitments is provided to students before enrolment.
- 6.8 The PTE has a clear set of rules for student participation in courses and on-site behaviour which are enforced through a fair and equitable disciplinary policy.
- 6.9 The PTE implements systems for gathering, recording, maintaining and storing student information. Student records are accurate and accessible by students and the integrity of the information is protected. 



# Criterion Seven: Assessment

Assessment of learner achievement and moderation ensures that assessment tasks, methods and decisions are fair, reliable and valid and that moderation and reporting comply with the requirements of NZQA and other national standard-setting bodies.


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## POLICIES

### Assessment and moderation

- 7.1 The PTE has systems of assessment and moderation for assessing learners against the expected outcomes of programmes which:
- (a) ensure assessment processes and decisions are open, systematic and consistent; assessment methods are appropriate, fair, manageable and integrated with work or learning and evidence is valid, authentic and sufficient;
  - (b) provide for internal moderation of assessment materials and judgements;
  - (c) comply with external moderation requirements of NZQA and national standard-setting agencies;
  - (d) ensure learners are assessed only against those unit standards or qualifications registered on the National Qualifications Framework for which the provider has accreditation.

### Reporting

- 7.2 A PTE adequately and appropriately reports on learner achievement, reporting learner achievement of National Qualifications Framework credits to NZQA accurately, as soon as practicable after assessment has taken place, and only in relation to the scope of the accreditation granted. 




## Criterion Eight: Quality Assurance

Quality assurance is based on an evaluative approach that judges the quality, value and importance of educational outcomes and key contributing processes.

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### POLICIES

- 8.1 The PTE's quality assurance should focus on educational outcomes and key processes contributing to the achievement of those outcomes as set out in the policies for the Quality Assurance Framework established by NZQA.
- 8.2 The PTE must:
  - (a) undertake ongoing self-assessment of its performance;
  - (b) ensure the results of this self-assessment are used to monitor and continuously improve the PTE's performance. Self-assessment should also be used to improve the quality of educational and other outcomes for learners and other interested parties, including their potential employers and communities;
  - (c) be subject to periodic external evaluation and review by NZQA.
- 8.3 The PTE is required to achieve and maintain levels of at least *Confident* in their educational performance and capability as a result of its external evaluation and review.
- 8.4 NZQA staff will be given access to all premises, equipment, records, data and information, staff and students:
  - (a) with reasonable notice, for quality assurance purposes, including financial and compliance audits, complaints investigation and external evaluation and review;
  - (b) without notice where NZQA has information there is or is likely to be a threat to the welfare or safety of staff, students or visitors. 



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