

Policy Document ETQA3 : Assessor Registration & Management



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Policy Overview

Policy Purpose To inform providers, constituents and Theta ETQA staff of the policy and principles of Theta assessor registration and management.

Legal Basis ETQA Regulations
 SAQA: Criteria & Guidelines for Providers
 SAQA: Quality Management for Providers
 SAQA: Registration of Assessors

Policy Statement¹ Assessment for **certification purposes** on Theta **qualifications, learnerships, unit standards and skills programmes**:

- is conducted under the auspices of an accredited provider
- falls within the accredited scope of the provider, and
- is subject to the approval process of the Theta ETQA with regards to the
 - assessor scope, and
 - assessment strategy and guide.

Terminology All terminology used in this policy bears the implicit meaning as stated in the policy document: **ETQA0: Glossary of Terms and Acronyms**

Assessor Appeal An Assessor may **lodge an appeal²** with the Theta ETQA in the following Instances:

1. Withholding of registration as an assessor
2. Withholding of requested assessor scope of registration
3. De-registration of an assessor
4. Non-renewal of assessor registration

The Theta **Quality Committee³** shall constitute the Appeals Committee for the Evaluation of Appeals.

¹ Policy based on the SAQA document: "Criteria & Guidelines of Assessor Registration"

² For further details see ETQA5 Appeals

³ For further details on the Quality Committee see Quality Committee terms of Reference, or THETA Constitution

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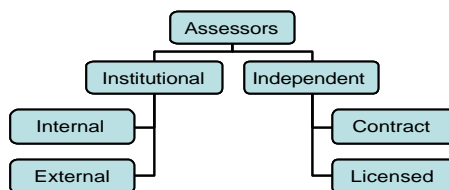


ETQA Operational Principles

Assessor Types

The Theta ETQA recognizes *various types of assessors* within its provider base:

Institutional Assessors: Internal or External
 Independent Assessors: Contract or Licensed



Part	Function
Institutional Assessors	Assessors within an accredited provider organization
Internal Assessor	Assessor in the employ of an organizational employer provider, who conducts assessments primarily for that employer as part of organizational performance management. Generally it is understood that this assessors' core function is not assessment.
External Assessor	Assessors in the employ of private and public providers, where their core function are most likely ETD practices in general, and assessment is conducted for external learners on a cost basis.
Independent Assessors	Assessors not attached to one accredited provider, who contracts their services for a defined scope to several accredited providers
Contract Assessors	ETD practitioners not attached to any specific provider, and who contracts their services as subject matter experts to accredited providers for a fee.
Licensed Assessors	Assessors operating under a defined licensing agreement and/or MAP (Model of Approved Provision)

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ETQA Operational Principles, Continued

Assessor Expertise

- As per the SAQA policy on the assessment of unit standards, Theta requires assessors to show **evidence of expertise** for the unit standards and/or skills programmes that they intend to assess.
- The table below defines the **competence areas** required, as well as evidence requirements:

Assessor Expertise	Technical Expertise	Contextual Expertise
ASSMT01: Plan and conduct an assessment	Subject Matter Expertise in the unit standard scope	Prior experience / exposure to the context / environment / operation within which the unit standard competence will take place
Evidence Requirements		
<ul style="list-style-type: none"> • Copy of ETDP SETA Certificate, or • Accredited ETD provider certificate / letter / Declaration of Competence 	<ul style="list-style-type: none"> • Qualification related to unit standard scope, or • Copy of Theta certificate / letter in unit standard scope 	<ul style="list-style-type: none"> • Resume on prior experience and exposure to unit standard learning area, or • Official, recognized registration in the capacity of the unit standard area

Inter-seta Registration

- The Theta ETQA shall **register assessors** for Theta allocated **unit standards, qualifications and skills programmes** only.
- Should an assessor or provider within the Theta constituency wish to register for unit standards **within their provision scope but outside of the Theta scope**, the onus of registration of such assessor for unit standards residing with other SETA ETQA's will rest solely with the **provider and/or assessor**.
- As a quality assurance measure, Theta will require evidence of such registration with the relevant ETQA's for MoU purposes
- THETA shall register assessors attached to **providers accredited by other SETA's**, who are offering **THETA** related qualifications, skills programmes and unit standards within an MoU agreement

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ETQA Operational Principles, Continued

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- Registration period**
- The **registration period** for assessors is **three (2) years**, from date of application.
 - Assessors are required to formally request a **Registration Renewal** at the end of their registration period.
 - Despite the above, *all* assessor registration will be reviewed between **April and July 2004**, as per the SAQA policy requirements.
 - Should a registered assessor not have certificate evidence of Assessment Competence (ASSMT01 – 7978) by April 2004 as outlined in this policy, **his/her registration will be suspended** until evidence thereof has been submitted to the Theta ETQA.

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- Evidence Facilitators**
- The use of Evidence Facilitators in the collection of **natural occurring evidence in the workplace** is encouraged by Theta.
 - Evidence Facilitators may be utilized as **contextual subject matter experts** in advising on or conducting actual assessment activities.
 - Evidence Facilitators are **not required to register** with Theta ETQA.
 - Despite the use of Evidence Facilitators, **the Assessor remains fully responsible** for the administration and management of the assessment process

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- RPL Advisors**
- Theta ETQA does not make provision for the **separate registration** of RPL Advisors.
 - All registered Assessors will be able to conduct **RPL⁴ assessments**.
 - The required RPL process of the provider organization must be followed during an RPL assessment.

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⁴ For detail on RPL, see ETQA4 RPL

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ETQA Operational Principles, Continued

ARRR – Assessor Registration Renewal Request

Assessors are expected to stay abreast of developments in their fields of expertise.

At the end of the registration period, the Assessor is required to:

1. Submit an ARRR (***Assessor Registration Renewal Request***)
2. Attach an overview of activities over the previous registration period that supports his scope of assessment
3. provide evidence of his development within his field of expertise during the period of registration

The above evidence may be in the form of:

- recent courses / workshops etc,
- official registration renewals,
- total number of learners assessed per unit standard/skills programme within assessor scope
- Copies of moderation results

Assessors who have not been active in assessment for at least one (1) year of the registration period with Theta prior to the ARRR, will be required to submit all evidence required in the initial registration process.

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Provider Operational Principles

Registration Process The following process of Assessor Registration is applicable to Theta:

	Process	Procedure	Resource	Tools	Who
Application Process					
1	Identify scope of registration	1. Identify areas of competence 2. Select appropriate unit standards 3. Do self assessment against unit standards	<ul style="list-style-type: none"> Theta Skills Programmes, Unit Standards 	<ul style="list-style-type: none"> Theta Web-site 	Assessor, provider
2	Complete registration documents	4. Complete assessor registration form 5. Attach assessor scope	<ul style="list-style-type: none"> Assessor Registration Form Theta Scope Document 	<ul style="list-style-type: none"> Theta Web-site 	Provider / Assessor
3	Attach Competence Requirements	6. Copy of qualifications, 7. Resume, and 8. Assessor Competence 9. Signed Assessor Code of Conduct	<ul style="list-style-type: none"> Code of Conduct 	<ul style="list-style-type: none"> Theta Web-site 	Provider / Assessor
4	Submit to ETQA	10. Registered Mail / courier to Theta ETQA			Provider / Assessor
Registration Process					
5	Receive Registration Pack	11. Log receipt in Comms Records 12. Acknowledge receipt of Registration Pack	<ul style="list-style-type: none"> Standard letter Communication Records 	ETQA Share Drive	Administrator
6	Process registration	13. Forward to Quality Assuror			Administrator
7	Evaluate registration pack	14. Review assessor application 15. Approve application	<ul style="list-style-type: none"> Assessor Registration Checklist 	<ul style="list-style-type: none"> ETQA share drive 	Quality Assuror
8	Register assessor	16. Capture registration on database	<ul style="list-style-type: none"> Dbase 	<ul style="list-style-type: none"> ETQA MIS 	Lrn Supp Officer
9	Communicate registration	17. Confirm period and scope of registration with assessor / provider	<ul style="list-style-type: none"> Standard letter 	<ul style="list-style-type: none"> ETQA share drive 	Administrator

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Provider Operational Principles, Continued

Continued... Assessor Registration Process

Assessor Registration Renewal Request Process					
10	Identify scope of ARRR	18. Do comparison of competence to new / current unit standards 19. Select appropriate unit standards	<ul style="list-style-type: none"> Unit standards / skills programmes 	<ul style="list-style-type: none"> Theta Web-site 	Assessor
11	Complete ARRR document	20. Complete ARRR form 21. Attach assessor scope	<ul style="list-style-type: none"> ARRR Form 	<ul style="list-style-type: none"> Theta Web-site 	Assessor / provider
12	Attach Competence Requirements	22. Attach updated resume of activities and expertise			Assessor / provider
13	Submit to ETQA	23. Registered Mail / courier to Theta ETQA			Assessor / provider
Assessor Registration Renewal Process					
14	Receive ARRR Pack	24. Log receipt in Communication Records 25. Acknowledge receipt of ARRR	<ul style="list-style-type: none"> Standard Letter Communication Record 	<ul style="list-style-type: none"> ETQA MIS 	Administrator
15	Process ARRR registration pack	26. Draw Database Report on Assessor Activities 27. Forward Information to Quality Assuror for evaluation	<ul style="list-style-type: none"> Dbase Report 	<ul style="list-style-type: none"> ETQA MIS 	Learner Support Officer
16	Evaluate ARRR registration pack	28. Review assessor application 29. Approve / assessor application	<ul style="list-style-type: none"> Assessor Registration Approval Checklist 	<ul style="list-style-type: none"> ETQA Share drive 	Quality Assuror
17	Renew assessor registration	30. Extend period of registration on database	<ul style="list-style-type: none"> Dbase 	<ul style="list-style-type: none"> ETQA MIS 	Learner Support Officer
18	Communicate registration renewal	31. Confirm period and scope of registration with assessor / provider	<ul style="list-style-type: none"> Standard letter 	<ul style="list-style-type: none"> ETQA Share drive 	Administrator

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Provider Operational Principles, Continued

Assessment Practice

Process:

All assessment for certification purposes on Theta unit standards and/or skills programmes must follow the **standard assessment process**:

1. Plan and prepare assessment
2. Prepare the candidate
3. Conduct the assessment
4. Make a judgement
5. Record the assessment
6. Review the assessment

Resources:

- THETA will perform an evaluation of provider assessment strategies for accreditation and / or extension of accreditation purposes.
- Despite the initial THETA approval of resources, the provider is required, prior to conducting assessments, to evaluate and approve its **assessment resources**⁵ (guide and strategy) as part of its moderation strategy.
- The Theta ETQA reserves the right to request evidence of resources, approval processes and pre-assessment moderation reports at any stage of assessment.

Assessment Principles:

- All registered assessors conducting assessments within the Theta scope of quality assurance are required to do so ethically, and with due consideration of the **generic assessment principles**.
- Although the Theta ETQA has a developmental approach to provision and assessment, a deliberate disregard of the generic assessment principles will be regarded as **misconduct**, and therefore **reason for de-registration**, as detailed further in this policy.

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⁵ Refer to ETQA2 Programme Evaluation & Management Policy

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Provider Operational Principles, Continued

Continued

Assessment Practice - Principles⁶

- | | |
|--|--|
| <ul style="list-style-type: none"> • Fair • Valid • Reliable • Appropriate • Manageable • Integrated into work or learning • Direct | <ul style="list-style-type: none"> • Authentic • Current • Transparent • Credible • Systematic • Sufficient • Ethical |
|--|--|

Moderation

- All registered Theta assessors is subject to **internal and external moderation practices**, as defined by the accredited provider QMS requirements and/or Theta ETQA requirements.
- Assessors are required to record and document all assessment activities, and make such assessment documentation available for moderation purposes.
- Storage of learner records must take place as per the provider QMS - assessors may not retain any learner information after assessment.
- Assessors must at all times protect the **integrity and confidentiality** of assessments and records.

Assessor Ethics

- All assessors registering with the Theta ETQA are required to sign and submit an Assessor Code of Conduct.
- All Theta registered assessors are required to act within the Assessor Code of Conduct in their dealings with learners, providers and Theta personnel.
- The Theta ETQA reserves the right to **investigate any suspected breaches** to the **Assessor Code of Conduct** by its registered members, and to **de-register an assessor** should it be deemed necessary to do so.

⁶ For details, please refer to SAQA: "Criteria & Guidelines of Assessor Registration"

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Assessor De-Registration

Suspension of registration

Withdrawal of registration will apply in the following instance:

1. The Theta ETQA is in receipt of sufficient evidence which indicates that the assessor has been involved in gross irregularities
2. If the Theta ETQA finds, through a structured process of investigation, that the assessor fails to perform its functions satisfactorily
3. Where the assessor has been provided with sufficient support and assistance and given a reasonable time frame to improve performance and the accreditation team reports that the Provider fails to meet the accreditation criteria

De-registration of assessors

The following instances are regarded as serious breaches of the Assessor **Code of Conduct**, and will be investigated by the Theta ETQA.

Should such an area of breach be confirmed in the investigation, de-registration of the assessor will take place.

No	Instance	Description
1	Misconduct	Complaints lodged by learners, providers or other stakeholders regarding conduct or ethics of the assessor during the assessment process
2	Moderation Results	Repeated non-performance and/or policy violations of an assessor emerging in moderation results
3	Misrepresentation	Willful misrepresentation by the assessor of: <ul style="list-style-type: none">• the provider scope,• his/her own expertise or• Theta policy issues and/or practices.
4	Competence Audit	An assessor is found to be not competent in the scope of assessment through external moderation

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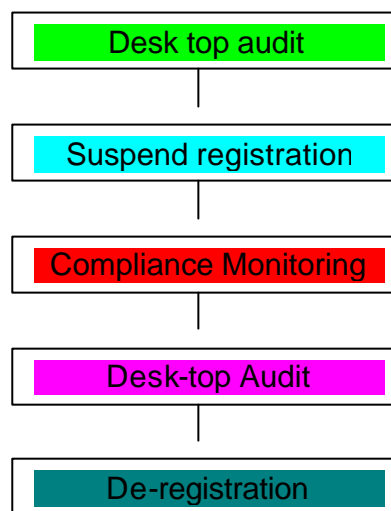
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Assessor De-Registration, Continued

Process of de-accreditation

The following process of de-registration is followed for conduct related issues:



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Assessor De-Registration, Continued

Continued ... Process of de-registration for conduct related issues

No	Process Phase	Procedure Steps	Documentation Required
1	Desk-top Audit	<p>The ETQA:</p> <ol style="list-style-type: none"> 1. Evaluates notifications and pattern of sub-standard irregularities 2. Requests <i>assessor through provider</i> to submit information for desk-top external moderation and/or verification 3. Performs desk-top evaluation 4. Drafts desk-top evaluation / external moderation report 5. Informs provider of outcome of desk-top audit 	<ul style="list-style-type: none"> • Request for information • External Moderation report • Desk-top Verification Report
<p>Note:</p> <ul style="list-style-type: none"> • Should the provider refuse to submit information or is unable to do so within the specified time period, thereby preventing the THETA ETQA in performing the required desk-top audit, the THETA ETQA shall proceed directly to step 2 of the de-registration process. • The provider shall also be informed of the ETQA's intent to perform a full verification of the provider in response to the inability to produce the required information. 			
2	Suspend registration	<p>The ETQA:</p> <ol style="list-style-type: none"> 6. Notifies the assessor through the provider of the suspension of registration, and the conditions for such re-registration 7. Advises the assessor through the provider of his rights of appeal 8. Publishes such information on the ETQA web-site 	<ul style="list-style-type: none"> • Notification of suspension • Appeals policy

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Assessor De-Registration, Continued

Continued ... Process of de-registration for conduct related issues

3	Conditional Compliance Monitoring	<p>The ETQA:</p> <p>9. Monitors the assessor's compliance to the Conditional Compliance Plan (where applicable) through the provider</p> <p>10. Corresponds with the assessor through the provider regarding the quality and acceptability of the compliance progress (where applicable)</p>	<ul style="list-style-type: none"> • Conditional Compliance Plan • Follow up external moderation/ verification report • Acknowledgement of receipt
<p>Note: Should the information submitted by the provider comply with ETQA requirements, the assessor, through the provider shall :</p> <ul style="list-style-type: none"> • be notified thereof, • suspension of registration be lifted, and • notification thereof be published on the web-site 			
4	Desk-top Audit	<p>ETQA:</p> <p>11. Performs desk-top evaluation</p> <p>12. Requests through assessor provider to submit additional information for desk-top audit, where required</p> <p>13. Drafts final external moderation / verification report</p> <p>14. Corresponds with the assessor through the provider regarding the quality and acceptability of the compliance progress</p>	<ul style="list-style-type: none"> • Overall ETQA Conditional Compliance Schedule • Acknowledgement of receipt • Final follow up external moderation / verification report

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Assessor De-Registration, Continued

Continued ... de-registration for conduct related issues

No	Process Phase	Procedure Steps	Documentation Required
Note: <ul style="list-style-type: none"> Should the assessor not comply with the Conditional Compliance Plan as agreed to, or refuse to comply, such assessor, through the provider shall be notified of his breach of agreement and pending de-registration, and given a time period within which to comply with the ETQA requirements. THETA ETQA also reserves the right to implement a verification of all provider practices as a result of an assessor de-registration 			
5	De-registration	The ETQA: <ol style="list-style-type: none"> Notifies assessor and provider of intention to de-register within a specific time-period Advises the assessor of his rights of appeal De-register the assessor on the THETA ETQA database and NLRD, and Publishes such information on the ETQA web-site 	<ul style="list-style-type: none"> ETQA de-registration letter

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Policy Maintenance

Quality Assurance

All assessor registration and management processes must be documented within the ETQA.
 All assessor registration and management processes taking place within the accreditation process must be completed within **60 days** of initiation with the ETQA
 All assessor registration and management processes taking place outside of the accreditation process must be completed within **30 days** of initiation with the ETQA

Indicators	Description
<ul style="list-style-type: none"> • Number of assessor appeals and/or complaints • Number of assessor de-registrations, and reasons thereof • Time frames for assessor registration, renewals, appeals and de-registrations 	<ul style="list-style-type: none"> • Annual Assessor Status Report

Policy Review

An **annual review** will be done of the policy and position stated herein by the ETQA Manager, and recommendations will be reviewed, documented and implemented.

Continuous Improvement

A yearly audit will be conducted by the ETQA Advisor, and random input for the improvement of processes will be obtained from key stakeholders. The nature of the Audit and Input will be to determine:

- problems encountered in the Assessor Registration and Management System of Theta,
- Possible improvements in system, documents, staff expertise and turn around times

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Policy Maintenance, Continued

Non-Conformance

The following actions will be regarded as a non-conformance:

Assessor:

- Misrepresentation of assessor scope for registration purposes
- Behaviour in contravention to the Assessor Code of Conduct
- Assessment practice not aligned to SAQA principles and / or the relevant unit standards

ETQA:

- Undue delay of the registration of the assessor
 - Failure to enforce the competence requirements in terms of this policy for registration purposes
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