



Health and Welfare Sector
Education and Training Authority

HWSETA

HEALTH AND WELFARE SECTOR EDUCATION AND TRAINING AUTHORITY

ASSESSMENT, MODERATION AND VERIFICATION POLICY


Document Name: Assessment, Moderation and Verification Policy			Division: ETQA
Date Approved: 15 June 2016		Supported by CEO:	Signature:
Date Revised: Aug 2015	Version No. 3	Approved By: Board	Signature:  15/06/2016
Next review date – Aug 2017			
Period of validity - 2 years	Policy:ETQPL0614	Procedure: Guidelines & process flow:	Included
Custodian of Policy: Board			Location:

TABLE OF CONTENTS

1. Abbreviations	3
2. Description of terms	4-7
3. Policy statement	7
4. Regulatory framework	8
5. Purpose	8
6. Scope and responsibilities	8
7. Assessment criteria	9-10
8. Assessor registration criteria	10
9. Assessor registration duration	11
10. De-registration of assessors	11
11. Moderation criteria	11-12
12. Moderator registration criteria	12-13
13. Moderator registration duration	13-14
14. De-registration of moderators	13
15. External moderation/verification/QALA criteria	14
16. Supporting tools	14
17. Relationship to other HWSETA policies	14
18. Policy review	14

ETCm

1. ABBREVIATIONS

CEO	Chief Executive Officer
CIPC	Companies and Intellectual Property Commission
DQP	Development Quality Partner
ETDPSETA	Education, Training and Development Practices Sector Education and Training Authority
ETQA	Education and Training Quality Assurance
HWSETA	Health and Welfare Sector Education and Training Authority
ID	Identity document
MOU	Memorandum of Understanding
NGO	Non-Governmental Organisation
NLRD	National Learner Record Database
NQF	National Qualification Framework
POE	Portfolio Of Evidence
QALA	Quality assurance of learner achievement
QCTO	Quality Council for Trades and Occupations
QMS	Quality Management System
RPL	Recognition of Prior Learning
SAQA	South African Qualification Authority
SDA	Skills development Act
SDL	Skills development levies (Act)
SETA	Sector Education and Training Authority
SDP	Skills Development Provider
SMS	Seta Management System

2. DESCRIPTION OF TERMS

Accreditation	Means the certification, usually for a particular period of time, of a person, a body or an institution as having the capacity to fulfil a particular function within the quality assurance system set up by SAQA.
Accreditation scope	Means the list of qualifications and or skills programmes for which a skills development provider is accredited.
Accreditation site visit	Means a visit that is conducted by the HWSETA to verify claims made by a training provider in the letter of intent and the accreditation application file, which enables the HWSETA to gather evidence for accreditation.
Achievement	Means the recognition granted to a learner when all required learning outcomes have been successfully demonstrated.
Appeal	Means a process of seeking a review of a decision already made, from higher authority.
Applicant skills Development provider	Means a skills development provider who is in the process of applying for accreditation or programme approval with the HWSETA.
Assessment	Means the process by which evidence is gathered and evaluated against agreed criteria in order to make a judgment of competence for developmental and/or recognition purposes.
Assessor or constituent Assessor	Means a person who is registered by the relevant ETQA body to measure the achievement of specified National Qualifications Framework standards or qualifications.

Audit	The process undertaken to measure the quality of services that have already been delivered.
Code of Conduct	Means a set of conventional principles and expectations considered binding on any person/s or organisation/s registered, approved and/or accredited by the HWSETA.
Education and Training Quality Assurance	Means a body accredited in terms of section 5 (1)(a)(ii) of the SAQA Act, responsible for monitoring and auditing achievements in terms of national standards or qualifications, and to which specific functions relating to the monitoring and auditing of national standards or qualifications have been assigned in terms of section 5 (1)(b)(i) of the Act.
Extension of scope	Means the addition of qualification(s), skills programmes and/or unit standard(s) after approval of the initial application.
Facilitator	Means an individual who facilitates learning processes and activities and manages and administers assessment: educator, teacher, trainer, mentor etc.
Full cycle of training	Means the process whereby the skills development provider has recruited, registered, trained learners, assessed, moderated and verified learners' achievements through HWSETA verification processes which led to certificates and or statement of results being issued.
Learning programmes	Means a combination of courses, modules or units of learning by which learners can achieve learning outcomes.
Mentor	Means a professional who is charged with the task of helping to train, advise, and share practical experience with the new person in an organisation.
Moderation	Means the process which ensures that assessment of the outcomes described in the NQF standards and qualifications is fair, reliable and valid.

Moderator	Means a person who has achieved competence against the moderator standard, certified by the ETDP SETA and registered by an ETQA.
Monitoring	Means a systematic continuous observation process and recording of activities to ensure quality compliance to set criteria and agreed developmental areas for improvement purposes.
National learner record database	Means an electronic information system that assists the South African Qualifications Authority (SAQA) to manage the National Qualifications Framework.
Non-governmental organisation	Means an organisation set up by ordinary citizens, (primarily run by volunteers or funded by governments, foundations or businesses) that is not part of a government or established for profit-making purposes.
Organisations	Means legally established entities in line with CIPC requirements and in good standing (which may include but not be limited to national and provincial government departments and agencies, institutions, NGOs, companies, centres and consultancies).
Policy	Means a statement of intent implemented as a set procedure or protocol.
Programme approval	Means a secondary accreditation of an SDP through an MOU signed between the ETQAs.
Quality assurance	Means the process of ensuring that the specified degree of excellence is achieved.
Quality management system	Means the combination of policies and processes used to ensure that the specified degree of excellence is achieved.
Recognition of prior learning	Means the comparison of the previous learning and experience of a learner, howsoever obtained, against the learning outcomes required for a specified qualification, and the acceptance for purposes of qualification of that which meets the requirements.

Registered qualifications	Means qualifications registered by SAQA on the National Qualifications Framework.
Registered unit standards	Means unit standards registered by SAQA on the National Qualifications Framework.
Scope of accreditation	Means the list of qualification/s and/or skills programme/s for which a skills development provider is accredited.
Scope of registration	Means the list of qualification/s, skills programme/s and/or unit standard/s for which an assessor or moderator is registered.
Skills programme	Means the bundling of unit standards from the same qualification that addresses an identified need and allows for progression/completion of a full qualification.
Skills development provider	Means an organization that is accredited or approved to deliver learning programmes.
Statutory body	Means a company or organization created by law, or statute, in order to regulate or carry out a public function.
Training site	Means a venue specifically designed and equipped for theoretical and practical learning delivery.

3. POLICY STATEMENT

- 3.1. The HWSETA, as one of the ETQAs delegated to carry out the quality assurance function of promoting quality learning in the health and social development sector, shall take into consideration the provisions of the NQF Act No. 67 of 2008 and related legislation promulgated for this mandate.
- 3.2. The HWSETA shall manage the assessments of learner achievement including registration of assessors in line with this policy. The assessment process and tools shall be adhered to in order to ensure uniformity in implementing this policy. A developmental approach shall be adopted when

gaps are identified and much needed support shall be provided to applicant assessors and Skills Development providers.

4. REGULATORY FRAMEWORK

- 4.1. NQF Act 67 of 2008;
- 4.2. SDA Act 97 of 1998 as amended;
- 4.3. SDL Act 9 of 1999.

5. PURPOSE

The purpose of this policy is to:

- 5.1. Communicate clear accreditation guidelines to the stakeholders;
- 5.2. Ensure that SDPs are approved and are implementing according to the prescribed framework;
- 5.3. Ensure that SDPs adhere to and comply with the prescribed framework;
- 5.4. Ensure standardisation and consistency by the HWSETA regarding assessments, moderations and verifications.

6. SCOPE AND RESPONSIBILITIES

- 6.1. The HWSETA shall ensure that this policy is implemented by skills development providers;
- 6.2. Accredited Skills development providers shall comply with the requirements of this policy;
- 6.3. ETQA Standing Committee shall advise and ensure that the policy is aligned to applicable legislation;
- 6.4. Executive Committee shall monitor the implementation of the policy; and
- 6.5. HWSETA Board shall approve this policy and subsequent reviewed versions thereof.

6.6. This policy shall be read in conjunction with the accreditation, assessment, moderation and verification policies.

7. ASSESSMENT CRITERIA

7.1 The principles of assessments (valid, fair, practical, current, consistent) shall serve as a guide for all Assessors when conducting assessments;

7.2 SDPs applying for accreditation shall be required to submit an assessments policy that outlines how assessments shall be conducted;

7.3 SDPs wishing to obtain accreditation or programme approval with the HWSETA shall provide evidence of qualified and experienced Assessors;

7.4 Facilitation of learning on HWSETA skills programmes or qualifications shall be conducted by HWSETA registered Assessors;

7.5 The registration scope of linked Assessor/s shall be the same or exceed the accreditation scope of the SDP;

7.6 Assessors shall sign and comply with the Code of Conduct;

7.7 Assessors shall be required to monitor the duration of their registration and apply for re-registration 3 (three) months before expiry date;

7.8 Assessors shall not conduct Assessments after the registration period has expired;

7.9 Registered Assessors shall be allowed to extend their scope of registration which shall be aligned to the initial registration period;

7.10 Assessors shall be required to conduct assessments for all training conducted during the registration period;

7.11 SDPs shall ensure that assessments are conducted at least within 14 (fourteen) days after training delivery is completed to avoid endorsement delays; and

7.12 Learner PoEs shall be kept in a lockable room for safe keeping.

8. ASSESSOR REGISTRATION CRITERIA

27/01/14

The HWSETA shall register qualified Assessors who comply with the following criteria:

- 8.1 Applicant Assessors shall possess the health and social development sector related qualifications from accredited and approved institutions, as well as the relevant occupational experience;
- 8.2 The registration as an Assessor against certain specific HWSETA qualifications shall require current registration with the relevant professional bodies;
- 8.3 Assessors seeking to be registered with the HWSETA shall have successfully completed the ETDP SETA Assessor course;
- 8.4 Assessors shall be subject matter experts: (having relevant qualifications and 2-5 years occupational experience depending on the qualification applied for) and shall have been registered with the relevant council;
- 8.5 Assessors registered with the HWSETA shall be required to perform the assessment functions as prescribed;
- 8.6 Applicant Assessors who obtained qualifications outside South Africa, shall be required to submit the SAQA foreign qualification equivalent certificate/s. This requirement excludes medical professionals;
- 8.7 Only fully compliant applications shall be accepted;
- 8.8 Applicant Assessors shall sign and abide by the Code of Conduct;
- 8.9 Applicant Assessors shall be approved upon submission of full qualifications certificates;
- 8.10 Completed short courses/skills programmes shall qualify the applicant Assessor to apply for registration for single unit standards;
- 8.11 Applicant Assessors shall qualify to register for qualifications provided they meet the set criteria as prescribed in the specific SAQA registered qualifications.
- 8.12 Applicant Assessors who obtained qualifications outside South Africa, shall be required to submit their own SAQA foreign qualification equivalent certificate/s and the statutory body registration where applicable;
- 8.13 Only HWSETA-registered Assessors shall be allowed to conduct assessments;

9. ASSESSOR REGISTRATION DURATION

- 9.1 HWSETA Assessors shall be registered for a period of 5 (five) years or for a period prescribed by the QCTO;
- 9.2 Assessors are expected to apply for re-registration at least 3 (three) months before expiry of registration period;
- 9.3 When unit standards and or qualifications are reviewed, replaced or cancelled, Assessors shall be required to re-apply for registration for the new unit standard/s, qualification/s and or new skills programme/s;
- 9.4 Registered Assessors shall apply for replacement of expired qualifications and unit standards provided they qualify for the new requirements.
- 9.5 Re-registration of Assessors shall be aligned to current qualifications and unit standards.

10. DE-REGISTRATION OF ASSESSORS

De-registration of Assessors shall be as a result of one or more of the following reasons:

- 10.1 Voluntary de-registration;
- 10.2 Non-compliance with the Code of conduct;
- 10.3 Conducting assessment of qualifications and/or unit standards that have expired.
- 10.4 Have lost their practicing registration status with their respective statutory bodies

11. MODERATION CRITERIA

- 11.1 Applicant SDPs for accreditation shall be required to submit a Moderation policy that outlines how moderations shall be conducted;
- 11.2 Applicant SDPs wishing to obtain accreditation or programme approval from the HWSETA shall provide evidence of qualified and experienced Moderators;
- 11.3 The registration scope of linked Moderator/s shall be the same or exceed the accreditation scope of the SDP;

- 11.4 Moderators shall be required to sign the Code of Conduct form before being registered and shall comply with the code as presented;
- 11.5 Moderators shall be required to monitor the duration of registration and shall be required to apply for re-registration when the registration period has expired;
- 11.6 Moderators shall not conduct moderations after the registration period has expired;
- 11.7 Moderators shall be required to conduct 50% of moderations for all training conducted during the registration period;
- 11.8 SDPs shall ensure that moderations are conducted at least within 21 (twenty one) working days after training delivery is completed to avoid endorsement delays; and
- 11.9 Learner PoEs shall be kept in a lockable room for safe keeping.

12. MODERATOR REGISTRATION CRITERIA

- 12.1 Applicant Moderators shall possess the health and social development sector related qualifications from accredited and approved institutions, as well as the relevant occupational experience;
- 12.2 Applicants shall be required to register as Assessors before being registered as Moderators with the HWSETA;
- 12.3 Moderators seeking to be registered with the HWSETA shall have successfully completed the moderator course, and been issued the ETDP SETA Statement of Results;
- 12.4 Moderators registered with the HWSETA shall be required to perform the moderation functions as prescribed;
- 12.5 Only fully compliant applications (with all the required attachments indicated in the application form) shall be accepted and acknowledged;
- 12.6 Applicant Moderators shall abide by the signed Code of Conduct when conducting moderations;
- 12.7 Applicant Moderators shall qualify to apply for full qualifications if relevant full

qualifications certificates are submitted;

- 12.8 Completed short courses/programmes shall qualify the applicant Moderator to apply for registration for single unit standards;
- 12.9 Applicant Moderators shall qualify to apply for qualifications provided they meet the set criteria as prescribed in the specific SAQA registered qualifications.
- 12.10 Applicant Moderators who obtained qualifications outside South Africa, shall be required to submit the SAQA foreign qualification equivalent certificate/s;
- 12.11 Only HWSETA registered Moderators shall be allowed to conduct moderations.

13. MODERATOR REGISTRATION DURATION

- 13.1. The HWSETA Moderators shall be registered for a period of 5 (five) years or for a period prescribed by the QCTO;
- 13.2. Moderators are expected to apply for re-registration at least 3 (three) months before expiry of registration period;
- 13.3 When unit standards and or qualifications are reviewed, replaced or cancelled Moderators shall be required to re-apply for registration for the new unit standard/s, qualification/s and/or new skills programme/s.
- 13.4 Re-registration of Moderators shall be aligned to current qualifications and unit standards.

14. DE-REGISTRATION OF MODERATORS

- 14.1 De-registration of Moderators shall be as a result of one or more of the following reasons:
 - 14.1.1 Voluntary de-registration;
 - 14.1.2 Non-compliance to the Code of Conduct;
 - 14.1.3 Conducting moderations for qualifications and/or unit standards that have expired;

ETC

14.1.4 Have lost their practicing registration status with their respective statutory bodies

15. EXTERNAL MODERATION/VERIFICATION/QALA CRITERIA

- 15.1 Verifications shall be conducted at the SDP offices by HWSETA Officials;
- 15.2 The HWSETA shall conduct verification site visits upon request by the SDPs;
- 15.3 The HWSETA shall communicate the required information to the SDPs prior to verification site visit.

16. SUPPORTING TOOLS

- 16.1 The following developed tools support the Moderation policy:
 - 17.1.1 Assessor/Moderator registration procedure
 - 17.1.2 Assessor/Moderator registration flow chart;
 - 17.1.3 Assessor/Moderator registration application form;
 - 17.1.4 Assessor/Moderator Code of Conduct form; and
 - 17.1.5 Assessor/Moderator evaluation checklist

17. RELATIONSHIP TO OTHER HWSETA POLICIES

- 17.1 This policy shall be read in conjunction with the following HWSETA policies:
 - 18.1.1 Accreditation; and
 - 18.1.2 Monitoring.

18. POLICY REVIEW

- 18.1 The policy shall be reviewed in line with the HWSETA policy review process and standards.

ETUM