

# WHOLESALE & RETAIL SETA

## Assessor and Moderator Registration Policy

<b>Policy Reference Number</b>	POL_QA_002
<b>First Approved</b>	July 2012
<b>Current Version Number</b>	V8.3
<b>Effective Date of Current Version</b>	
<b>Department</b>	QA
<b>Policy Owner</b>	
<b>Designation</b>	<b>Signature</b>
Quality Assurance	
<b>Policy Sponsor</b>	
<b>Designation</b>	<b>Signature</b>
Chief Operations Officer	

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2020
Version Control	Created: July 2012	
	Approved: July 2012	
	Reviewed: 03/12/2020	

Document Control Page									
<b>Document Title</b>	Assessor and Moderator Registration Policy								
<b>Digital Name</b>	POL_QA_002								
<b>Digital Location</b>	Z:\QMS								
<b>Department</b>	Quality Assurance (QA)								
<b>Creation Date &amp; Revision Dates</b>	V1: July 2012; V2: July 2012; V3: Sept 2013; V4: Oct 2013; V5: Aug 2014; V6: July 2015; V7: Nov 2016; V8: Sep 2017; V8.1: 19/09/2020; V8.2: 02/10/2020; V8.3: 03/12/2020;								
<b>Current Version and Status</b>	<b>Version:</b>	8.3			<b>Status</b>	Draft			
<b>Password Protected</b>	Indicate with X				Yes	X	No		
<b>Distribution</b>	Internal and External Stakeholders								
<b>Security Classification Indicate with X</b>	Restricted	X	Confidential		Secret		Top Secret		
<b>Revision</b>	<b>Version No</b>	<b>Revision Date</b>	<b>Revision Details</b>				<b>Revised by (Dept/Unit)</b>		
<b>Revision frequency:</b> Annually	V1	July 2012	Development of Policy				QA		
	V2	July 2012	Policy Updated				QA		
	V3	Sept 2013	Policy Updated				QA		
	V4	Oct 2013	Policy Updated				QA		
	V5	Aug 2014	Policy Updated				QA		
	V6	July 2015	Policy Reviewed with no changes				QA		
	V7	Nov 2016	Policy Updated				QA		
	V8	Sep 2017	Policy Edited and Submitted for Approval				QMS		
	V8.1	19/09/2020	Review of Policy				QA		
	V8.2	02/10/2020	Editing of Policy				QMS		
V8.3	03/12/2020	Further review post QMS editing				QA/QMS			

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2021
Version Control	Created: July 2012	
	Approved: July 2012	
	Reviewed: 03/12/2020	

**TABLE OF CONTENTS**

1. Background ..... 4

2. Purpose ..... 4

3. Scope ..... 4

4. Related Information and Legal Reference ..... 4

    4.1 Internal Documents ..... 4

    4.2 External Documents ..... 5

    4.3 Legal Reference ..... 5

5. Definitions and Acronyms ..... 6

6. Policy..... 8

7. Appeals ..... 12

8. Exclusions ..... 13

9. Request to deviate from policy ..... 13

UNDER REVIEW

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2021
Version Control	Created: July 2012	
	Approved: July 2012	
	Reviewed: 03/12/2020	

## 1. BACKGROUND

The W&RSETA as a QAP is responsible to register assessors and moderators against unit standard based qualifications that fall within its delegation. Registered assessors facilitate the process of assessment with learners. Registered moderators are responsible for ensuring that assessment content is in relation to unit standards and that the assessment process has been adhered to, further confirming that learners have not been disadvantaged. Specific submission, evaluation and registration processes relating to the applications for assessors/moderators have been outlined in this policy.

## 2. PURPOSE

The purpose of this policy is to:

- Establish legal accountability for assessment decisions made against qualifications and/or unit standards for which the W&RSETA has been delegated as QAP;
- Ensure that persons holding legal accountability for assessment and moderation decisions have the competence to comply with current regulations;
- Confirm that qualifications and unit standards for which the W&RSETA has been delegated as QAP are assessed validly, reliably and practicably;
- Ensure that regulations for assessment are implemented in a way that is strategically appropriate and practicable for the Wholesale and Retail sector; and
- Inform SDP's, constituents and W&RSETA staff of the policy, principles, and procedures for the registration of assessors and moderators.

## 3. SCOPE

This policy applies to all processes conducted by the W&RSETA related to SDP accreditation, validation of programmes and **registration of constituent assessors and moderators**.

## 4. RELATED INFORMATION AND LEGAL REFERENCE

This policy must be read in conjunction with the following supporting documents

### 4.1 Internal Documents

- Accreditation Policy
- Assessment and Verification Policy
- Monitoring and Auditing Policy
- Certification Policy
- QCTO Service Level Agreement with W&RSETA (1 April 2020 – 31 March 2023)

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2021
Version Control	Created: July 2012	
	Approved: July 2012	
	Reviewed: 03/12/2020	

#### 4.2 External Documents

- QCTO Policy on Accreditation of Skills Development Providers for qualifications and part qualifications on the OQSF- Revised Policy (March 2019).
- QCTO Policy for Verification for Trades and Occupational Qualifications on the OQSF- Revised Policy (November 2019).
- QCTO Policy for Assessment for Qualifications and Part Qualifications on the Occupational Qualifications Sub-Framework (OQSF)- Revised (March 2014)

#### 4.3 Legal Reference

- Section 26I (1) of the Skills Development Act (SDA) further specifies that the QCTO may, in writing and subject to such conditions as it may determine, delegate any of its functions to -
  - (a) the chief executive officer of the QCTO;
  - (b) a committee of the QCTO;
  - (c) the national artisan moderation body established in terms of Section 26A of the Skills Development Act 97 of 1998;
  - (d) a SETA; or
  - (e) any other suitable body
- Such delegation includes but is not limited to:
  - Accredit constituent providers for specific standards or qualifications registered on the NQF;
  - Register constituent assessors and moderators for specific registered standards or qualifications in terms of the criteria established for this purpose;
  - Take responsibility for the certification of constituent learners;
  - Take responsibility for the monitoring and auditing of providers
- Constitution of the Republic of South Africa (Act No 108 of 1996).
- Promotion of Administrative Justice Act (Act No. 3 of 2000).
- National Qualification Framework Act (Act No.67 of 2008).
- Skills Development Amendment Act (Act No. 37 of 2008).
- The Immigration Act (Act No. 13 of 2002).

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2021
Version Control	Created: July 2012	
	Approved: July 2012	
	Reviewed: 03/12/2020	

## 5. ACRONYMS & DEFINITION OF TERMS USED

Accreditation	The certification, usually for a particular period of time, body or an institution as having the capacity to fulfil a particular function in the quality assurance system set up by the South African Qualifications Authority
Accreditation Scope	The list of qualification(s) and/or unit standard(s) for which a body is accredited for a defined purpose
Assessment	The collecting of evidence of learners' work to measure and make judgments about the achievement or non-achievement of specified National Qualifications Framework standards or qualifications
Assessor	The person who is registered by the relevant Education and Training Quality Assurance Body in accordance with criteria established for this purpose by a Standards Generating Body to measure the achievement of specified National Qualifications Framework standards or qualifications, and "constituent assessor" has a corresponding meaning
Competence	Demonstrated personal attributes and demonstrated ability to apply knowledge and skills
Corrective action	An action taken to eliminate the cause of a detected non-conformity or other undesirable situation. Corrective action is reacting to a situation to avoid a recurrence
Document	Information relating to a policy, procedure or work instruction, and its supporting medium. This may include checklists and blank forms. Note that the medium may be paper, magnetic, electronic, or optical computer discs, master samples, photographs, or combination thereof
Evidence	Data supporting the existence or verify something. Data gathering as part of the assessment process is referred to as evidence of learning competence
Facilitator/Trainer	The person who is qualified to facilitate learning in the entire range of formal, non-formal and informal learning activities, which results in the acquisition of new knowledge, skills, attitudes, and competencies
High-stakes assessments decision	An assessment decision that has consequences with significant implications for the life opportunities, safety and well-being of learners or other people

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2021
Version Control	Created: July 2012	
	Approved: July 2012	
	Reviewed: 03/12/2020	

Moderator	Someone who is competent to conduct a moderation process
Moderation	The process which ensures that assessment of the outcomes described in National Qualifications Framework standards or qualifications is fair, valid, and reliable
OQSF	Occupational Qualification Sub-Framework
Primary focus	Activity or objective within the sector upon which an organization or body concentrates its efforts
Process/ Procedure	A procedure or process describes the steps necessary to complete a process. It may be a text document, a flow chart or any other format that is fit for purpose. The terms "process" and "procedure" are used interchangeably in this guideline
QCTO	Quality Council for Trades and Occupations
Quality Assurance (QA)	To the Unit /Department within the W&RSETA. This is the unit that will carry out the delegated function of the W&RSETA in terms of section 32 of the NQF Act, SAQA and the Quality Councils (QCs) have the power to delegate any of their functions to a committee, any other body capable of performing the function
Quality Assurer (QA)	A person who ensures that the degree of excellence is achieved
Quality assurance	The process of ensuring that the degree of excellence specified is achieved
Records	A document stating results achieved or providing evidence of activities performed. Note the records may be stored as any of the document mediums
Registered standards	Unit standards or qualifications registered on the National Qualifications Framework
Registration scope	The list of registered standards for which an assessor or moderator is registered with the SETA as an assessor or moderator
Review	Activity undertaken to determine the suitability, adequacy, and effectiveness of the subject matter to achieve established objectives
SDP	Skills Development Provider- a body that delivers learning programmes which culminate in specified National

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2021
Version Control	Created: July 2012	
	Approved: July 2012	
	Reviewed: 03/12/2020	

	Qualifications Framework standards or qualifications and manages the assessment thereof
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## 6. POLICY

### 6.1 Foundational elements

This policy is based on adherence to the following principles:

6.1.1 The basic values and principles governing public administration as enshrined in section 195 of the Constitution of the Republic of South Africa. In particular:

- i. The SETA shall use resources in (assessor and moderator) processes economically, efficiently, and effectively (subsection (1) b); and
- ii. The SETA's administration of (assessor and moderation) processes shall be development-oriented, especially regarding assessors who are registered through emerging and SMME providers (subsection (1) c).

6.1.2 In applying the criteria for registration of moderators, the affordability of moderation should be balanced against the concern that moderators must have a high level of subject matter expertise to enable them to evaluate the validity of an assessment decision, not merely the process of assessment.

6.1.3 High-stakes assessment decisions can only be moderated by moderators who can demonstrate a high level of subject matter expertise.

6.1.4 Adherence to procedural fairness as required by the Promotion of Justice Act (Act No. 3 of 2003) in terms of:

- i. Reasonable notice (nature and purpose);
- ii. A chance to make representations;
- iii. A clear statement of the administrative action;
- iv. To review or internally appeal; and
- v. The right to request reasons.

6.1.5 SETA decisions regarding assessor and moderator registrations shall be transparent, equitable and fair.

6.1.6 Valid and fair assessment and moderation judgments require expertise in the areas of assessment and moderation, subject-matter expertise, and contextual expertise.

6.1.7 Continuous professional development regarding assessment

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2021
Version Control	Created: July 2012	
	Approved: July 2012	
	Reviewed: 03/12/2020	

practices and technical expertise is required for assessors and moderators to remain effective.

## 6.2 Internal requirements for registration of assessors and moderators

6.2.1 The W&RSETA QA shall maintain, review, and improve a register of competent assessor and moderators for the purposes of meeting its obligations as QAP.

6.2.2 All assessor and moderation registration processes/evidence shall be clearly and accurately documented according to the W&RSETA documents and records management policy.

## 6.3 Building assessor and moderator capability in the sector

6.3.1 The W&RSETA QA shall in consultation with constituent assessors, moderators, and SDP's, conduct an annual review of:

- a) How many assessment and moderations will need to take place to achieve the sector skills development targets.
- b) How many assessors and moderators are competent and against each qualification within the W&RSETA's scope.
- c) Whether the capacity and competence that exists is adequate to meet requirements for demand.
- d) The challenges which both assessors and moderators face in conducting assessments and moderations, and/or in registering and practicing.
- e) The challenges which SDP's or workplaces face in conducting assessment and moderation, or in developing and registering the capacity to do so.

6.3.2 The above review will aim to:

- (i) Identify potential problems in the sector's capacity to assess and moderate the planned skills development interventions economically, efficiently, and effectively; and
- (ii) Develop a strategy to build and register assessment and moderation capacity and competence in the sector.

## 6.4 Criteria for registration as an assessor

W&RSETA has identified the following aspects which will be considered when evaluating an application for assessor registration.

6.4.1 Holding unit standard 115753 "Conduct outcomes-based assessment" or its equivalent; (i.e., ETDP SETA endorsement statement of results/notification

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2021
Version Control	Created: July 2012	
	Approved: July 2012	
	Reviewed: 03/12/2020	

or certificate).

6.4.2 Certified copies of certificate of competence in relation to the unit standard(s) and/or qualification(s) for which they apply to be registered at (or preferably above) the level of the said standard (s) and/or qualification(s).

6.4.3 A minimum of two years of relevant occupational experience within the scope applied for.

6.4.4 A recent (not older than three months) certified copy of Identity document.

6.4.5 Comprehensive curriculum vitae detailing work experience relating to the unit standard and or qualification which the applicant is applying to be registered for.

6.4.6 Non-South African applicants shall submit proof of SAQA recognition of any foreign qualifications and must produce proof of work permit (Not older than 3 months) relevant to a specific profession for which they have applied as per the Immigration Act of 2002 - Scarce Skills & Work Permit Quotas.

6.4.7 Compliant and completed W&RSETA assessor registration form. No third-party correspondence, forms or applications will be considered in this regard.

### 6.5 Criteria for registration as a moderator

W&RSETA has identified the following aspects which will be considered when evaluating an application for moderator registration.

6.5.1 All provisions under 6.4 remain in place and must be met/demonstrated by the applicant.

6.5.2 Registration as a SETA constituent moderator holding unit standard 115759 "Conduct moderation of outcomes-based assessment" or its equivalent.

6.5.3 Have minimum of one-year registered assessor experience in the area of scope they are applying for, before being considered for registration as a moderator.

### 6.6 Assessor and moderator evaluation, registration period and results

6.6.1 All applicants are to submit applications to the relevant regional office based on their physical addresses in hard copy. Applicants are further urged to ensure that all supporting documents and evidence are attached in the prescribed format to avoid rejection.

6.6.2 When new versions of registered unit standards included in the SETA's scope are registered to replace expiring unit standards and qualifications, the W&RSETA QA shall require assessors and moderators to apply for new

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2021
Version Control	Created: July 2012	
	Approved: July 2012	
	Reviewed: 03/12/2020	

registered standards. The QA will evaluate if they are sufficiently similar to their expiring counterparts, and thereby allow automatic inclusion in the registration scope for registered assessors and moderators.

6.6.3 The registration period for non-South African assessors and moderators will be for the duration of their work permit.

6.6.4 The W&RSETA shall communicate its decisions for both assessor and moderator registrations by issuing successful applicants with appropriate registration letters according to the Assessor and Moderator Registration Procedure.

6.6.5 The W&RSETA QA shall communicate the result of the evaluation in writing to constituent assessors and moderators where unsuccessful.

6.6.6 Registered assessors and moderators will be registered on the W&RSETA database for a period of 5 years in line with the registration and teach out period of a unit standard and/or qualification.

6.6.7 Applicants must submit proof of registration for fundamental unit standards from other QAP's, should they require CAT from W&RSETA.

**6.7 Expiry, review, and re-registration**

6.7.1 The W&RSETA will not accept assessment or moderation reports from assessors or moderators whose registrations have expired.

6.7.2 Registered assessors and moderators have to complete and submit application forms to the relevant W&RSETA regional office at least three months prior to the expiry dates of their registrations with a summary of their assessment or moderation activities and evidence of their continuous professional development within their field of expertise during the period of registration.

**6.8 Extending scope of registration**

6.8.1 Registered assessors and moderators may apply for an extension of the qualification(s) and/or unit standard(s) for which they want to be registered to assess or moderate if they are able to demonstrate that they have achieved technical competence in the additional qualification(s) and/or unit standard(s), with occupation-based competence.

6.8.2 Applications for extension of registration scope must be made on the Assessor and Moderator Registration Form and follow the same procedure for submission.

6.8.3 If another QAP has quality assurance delegation for the unit standard(s) for which extension is sought, the onus of registration of such unit standards shall rest solely with the assessor and/or moderator.

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2021
Version Control	Created: July 2012	
	Approved: July 2012	
	Reviewed: 03/12/2020	

6.8.4 As a quality assurance measure, the W&RSETA QA shall require evidence of such registration with the relevant QA for Memorandum of Understanding purposes.

**6.9 Deregistration**

6.9.1 The W&RSETA QA shall de-register assessors and moderators who do not comply with the criteria and relevant codes of conduct for assessors and moderators or any other relevant W&RSETA policy.

6.9.2 Assessors/moderators must produce proof of work permit relevant to that which they applied for on getting a visa as per the Immigration Act of 2002 - Scarce Skills & Work Permit Quotas, to avoid de-registration.

6.9.3 The SDP with which the assessor or moderator is associated shall be responsible to implement any preventative and corrective actions to safeguard the validity and reliability of assessment and/or moderation decisions being made by the practitioner.

**7. APPEALS FOR ASSESSOR AND MODERATOR REGISTRATION**

7.1 An applicant assessor/moderator has a right to appeal any decision related to their application outcome.

7.2 An assessor/moderator wishing to appeal against any decision may make a written submission to the respective Provincial Manager of W&RSETA to that effect together with reasons for the appeal within one calendar month of such decision being received.

7.3 Should the W&RSETA Provincial Manager not support the decision that led to an appeal from the assessor/moderator, the W&RSETA QA shall –

- a) amend the decision accordingly;
- b) record such amendment in all the relevant documentation where the original decision was recorded;
- c) make the necessary amendments to all the relevant documentation; and
- d) issue revised versions of all relevant documentation.

7.4 Should the W&RSETA Provincial Manager support the decision that led to an appeal; the assessor/moderator may escalate the appeal within two weeks to the Senior Regional Manager. Should the Senior Regional Manager not support the decision that led to an appeal from the assessor/moderator, Steps a – d under 7.3 will be followed.

7.5 Should the Senior Regional Manager support the decision that led to an appeal, the assessor/moderator may escalate the appeal within two weeks to the office of the Chief Operations Officer (COO) of the W&RSETA. Should the W&RSETA COO not support the decision that led to an appeal from an

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2021
Version Control	Created: July 2012	
	Approved: July 2012	
	Reviewed: 03/12/2020	

assessor/moderator, Steps a – d under 7.3 will be followed.

7.6 Should the W&RSETA COO support the decision that led to an appeal from an assessor/moderator, the assessor/moderator may escalate the appeal within two weeks to the QCTO.

**8. EXCLUSIONS**

None.

**9. REQUEST TO DEVIATE FROM POLICY**

Requests to deviate from any provision of this policy may be made to the Accounting Authority in writing. The Chief Executive Officer has powers to grant such request in whole or in part or refuse it. Unauthorised deviations may result in disciplinary action.

UNDER REVIEW

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2021
Version Control	Created: July 2012	
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	Reviewed: 03/12/2020	

# Policy Approval & Sign-off

## 1. POLICY INFORMATION

<b>Policy Name</b>	
<b>Policy Reference Number</b>	

## 2. RECOMMENDATIONS/ ENDORSEMENTS

Recommended
  Not Recommended

Comments.....  
 .....  
 .....

Name of Committee .....

Committee Chairperson .....

\_\_\_\_\_  
**Signature** \_\_\_\_\_  
**Date**

## 3. APPROVAL BY W&RSETA ACCOUNTING AUTHORITY

Approved
  Not Approved

Comments.....  
 .....  
 .....

\_\_\_\_\_  
**Reggie Sibiya** \_\_\_\_\_  
**W&RSETA Board Chairperson** **Date**

Document Name:	POL_QA_002_Assessor and Moderator Registration Policy_V8.3	Next Review Date: 03/12/2021
Version Control	Created: July 2012	
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