

# P . A . B

**Professional Accreditation Body**

## **PAB REGISTRATION POLICY**

### **1. Preamble**

This document outlines the conditions for PAB registration of Providers, Assessment houses, Assessors, Moderators and Learners.

This document should be seen as an extension of any policy and procedure of PAB that addresses registration and accreditation standards. In the case of Provider registration the criteria and guidelines for accreditation have specific effect and termination of registration will result in termination of accreditation.

Registration can either be voluntarily terminated or suspended by the Providers, Assessment house, Assessor, Moderator or Learner or suspended or withdrawn for cause by PAB.

Withdrawal may also typically follow a suspension.

Termination, suspension or withdrawal of registration may be applied to all Providers, Assessment houses, Assessors, Moderators or Learners functioning within the PAB scope of accreditation.

Due to the requirements of the PAB policies and guidelines, a termination, suspension or withdrawal of registration for a Provider, Assessment house, Assessor or Moderator will automatically include a termination, suspension or withdrawal of accreditation with PAB.

### **2. Review of policies and procedures**

All the policies and procedures in this document will be reviewed continually during implementation, and recommendations for their improvement will be noted according to the PAB review policy.

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## **A. PROCEDURES FOR INITIATION OF PAB REGISTRATION**

### **1. REGISTRATION OF LEARNERS**

#### **1.1 SAQA criteria for Registration of Learners**

There are many reasons for becoming a registered learner. The most important benefit is the participation of an individual in the NQF.

NQF objectives are aimed at the learner in order to ensure that an integrated national framework for learning achievements is created; access is facilitated and mobility and progression within education, training and career paths is possible; the quality of education and training is enhanced; the redress of past unfair discrimination in education, training and employment opportunities is accelerated; and that contribution is made to the full personal development of each learner and the social and economic development of the nation at large.

Some of the NQF principles that support the transformation of the education and training system for the learners are aspects such as:

**Access** ... provide ease of entry to appropriate levels of education and training for all prospective learners in a manner which facilitates progression

**Articulation** ... provide for learners, on successful completion of accredited prerequisites, to move between components of the delivery system

**Progression** ... ensure that the framework of qualifications permits individuals to move through the levels of national qualifications via different appropriate combinations of the components of the delivery system

**Portability** ... enable learners to transfer their credits or qualifications from one learning provider and/or employer to another

**Recognition of prior Learning** ... through assessment, give credit to learning which has already been acquired in different ways, e.g. through life experience

**Guidance of Learners** ... provide for the counseling of learners by specially trained individuals who meet nationally recognized standards for educators and trainers

SAQA expects ETQAs to report on matters pertaining to learners such as the product or outcome (awards, achievement of standards or qualifications), the inputs (learning provision, programmes, learning and learner resources, life or experiential learning) and the process (the quality of the learning and assessment interactions).

In section 9(1) (f) of the ETQA Regulations, an Education and Training Quality Assurance Body shall take responsibility for the certification of constituent learners.

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Learner records or registration assist PAB to maintain records on constituent learners from the date of registration by the learner with the constituent provider.

The registration further assists with the certification of learners on achievement of the NQF standards or Qualifications. The obligation of PAB to supply SAQA with reports of learner achievements of standards and qualifications, is achieved through keeping records on the numbers of learners in relation to the standards and qualifications for which they enroll, and on the achievements of learners in attaining those standards and qualifications.

## 1.2 PAB criteria for Registration of Learners

- a. Learners are either 'award' learners (that is following a scheme of study leading to competency of a full qualification registered on the NQF) or 'non-award' learners (that is following a scheme of study leading to competency of a part of qualification registered on the NQF)
- b. All learners are required to register **at enrollment** or when **starting** their programmes or at the **beginning** of each subsequent level of their programme. The time frame on which learners register shall be the responsibility of the Provider, provided that it complies with the deadline for submission of registration documents and fees to PAB.
- c. Registration implies agreement by the learner registering, while s/he remains a registered learner, to abide by the authority and discipline of the PAB conferred by the SAQA Act, 1995, by the SAQA regulations, by the SAQA Guidelines and criteria documents and by the Policies and Procedures of PAB.
- d. Information provided by learners at registration will be treated by the PAB as confidential but will be passed on to the NLRD, SAQA, Provider, Assessment houses and, if required with sound reason, another ETQA or relevant body.
- e. A learner shall notify the PAB through her/his Provider's principal as soon as possible of any subsequent changes in the information that was provided at the time of registration.
- f. No learner shall be registered as a learner for more than one full qualification at the same time without due consultation and guidance by the Provider.
- g. PAB would recognize a learner's transfer from one programme to another or from one Provider to another. The Provider must provide PAB with notice in such instances.

## 1.3 Registration Regulation

- a. Registration status
  - i. At the beginning of each year a learner shall be registered either as a full time or part-time learner.
  - ii. Registration for units or qualifications will be done in the relevant portion of the PAB database.
- b. Registration period

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- i. For the purposes of these regulations the registration period is defined as the duration of the first 14-16 weeks of the year during which registration take place at appropriate time.
  - ii. The registration period may include late registrations only after agreement between the Provider and PAB had been made in writing.
  - iii. The registration period will be predetermined by PAB and only subject to alteration by PAB.
- c. Duration of the programme
- i. All learners will be expected to complete their programmes within a maximum period of four (4) academic years.
  - ii. Those who complete their studies without additional time required may generally complete and graduate in two academic years.
  - iii. Upon arrival at the Provider, first year learners will be given full information on the programme/qualification requirements for their chosen programme/ qualification by the Provider.

#### 1.4 Purpose and nature of registration

The registered status is a method of tracing the learner achievements throughout the registration period in relation to the standards and qualifications which fall within the PAB's primary focus. In the case of certification, registration is a prerequisite for being certificated or receiving endorsement fro qualifications by the PAB.

The settlement of a fee is one condition for this registration. The standards or qualifications, once achieved, are achievements for life. The registered status, however, once granted, can be withdrawn from any individual who fails to comply with the relevant PAB Code of Conduct or for some other reason.

#### 1.5 2004 - 2008 Registration

- a. Learners are either 'award' learners (that is following a scheme of assessment leading to competency profile award to a learner for a full qualification registered on the NQF) or 'non-award' learners (that is following a scheme of assessment leading to competency profile award to a learner for a part of qualification registered on the NQF).
- b. All learners are required to register at the **beginning** of each year. The time frame on which learners register shall be the responsibility of the Provider, provided that it complies with the deadline for submission of registration documents and fees to PAB.
- c. Registration implies agreement by the learners registering, while s/he remains a registered learner, to abide by the authority and discipline of the PAB conferred by the SAQA Act, 1995, by the SAQA regulations, by the SAQA Guidelines and criteria documents and by the Policies and Procedures of PAB.

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- d. Information provided by learners at registration will be treated by the PAB as confidential but will be passed on to the NLRD, SAQA, Provider, Assessment houses and, if required with sound reason, another ETQA or relevant body.
- e. A learner shall notify the PAB through her/his Provider's principal as soon as possible of any subsequent changes in the information that was provided at the time of registration.
- f. No learner shall be registered without all sections of the learner registration form being completed for upload on the PAB database.
- g. It is preferred that learners registrations are accompanied by a copy of the learner's ID Document.

## 1.6 Continued registration

### a. Results slips and transcripts

- i. Learners will be given results slips by the Provider that may show literal grades as well as the following letters:
  - Pass – P
  - Academic Warning - (AW)
  - Incomplete – I
  - Withdrawal – W
  - Retake – R
  - Discontinuation - (DISC)
- ii. Academic warning: A learner who fails in more than half (1/2) of the units taken in any one semester shall be given an Academic Warning (AW) by the Provider.
- iii. Incomplete: Letter (I) representing incomplete grade, is used at the end of the semester only and is not used during the withdrawal period.
  - It is assigned to a learner who, because of reasons acceptable to the Provider is unable to complete the work of the course and whose work is in good standing.
  - Class attendance shall not be a requirement to complete the course.
  - The grade (I) will be considered failing if the work is not made up by the next relevant examination sitting. After this period the (I) will be changed to failing grade "E" of zero score.
  - Examinations for the Incomplete Units shall be at a convenient time during a semester as may be determined by Providers.
  - The Lecturer who taught the course shall set the incomplete examination. If he or she is not available, the Provider shall give this duty to another Lecturer in the same field.
- iv. Withdrawal from a course/unit: A learner can withdraw from a course without any penalty within the first four weeks in the semester.
  - The learner must withdraw officially by completing "withdrawal forms" from the Provider.

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- Failure to withdraw officially will lead to a grade of "E" at the end of the semester.
  - Grade "E" in this case will be awarded zero (0) score and will be included in calculating the final semester cumulative average score.
  - In cases where a unit graded "E" is a prerequisite to another unit, the unit must be taken and passed before a learner is allowed to register for the unit for which it is prerequisite.
  - A learner can similarly withdraw from a Provider within the first four weeks and by signing official withdrawal forms.
  - All withdrawals will be communicated to PAB
  - A learner who withdraws illegally will be considered to have failed and will be required to retake the unit(s)
- v. The results slips must be supplied to PAB at the end of each academic year
- b. *Letter of completion*
- i. A letter of completion will be issued to PAB before Graduation to those learners who have completed their programme/ qualification.
- c. *Provider transfers*
- i. Learners joining a Provider to start their programmes/ qualifications are allowed to apply for such transfers by completing prescribed forms from the Provider. The filled forms will be signed by the Provider involved.
- ii. The PAB considers these applications. A letter will be sent to each successful applicant who then should transfer to the new Provider within four weeks of the semester.
- d. *Discontinuation*
- i. A learner who fails in all units in any one semester will be discontinued.
- ii. A learner whose cumulative failures after academic warnings from the previous semester are more than half the units taken in two consecutive semesters will be discontinued.
- e. *Retaking units*
- i. A learner who fails up to half the programme/ qualification taken in any one semester will be allowed to re-take the failed units when they are next offered. However, if the failed programme/ qualification are prerequisites for other advanced courses, they must be passed before the learner enrolls in the advanced programme/ qualification
- ii. No retaking of programmes/ qualifications is permitted after award classification has been done.
- iii. No learner will be allowed to retake unfailed unit(s) for the purpose of the grade.
- iv. Failed units when retaken will be graded as those of normal examination units.
- v. No learner will be allowed to retake a programme/ qualification more than twice.
- f. *Graduation*

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- i. Only learners who have completed and passed all the required number of units including core, practicals/practicum where necessary in their Providers shall graduate.

*g. Examination irregularity*

- i. A learner who is caught involved in any examination irregularity shall be discontinued from studying in the Provider.
- ii. The following shall constitute examination irregularity:-
  - Passing or receiving relevant verbal or written communication to or from other candidates during the examination
  - Unauthorized possession of used or unused examination answer booklet(s) outside the examination room.
  - Possessing any unauthorized written material relevant to the examination in the examination room.
  - Copying from other candidate's answers.
  - Returning examination answer booklets with written answers after the examination.

### 1.7 Role of the Learner

The learner has the right to:

- be educated and trained in terms of an agreement with the Provider;
- have his or her performance in training assessed and have access to the assessment results;
- receive a certificate upon successful completion of the learning;
- raise grievances in writing with the ETQA concerning any shortcomings in the training.
- negotiate, in conjunction with the provider on timing, location and mode of delivery and who conducts the assessment;
- access to the required resources to receive quality training;
- cede his/her learning agreement to an alternate accredited training provider where the current training provider is dissolved, insolvent or de-registered;
- proper assessment of his/ her performance in training and access to his/her assessment results;
- continue training until the period specified lapses, or until s/he meets the outcomes for the required unit standards, whichever comes first;
- a fair hearing in disciplinary matters.
- accumulate credits
- transfer credit from one learning situation or site to another
- be assessed and given credit for evidence of learning that has already been acquired in different ways

**Formative assessment** refers to assessment that takes place during the process of learning and teaching. Its purpose is to diagnose learner strengths and weaknesses,

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provide feedback to learners on their progress, and assist in future planning for the learner and assessor and make decisions about the readiness of the learner to do summative assessment. This assessment is not intended to be used for assessing whether the learner has successfully achieved a credit.

**Summative assessment** is an assessment for making judgments about achievement, against an outcome standard, etc. This is carried out when a learner is ready to be assessed at the end of the learning program in order to be deemed competent or not.

For a Learner to receive recognition of achievements, the learner is assessed according to what the learner knows and can do and credit is given for what the learner knows and can do.

To enable you, the learner, to meet the minimum requirements in terms of the assessment process:

a Step 1 – Planning for the Assessment

- i. You will need to complete an assessment plan together with your assessor
- ii. Your assessor will prepare you for your assessment and complete the assessment preparation plan with you
- iii. Ensure you are familiar with what is expected of you for this assessment and the unit standard

b Step 2 – Completing the Assessment

- i. This assessment will be by means of an assessment questionnaire and/or practical demonstration
- ii. Additionally you may need to provide further evidence of your competence
- iii. Therefore, both the written questioning and the assignment will form proof of your competence
- iv. Hand in the questionnaire and assignment by the date agreed on the assessment plan
- v. Your assessor may ask you additional questions
- vi. Your assessor will record the evidence that you have submitted onto the assessment guide
- vii. Based on this evidence, the assessor will make a judgment of 'Competent' or 'Not Yet Competent' or 'Not Assessed' for each assessment criteria and overall for the total unit standard or qualification

c Step 3 – After the Assessment

- i. If 'Not Assessed' you and the assessor will agree the criteria not assessed and arrange an additional assessment date
- ii. If 'Not Yet Competent' you and the assessor will identify why this judgment has been made and the action/s necessary. A re-assessment date should also be agreed upon.
- iii. All decisions will be recorded on the assessment guide, which all parties should sign
- iv. You will only be declared 'Competent' if you have provided sufficient and valid evidence against all the assessment criteria and specific outcomes of the unit standard or qualification

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- v. After declaration of competence, your assessment is subject to the internal moderation process
- vi. Once this is complete, your results will be entered onto SAQA's NLRD – National Learner Record Database.
- vii. The declaration of authenticity must be signed by your Provider, your assessor and yourself to certify that the evidence is authentic
- viii. Feedback on your assessment will be given to you by your Assessor

## 1.8 Application forms

The application form for registration as a learner is attached in an annexure or may be obtained from the PAB Administrator.

## 1.9 Procedure for processing applications

Enquiry from individual or training provider received by PAB administrator

Administrator sends out application form for learner registration.

Completed application forms received by administrator, checked and followed up if incomplete.

When complete, forms are referred to PAB data capturer.

PAB EITHER is not satisfied that the criteria for registration have been met and returns forms to administrator, giving feedback for applicant, OR is satisfied and authorizes the following:

- Registration entered into PAB data-base with allocated registration number
- Registration uploaded to SAQA's learner register
- Confirmation sent to applicant informing them that they are now a registered learner with the PAB for (specified) standards and qualifications.

The flow-chart at the end of this section summarizes this procedure.

## 1.10 Certification

### a. Conferment of Qualifications

- i. A person is entitled to describe himself as a holder of an award granted by the Provider as from the date it has been awarded by the accredited Provider, Assessment house and verified by the PAB.
- ii. Awards of Grandaunts will be withheld as long as the grandaunts have not cleared all their liabilities towards the PAB.

### b. Loss of Certificate

In case of loss of the original certificate, the Provider/ Provider, Assessment house may issue a copy on the following conditions:

- i. The holder of the original certificate produces a sworn affidavit.
- ii. 'Copy' is marked across it.
- iii. The copy may be issued against payment.

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## 1.11 Monitoring and Review of Learners

The PAB is establishing a system to track and record selected relevant information about the education and training record of registered learners. The aim of this electronic tracking is not to develop competency profiles or document in detail the activities of these individuals, but rather to capture significant problems which might require action in relation to reviewing the registration status of constituent learners. The PAB will therefore record the minimum essential information it requires in this context.

The following paragraphs refer to other monitoring and review processes which are not directly related to the PAB registration of learners. They are mentioned here so that PAB staff and other role-players and stakeholders may be assisted in understanding the bigger picture. The quality management systems may sound complicated, but the PAB staff will assist legitimate role-players and stakeholders to engage with the required procedures.

Many complaints which the PAB might receive either through providers, assessment houses, learners, assessors, moderators or verifiers or against these same individuals are likely to imply problems in more than one area. It is important for the staff of the PAB to identify correctly the implications of each complaint, and to direct this complaint to the relevant ETQA Appeals Committee. The first task of the staff will be to categorize (i.e. issue concerning registration, learner achievement or provider accreditation) the complaint and ensure that the relevant supporting documentation (and witnesses, where appropriate) is available for the investigation.

The electronic data capturing system for monitoring the Registration of learners is incorporated in the data system for Monitoring Learner Achievements. Information about the Monitoring and Appeals system can be found in the PAB Policies and Procedures.

Although complaints, appeals and recommendations concerning learner achievement may sometimes involve (for example) complaints against assessors or moderators, from the PAB perspective these two tracking and appeals systems are integrated. Where, for example, a complaint involves alleged misconduct by both an assessor and a learner, the information would have to be fed into and processed through the system even though two different issues would be at stake: the award (or not) of credits to the learner and the continued (or not) registered status of the assessor. If (for example) a complaint against an assessor or moderator appeared to compromise the integrity of the provider, a 'red flag' would be raised so that the monitoring of the provider in question would be moved up in terms of monitoring priorities. So, in such a case, the information would have to be fed into and processed through the registration, accreditation, monitoring and audit system of PAB. Again two different issues would be at stake: the continued (or not) accredited status of the provider and the continued (or not) registered status of the assessor.

To illustrate these possible complications, complaints against an assessor, for example, might eventually also lead to a decision to raise a 'red flag' in relation to a particular provider's accreditation status and also a 'red flag' in relation to a particular set of learner

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assessment results. This would be followed up by the PAB applying a verification option (or more than one), for example a monitoring verification site visit and/or a request for additional samples of evidence of learner competence for verification of the learner achievement. Both the accreditation and the learner achievement problems identified would have to be addressed by the PAB response.

### 1.12 Keeping a record for each registered constituent learners

An electronic record will be opened for each Provider's registered learners.

It will contain categories for:

- complaints and appeals mediated by the provider, assessment house, assessor, moderator or verifier in question which were unresolved and therefore referred to the ETQA; (dates with reference to a number for a written report must be recorded);
- complaints and appeals against the provider, assessment house, assessor, moderator or verifier in question which were unresolved and therefore referred to the ETQA; (dates with reference to a number for a written report must be recorded);
- assessment of learners activity records to show whether or not any assessments have been conducted in a given calendar year;

### 1.13 Records of complaints and appeals

Complaints which reach the PAB Manager because they cannot be resolved at provider or verifier level will be recognized as appeals. The ETQA Manager will advise complainants about the procedures for lodging appeals in the relevant appeal system (Registration Appeals, Learner Achievement Appeals or Provider Accreditation Appeals).

## **2. REGISTRATION OF ASSESSORS**

### **2.1 SAQA criteria for the registration of assessors**

There are two major steps towards becoming a registered assessor. First, an individual must be awarded the generic assessor standard from the ETQA section of the Education, Training and Development Practices (ETDP ETQA), or ETDQA as it is referred to hereafter. Second, the individual must meet the requirements of the ETQA responsible for his/her own areas of expertise.

SAQA's criteria for the registration of assessors can be summarized as follows:

- all registered assessors must have met the requirements of the generic assessor standard, and should be certificated by the ETDQA or by the relevant ETQA in agreement with the ETDQA in this regard;
- this requirement will be enforced from the end of May 2004, by which time all assessors should be able to demonstrate competence against the new standard, either through participating in a training and assessment programme or through undergoing an RPL process. Once the system is fully operational, the status of

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certificated assessors can be checked on the National Learner Records Database;

- all registered assessors are registered to assess using specified standards and/or qualifications: the registered assessor must be able to demonstrate competence in relation to these specified standards and qualifications, at, or above, the level of the qualifications in question. The status of registered assessors can be checked on the appropriate ETQA database or website; and
- all registered assessors must have met any additional requirements laid down by their constituent ETQA. The status of registered assessors can be checked on the appropriate ETQA database or website.

The generic assessor standard *'Plan and conduct assessment of learning outcomes'* was registered on 14 February 2001. All registered constituent assessors must meet the requirements of this standard and be certificated by the ETDQA or by the relevant ETQA in agreement with the ETDQA. This standard is a prerequisite for assessor registration with their constituent ETQA. However, the quality assurance of generic standards must be agreed upon by each ETQA with the ETDQA.

The generic assessor standard *'Plan and conduct assessment of learning outcomes'* explains exactly what is required of assessors in terms of the assessment of learning outcomes leading to the award of credits for standards or qualifications registered on the NQF. This includes the role and responsibilities of the assessor and assessment expertise required.

## 2.2 PAB criteria for Registration of Assessors

The PAB ETQA will follow the SAQA criteria when registering assessors.

The PAB ETQA will impose the following additional requirements:

- the assessor must be able to demonstrate field/subject expertise at the same (NQF) level (or above the level) as the person assessed;
- the assessor must have at least one year's experience as a facilitator, supervisor or mentor in the relevant field;
- the assessor must sign the PAB code of conduct for assessors;
- the assessor must agree to attend a refresher course run by moderators every year if requested to do so; this will help to maintain and extend his/her expertise as an assessor, improve consistency between assessors and prevent standards drift;
- assessors must agree to familiarize themselves with new standards and qualifications in their field of expertise; these will be sent out to relevant assessors by the PAB as soon as they are registered on the NQF, and assessors will use these standards and qualifications in place of others which are being phased out as soon as the PAB requests this replacement; and
- assessors will report to a moderator any problems or other issues they experience in relation to applying standards so that their views may be fed into the SAQA review process for standards and qualifications.

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## 2.3 Registration Regulation

### a. Registration status

- i. At the beginning of each year an assessor shall be registered either as a full time or part-time assessor.
- ii. Registration to assess towards units or qualifications will be done in the relevant portion of the PAB database.

### b. Registration period

- i. For the purposes of these regulations the registration period is defined as the duration of the first 14-16 weeks of the year during which registration take place at appropriate time.
- ii. The registration period may include late registrations only after agreement between the Provider and PAB had been made in writing.
- iii. The registration period will be predetermined by PAB and only subject to alteration by PAB.

## 2.4 Purpose and nature of registration

The registered status is a license to practice as an assessor or moderator in relation to the standards and qualifications which fall within the PAB's primary focus. In the case of verifiers, registration is a prerequisite for being deployed by the PAB.

The achievement of the relevant standards is one condition for this registration. The standards, once achieved, are achievements for life. The registered status, however, once granted, can be withdrawn from any individual who fails to comply with the relevant PAB Code of Conduct or for some other reason is unable to maintain currency and quality of practice.

## 2.5 First time registration of assessors

- a. Assessors are either 'award' assessors (that is following a scheme of assessment leading to competency profile award to a learner for a full qualification registered on the NQF) or 'non-award' assessors (that is following a scheme of assessment leading to competency profile award to a learner for a part of qualification registered on the NQF).
- b. All assessors are required to register at the **beginning** of each year. The time frame on which assessors register shall be the responsibility of the Provider, provided that it complies with the deadline for submission of registration documents and fees to PAB.
- c. Registration implies agreement by the assessors registering, while s/he remains a registered assessor, to abide by the authority and discipline of the PAB conferred by the SAQA Act, 1995, by the SAQA regulations, by the SAQA Guidelines and criteria documents and by the Policies and Procedures of PAB.
- d. Information provided by assessors at registration will be treated by the PAB as confidential but will be passed on to the NLRD, SAQA, Provider, Assessment houses and, if required with sound reason, another ETQA or relevant body.

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- e. An assessor shall notify the PAB through her/his Provider's principal as soon as possible of any subsequent changes in the information that was provided at the time of registration.
- f. No assessor shall be registered as an assessor without proof of competency as a subject matter expert for any full qualification or a part of qualification registered on the NQF.
- g. No assessor shall be registered as an assessor without proof of competency in unit standard 115753.
- h. No assessor shall be registered as an assessor without a signed PAB Assessor Code of Conduct.

## 2.6 Continued Registration as an Assessor

### a. Competence and Progress

- i. An assessor will be required regularly to attend to assessments and other forms of associated requirements prescribed by her/his scheme of work and to submit written reports by the appointed dates.
- ii. Absence due to ill health must immediately be notified by the assessor to the principal of the Provider concerned.
- iii. Assessors are expected to attend all assessments and other forms of associated requirements prescribed by their all scheme of work and to complete the required elements that make up the Continuous Assessment mark.
- iv. Assessors who are unable to attend some assessments for any reason must notify, in writing the principal of the Provider and supply relevant documentation.
- v. Final approval of absence rests with the Provider concerned and not with PAB.
- vi. It will be the responsibility of the assessor to make up for missed events and to complete the relevant requirements.
- vii. The principal may debar an assessor from conducting assessments if the latter has been demonstrating unsatisfactory performance of her/his duty. It is the responsibility of the Provider to supply PAB with documented evidence of such debarment.

## 2.7 Role of the Assessor

Assessors work so that judgments about learners' achievements, or non-achievements, can be made and decisions arrived at.

The decisions may have to do with the learner –

- Is the learner able to do a certain job?
- Is the learner able to embark on a particular course of study?
- What other learning does the learner need to do in order to be deemed qualified?

It may also have to do with the learning programme –

- What is the quality of the programme?
- What improvements or changes are needed?

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Assessment can be defined as: ‘A structured process for gathering evidence and making judgments about an individual’s performance in relation to registered national standards and qualifications’.

Decisions may need to be made about the education and training system itself, and judgments made in the process can inform such decisions.

The most important use of assessment though, is to judge the performance of learners in education and training so that qualifications may be awarded.

Assessors must adhere to the Principles of good Assessment

- Fairness
- Validity
- Reliability

The generic assessor standard registered by SAQA entitled ‘Conduct assessment of learning’ outlines the process in detail. It is very important that the assessor reads and understands the SAQA Criteria and guideline documents titled ‘Criteria and Guidelines for Assessment of NQF Registered Unit standards and Qualifications’ and ‘Criteria and Guidelines for the Registration of Assessors’.

In the case of certain qualifications, additional external processes are required. For example, the requirements for the current legacy qualifications which are being transformed into short courses currently include an external summative assessment by SAAHSP, CIDESCO, ITEC etc. for certification of learner achievements. Assessors will be registered to assess the short courses or smaller components of the learners’ achievements in order to enable PAB to issue a statement of results to prove the learner’s achievements through formative assessments. Providers of qualifications within the primary focus of the PAB will be informed of moderation options or external assessment requirements in relation to any particular qualification.

Providers are obliged to manage the moderation of the assessment linked to their learning programmes or RPL services. Whether or not they use any outside assessment body or contract any outside expertise, therefore, they are obliged to ensure that registered assessors assess the learners formatively and that this assessment is effectively moderated. The PAB ETQA extends the SAQA requirement for the use of registered assessors to include the use of registered moderators. Naturally, the use of registered moderators will also apply to RPL assessments.

## 2.8 Deployment of Assessors

Assessors will only work in their capacity as PAB assessors when registered by the PAB and may offer assessment services independently. Any person offering assessment services in the name of the PAB without registration with the PAB will be removed from the assessor register and legal proceedings may be initiated by the PAB against such persons.

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Assessors will be deployed at all PAB accredited Providers as this is the most cost-effective manner possible geographically. For this reason, it is important to have relatively large numbers of assessors available. No assessor may claim to represent the PAB without registration with the PAB.

The PAB wishes to facilitate peer monitoring to strengthen the quality of systems in place. Assessors will play a key role in:

- provide input to improving assessment processes in their own Providers, in line with PAB accreditation criteria;
- report on learner achievements as recorded by providers; and
- provide input on the assessment processes of peer providers, in line with PAB accreditation criteria.

## 2.9 Appointment of Assessors

A standard code of conduct will be drawn up for assessors. Once an assessor is trained and registered with the PAB, he or she will be invited to sign the code of conduct. Being registered as a PAB assessor does not guarantee any work from the PAB.

## 2.10 Application form for candidate registered assessors

The application form is attached in an annexure or may be obtained from the PAB Administrator.

## 2.11 Procedure for processing applications

Enquiry from individual or training provider received by PAB administrator  
Administrator sends out information letter and application form for assessor registration, including code of conduct to be signed. These forms can only be completed on an individual basis

Completed application forms received by administrator, checked and followed up if incomplete. Achievement of standard verified with ETDQA or NLRD. When complete, forms are referred to PAB.

PAB EITHER is not satisfied that the criteria for registration have been met and returns forms to administrator, giving feedback for applicant, OR is satisfied and authorizes the following:

- Registration entered into PAB data-base with allocated registration number
- Registration uploaded to SAQA's assessor register
- Confirmation sent to applicant informing them that they are now a registered assessor (or moderator) with the PAB for (specified) standards and qualifications.

Letter includes a reply slip for requesting a certificate and enclosing agreed fee.

Administrator receives request for certificate, processes fee through finance and informs PAB of transaction

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PAB authorizes issue and dispatch of certificate by administrator, using recorded delivery. Administrator records all such transactions

The flow-chart at the end of this section summarizes this procedure.

## 2.12 Certification

PAB will register assessors when they meet the criteria laid down. The status of these assessors will be recorded on the PAB Register of Assessors. If SAQA establishes a central data-base of registered assessors the information will also be sent to SAQA for inclusion.

If an individual registered assessor wishes to receive a certificate, he or she must fill in a form requesting the certificate. This form will be sent to the assessor together with the confirmation that he/she has met the criteria for registration and has achieved the status of Registered Assessor for certain specified short courses contained in a legacy qualification for the purpose of tracing learner competencies as they develop in the system. It will also state the certification fee and ask the assessor to return the request form together with the fee.

The certification fee will be determined by the PAB in relation to the cost of certification and may be changed from time to time. It will not necessarily be designed to achieve full cost recovery.

The certificate for registered assessors will be a full certificate which includes the SAQA hologram and the PAB logo.

## 2.13 Monitoring and Review of Assessors

The PAB is establishing a system to track and record selected relevant information about the work record of registered assessors, moderators and verifiers. The aim of this electronic tracking is not to develop competency profiles or document in detail the activities of these individuals, but rather to capture significant problems which might require action in relation to reviewing the registration status of constituent assessors, moderators or verifiers.

The PAB will therefore record the minimum essential information it requires in this context.

The following paragraphs refer to other monitoring and review processes which are not directly related to the PAB registration of assessors, moderators and verifiers. They are mentioned here so that PAB staff and other role-players and stakeholders may be assisted in understanding the bigger picture. The quality management systems may sound complicated, but the PAB staff will assist legitimate role-players and stakeholders to engage with the required procedures.

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Many complaints which the PAB might receive either through providers, assessment houses, learners, assessors, moderators or verifiers or against these same individuals are likely to imply problems in more than one area. It is important for the staff of the PAB to identify correctly the implications of each complaint, and to direct this complaint to the relevant ETQA Appeals Committee. The first task of the staff will be to categorize (i.e. issue concerning registration, learner achievement or provider accreditation) the complaint and ensure that the relevant supporting documentation (and witnesses, where appropriate) is available for the investigation.

The electronic data capturing system for monitoring the registration of learners is incorporated in the data system for monitoring learner achievements. Information about the monitoring and appeals system can be found in the PAB Policies and Procedures.

Although complaints, appeals and recommendations concerning learner achievement may sometimes involve (for example) complaints against assessors or moderators, from the PAB perspective these two tracking and appeals systems are integrated. Where, for example, a complaint involves alleged misconduct by both an assessor and a learner, the information would have to be fed into and processed through the system even though two different issues would be at stake: the award (or not) of credits to the learner and the continued (or not) registered status of the assessor. If (for example) a complaint against an assessor or moderator appeared to compromise the integrity of the provider, a 'red flag' would be raised so that the monitoring of the provider in question would be moved up in terms of monitoring priorities. So, in such a case, the information would have to be fed into and processed through the registration, accreditation, monitoring and audit system of PAB. Again two different issues would be at stake: the continued (or not) accredited status of the provider and the continued (or not) registered status of the assessor.

To illustrate these possible complications, complaints against an assessor, for example, might eventually also lead to a decision to raise a 'red flag' in relation to a particular provider's accreditation status and also a 'red flag' in relation to a particular set of learner assessment results. This would be followed up by the PAB applying a verification option (or more than one), for example a monitoring verification site visit and/or a request for additional samples of evidence of learner competence for verification of the learner achievement. Both the accreditation and the learner achievement problems identified would have to be addressed by the PAB response.

## 2.14 Keeping a record for each registered constituent assessor, moderator and verifier

An electronic record will be opened for each registered constituent assessor, moderator and verifier.

It will contain categories for:

- complaints and appeals mediated by the assessor, moderator or verifier in question which were unresolved and therefore referred to the ETQA; (dates with reference to a number for a written report must be recorded);

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- complaints and appeals against the assessor, moderator or verifier in question which were unresolved and therefore referred to the ETQA; (dates with reference to a number for a written report must be recorded);
- activity levels of assessors and moderators (records whether or not any assessments have been conducted in a given calendar year);

## **2.15 Records of complaints and appeals mediated by the assessor relating to the registration status of assessors, moderators or verifiers**

Complaints which reach the PAB because they cannot be resolved at provider or verifier level will be recognized as appeals. The ETQA Manager will advise complainants about the procedures for lodging appeals in the relevant appeal system (Registration Appeals, Learner Achievement Appeals or Provider Accreditation Appeals).

## **2.16 Monitoring activity levels of assessors, moderators and verifiers for currency**

The PAB forms for the submission of results of assessments identify the assessors and moderators concerned. The system will be designed so that an 'active' note is recorded in the assessor's record, as appropriate, for future reference.

Inactivity for more than three years will lead to the PAB requiring that the registered assessor either make an assessment or explain the lack of assessment activity. After circumstances (like assignments abroad, sabbaticals, long illnesses, maternity leave) have been taken into consideration, the ETQA may decide to withdraw the registered status of the assessor.

## **2.17 Quality promotion activities in relation to assessors and moderators**

The PAB will make every effort to ensure that all moderators attend professional development meetings where they receive up-dates on information about standards and qualifications, about assessment and moderation requirements, and also participate in training to ensure consistent interpretation of standards.

Moderation decisions which have led to the alteration of particular results will be examined and discussed.

These meetings will be run by verifiers. Moderators in turn will be expected to use their expertise to advise and support assessors. Attendance records will be kept of all such training given with the support of the PAB.

## **3. REGISTRATION OF MODERATORS**

### **3.1 SAQA criteria for Registration of Moderators**

All persons applying to be registered as moderators should submit proof that they have been declared competent against the unit standards ***Moderate Assessments***,

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**(ASSMT02)** and **Plan & Conduct Assessments (ASMT01)** and should be certificated by ETDP Seta and registered by PAB.

This unit standard is for people who moderate or intend to moderate assessments against unit standards and/or qualifications. This unit standard will contribute towards the achievement of a variety of Education Training and Development Practices and Human Resource Development related qualifications.

A candidate-moderator who has achieved this unit standard will be able to moderate assessment activities against the relevant standards and qualifications. The candidate-moderator will be able to use the prescribed Quality Assurance procedures in a fair, valid, reliable and practicable manner that is free of all bias and discrimination, paying particular attention to the three groups targeted for redress: race, gender and disability.

In particular, people credited with this unit standard are able to:

- Plan and prepare for moderation
- Conduct moderation
- Advise and support assessors and assessment agencies
- Report, record and administer moderation

The following scope and context applies to the whole unit standard:

- Evidence must be gathered for moderation of assessments of candidates with special needs, and RPL cases.
- Moderation must cover a range of assessment practices including assessment instruments, assessment design and methodology, assessment records; reporting and feedback mechanisms.
- Evidence must be gathered for moderation of assessments involving a variety of assessment techniques, including work samples, simulations, role-plays, written, oral, portfolios and projects.
- Moderation interactions could include pre-moderation interaction; standards discussion; recording and record keeping; reporting and feedback mechanisms; post-moderation interaction and support and recommendations.

Accredited providers should have individuals who manage their internal moderation systems. This moderator role should be filled by an experienced and qualified assessor.

The responsibilities of the moderator should include the following:

- Establish systems to standardize assessment, including the plans for internal moderation
- Monitor consistency of assessment records
- Through sampling,
  - check the design of assessment materials for appropriateness before they are used,
  - monitor assessment processes,

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- check candidates evidence,
- check the results and decisions of assessor for consistency, and
- Investigate and report on any trends that may become evident
- Co-ordinate assessor meetings
- Liaise with external moderators
- Provide appropriate and necessary support, advice and guidance to assessors

Moderators should demonstrate contextual and occupational expertise and experience in the field of assessment, moderation and subject matter.

### 3.2 PAB criteria for Registration of Moderators

All registered moderators must be able to demonstrate competence in relation to the specified standards and qualifications at or above the level of the qualifications in question. The moderator should have either the same qualification as the one being moderated or a qualification in the same ‘family’. PAB will assist in defining what “family” is acceptable for their qualifications.

The criteria for the registration of moderators will be as follows:

- the moderator must be a registered assessor for the qualifications and standards in relation to which he or she will moderate;
- the moderator must have at least one year’s experience of assessing learners;
- the moderator must have achieved the generic standards ‘*Moderate assessment*’ and ‘*Design and develop assessments*’ and these achievements must be endorsed by the ETDQA;
- the moderator must sign the PAB moderator code of conduct; and
- the moderator must have completed an additional training programme approved by the PAB, which will include training against appropriate standards for RPL support services and the quality management of assessment.

Internal moderators should:

- Establish systems to standardize assessment, including the plans for internal moderation
- Monitor consistency of assessment records
- Though sampling, check the design of assessment materials for appropriateness before and decisions of assessor for consistency
- Co-ordinate assessor meetings
- Liaise with external moderators
- Provide appropriate and necessary support, advice and guidance to assessors
- Providers will have to show that they have the capacity to implement an internal moderation system that will facilitate and ensure that these activities will be carried out effectively and efficiently in order to gain accreditation.
- The roles of the internal moderators who are designated such in learning providers/sites should be experienced assessors who other assessors have

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confidence in. They should also have undergone training in internal moderation and have knowledge of the learning area.

External moderation is a means of ensuring that two or more providers delivering programmes to the same unit standards and qualifications are assessing consistently the same standard, and in a well-designed manner.

The external moderation systems are managed by PAB.

External moderation involves:

- Checking that the systems required to support the provision of learning programmes across the provider/learning site are appropriate and working effectively
- Providing advice and guidance to providers
- Maintaining an overview of provision across providers
- Checking that all the staff involved in assessment are appropriately qualified and experienced
- Checking the credibility of assessment methods and instruments
- Checking internal moderation systems
- Through sampling, monitoring and observing assessment processes and learners' evidence to ensure consistency across providers
- Checking assessors' decisions

PAB is responsible to ensure that moderation systems established are consistent with capability and means. The external moderation system consists of a system of local networks centrally directed by PAB and the moderation function is allocated to a combination of agents including:

- Examining bodies
- Individual providers or group of providers
- ETQA staff

The components of a moderation system include:

- Appropriate timing
- The extent of the moderation
- Moderation materials
- Personnel

### **Appropriate timing**

Moderation can take place at different intervals. However, all assessment guides should be moderated prior to the assessments. Recently trained assessors may require more regular moderation of their ability to conduct assessments than more experienced assessors, but all assessors need to be moderated at designated intervals.

### **Extent**

Each unit standard and qualification, assessment material and assessors falls within the moderation process. Moderation activities need to be sufficient to protect the integrity of standards and qualifications.

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The quality of the registered assessors and internal moderation systems will be a key factor. Initially, fairly frequent moderation might be a requirement and there may be a need to conduct spot checks on a case-by-case basis in an evolving system. This could taper off once providers have earned the right to conduct decentralized assessments by proving (over time) that they have the capability to maintain credible assessment systems. A minimum of 10% of the evidence needs to be scrutinized to ensure a true reflection of assessments done.

### Material required

Materials might include the following:

- Assessment activities or assessment activity exemplars
- Assessment guides or assessment guide exemplars
- Case studies or exemplars
- Assessed learners' work samples

Providers will be notified in advance when these materials are to be made available for external moderation.

When the materials have to be in a specified format, e.g. a portfolio of evidence, the requirements will be negotiated with providers. For the system to function well, PAB will avoid making unreasonable demands.

### Personnel

Moderators should be drawn from the providers and examining bodies where assessments are being conducted. Moderators should have unquestionable skill in the curriculum and assessment practice. They should also have a good understanding of the expectations of all users. Any person who is appointed as moderators should have sound communication and interpersonal skills. Providers are required to establish criteria and procedures for selection of moderators.

### 3.3 Registration regulations

#### a. Registration status

- i. At the beginning of each year a moderator shall be registered either as a full time or part-time moderator.
- ii. Registration to moderate will be done in the relevant portion of the PAB database.

#### b. Registration period

- i. For the purposes of these regulations the registration period is defined as the duration of the first 14-16 weeks of the year during which registration take place at appropriate time.
- ii. The registration period may include late registrations only after agreement between the Provider and PAB had been made in writing.

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- iii. The registration period will be predetermined by PAB and only subject to alteration by PAB.

### 3.4 Purpose and nature of registration

The registered status is a license to practise as an assessor or moderator in relation to the standards and qualifications which fall within the PAB’s primary focus. In the case of verifiers, registration is a prerequisite for being deployed by the PAB.

The achievement of the relevant standards is one condition for this registration. The standards, once achieved, are achievements for life. The registered status, however, once granted, can be withdrawn from any individual who fails to comply with the relevant PAB Code of Conduct or for some other reason is unable to maintain currency and quality of practice.

### 3.5 First time Registration of moderators

- a. All moderators are required to register at the **beginning** of each year. The time frame on which moderators register shall be the responsibility of the Provider, provided that it complies with the deadline for submission of registration documents and fees to PAB.
- b. Registration implies agreement by the moderators registering, while s/he remains a registered moderator, to abide by the authority and discipline of the PAB conferred by the SAQA Act, 1995, by the SAQA regulations, by the SAQA Guidelines and criteria documents and by the Policies and Procedures of PAB.
- c. Information provided by moderators at registration will be treated by the PAB as confidential but will be passed on to the NLRD, SAQA, Provider, Assessment houses and, if required with sound reason, another ETQA or relevant body.
- d. A moderator shall notify the PAB through her/his Provider’s principal as soon as possible of any subsequent changes in the information that was provided at the time of registration.
- e. No moderator shall be registered as a moderator without proof of competency in unit standard 115759.
- f. No moderator shall be registered as a moderator without a signed PAB Moderator Code of conduct.

### 3.6 Continued Registration as a Moderator

- a. Competence and Progress
  - i. A moderator will be required regularly to attend to moderation and other forms of associated requirements prescribed by her/his scheme of work and to submit written reports by the appointed dates.
  - ii. Absence due to ill health must immediately be notified by the moderator to the principal of the Provider concerned.
  - iii. Moderators are expected to attend all moderations and other forms of associated requirements prescribed by their scheme of work.

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- iv. Moderators who are unable to attend some moderations for any reason must notify, in writing the principal of the Provider and supply relevant documentation.
- v. Final approval of absence rests with the Provider concerned and not with PAB.
- vi. It will be the responsibility of the moderator to make up for missed events and to complete the relevant requirements.
- vii. The principal may debar a moderator from conducting moderation if the latter has been demonstrating unsatisfactory performance of her/his duty. It is the responsibility of the Provider to supply PAB with documented evidence of such debarment.

### 3.7 Role of the Moderator

Moderation is the process of ensuring that assessments have been conducted in line with agreed practices, and are fair, reliable and valid. The generic assessor standard registered by SAQA entitled 'moderate assessment' outlines the process in detail. One moderator usually checks the work of several assessors to ensure consistency (reliability). In addition, the components of the assessment instrument(s) should be scrutinized by the moderator to ensure that they are valid and fit for purpose, and the assessment process checked for fairness. The management of moderation is the responsibility of the provider.

In the case of certain qualifications, additional external processes are required. For example, the requirements for the current legacy qualifications which are being transformed into short courses currently include an external assessment by SAAHSP, CIDESCO, ITEC etc. Providers of qualifications within the primary focus of the PAB will be informed of moderation options or external assessment requirements in relation to any particular qualification.

Providers are obliged to manage the moderation of the assessment linked to their learning programmes or RPL services. Whether or not they use any outside assessment body or contract any outside expertise, therefore, they are obliged to ensure that registered assessors assess the learners and that this assessment is effectively moderated. The PAB ETQA extends the SAQA requirement for the use of registered assessors to include the use of registered moderators. Naturally, the use of registered moderators will also apply to RPL assessments.

### 3.8 Deployment of Moderators

Moderators will only work in their capacity as PAB moderators when registered by the PAB and may offer moderation services independently. Any person offering moderation services in the name of the PAB without registration with the PAB will be removed from the moderator register and legal proceedings may be initiated by the PAB against such persons.

Moderators will be deployed at all PAB accredited Providers as this is the most cost-effective manner possible geographically. For this reason, it is important to have

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relatively large numbers of moderators available. No moderator may claim to represent the PAB without registration with the PAB.

The PAB wishes to facilitate peer monitoring to strengthen the quality of systems in place. Moderators will play a key role in:

- provide input to improving moderation processes in their own Providers, in line with PAB accreditation criteria;
- report on learner achievements as recorded by providers; and
- provide input on the assessment processes of peer providers, in line with PAB accreditation criteria

### **3.9 Appointment of Moderators**

A standard code of conduct will be drawn up for moderators. Once a moderator is trained and registered with the PAB, he or she will be invited to sign the code of conduct. Being registered as a PAB moderator does not guarantee any work from the PAB.

### **3.10 Application forms**

The application form is attached in an annexure or may be obtained from the PAB Administrator.

### **3.11 Procedure for processing applications**

The procedure for processing applications is identical to that for processing assessor registration applications (see above). The criteria applied during the process will, however, be the criteria for the registration of moderators.

### **3.12 Certification**

Moderators will be certificated on request and on the payment of a fee, in the same manner as assessors. The same kind of certificate will be issued.

### **3.13 Monitoring and Review of Moderators**

The PAB is establishing a system to track and record selected relevant information about the work record of registered assessors, moderators and verifiers. The aim of this electronic tracking is not to develop competency profiles or document in detail the activities of these individuals, but rather to capture significant problems which might require action in relation to reviewing the registration status of constituent assessors, moderators or verifiers.

The PAB will therefore record the minimum essential information it requires in this context.

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The following paragraphs refer to other monitoring and review processes which are not directly related to the PAB registration of assessors, moderators and verifiers. They are mentioned here so that PAB staff and other role-players and stakeholders may be assisted in understanding the bigger picture. The quality management systems may sound complicated, but the PAB staff will assist legitimate role-players and stakeholders to engage with the required procedures.

### **3.14 Keeping a record for each registered constituent assessor, moderator and verifier**

An electronic record will be opened for each registered constituent assessor, moderator and verifier.

It will contain categories for:

- complaints and appeals mediated by the assessor, moderator or verifier in question which were unresolved and therefore referred to the ETQA; (dates with reference to a number for a written report must be recorded);
- complaints and appeals against the assessor, moderator or verifier in question which were unresolved and therefore referred to the ETQA; (dates with reference to a number for a written report must be recorded);
- activity levels of assessors and moderators (records whether or not any assessments have been conducted in a given calendar year);

### **3.15 Records of complaints and appeals mediated by the assessor relating to the registration status of assessors, moderators or verifiers**

Complaints which reach the PAB because they cannot be resolved at provider or verifier level will be recognized as appeals. The ETQA Manager will advise complainants about the procedures for lodging appeals in the relevant appeal system (Registration Appeals, Learner Achievement Appeals or Provider Accreditation Appeals).

### **3.16 Monitoring activity levels of assessors, moderators and verifiers for currency**

The PAB forms for the submission of results of assessments identify the assessors and moderators concerned. The system will be designed so that an 'active' note is recorded in the assessor's record, as appropriate, for future reference.

Inactivity for more than three years will lead to the PAB requiring that the registered assessor either make an assessment or explain the lack of assessment activity. After circumstances (like assignments abroad, sabbaticals, long illnesses, maternity leave) have been taken into consideration, the ETQA may decide to withdraw the registered status of the assessor.

Many complaints which the PAB might receive either through providers, assessment houses, learners, assessors, moderators or verifiers or against these same individuals are likely to imply problems in more than one area. It is important for the staff of the PAB to identify correctly the implications of each complaint, and to direct this complaint to the

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relevant ETQA Appeals Committee. The first task of the staff will be to categorize (i.e. issue concerning registration, learner achievement or provider accreditation) the complaint and ensure that the relevant supporting documentation (and witnesses, where appropriate) is available for the investigation.

The electronic data capturing system for monitoring the registration of learners is incorporated in the data system for monitoring learner achievements. Information about the monitoring and appeals system can be found in the PAB Policies and Procedures.

Although complaints, appeals and recommendations concerning learner achievement may sometimes involve (for example) complaints against assessors or moderators, from the PAB perspective these two tracking and appeals systems are integrated. Where, for example, a complaint involves alleged misconduct by both an assessor and a learner, the information would have to be fed into and processed through the system even though two different issues would be at stake: the award (or not) of credits to the learner and the continued (or not) registered status of the assessor. If (for example) a complaint against an assessor or moderator appeared to compromise the integrity of the provider, a 'red flag' would be raised so that the monitoring of the provider in question would be moved up in terms of monitoring priorities. So, in such a case, the information would have to be fed into and processed through the registration, accreditation, monitoring and audit system of PAB. Again two different issues would be at stake: the continued (or not) accredited status of the provider and the continued (or not) registered status of the assessor.

To illustrate these possible complications, complaints against an assessor, for example, might eventually also lead to a decision to raise a 'red flag' in relation to a particular provider's accreditation status and also a 'red flag' in relation to a particular set of learner assessment results. This would be followed up by the PAB applying a verification option (or more than one), for example a monitoring verification site visit and/or a request for additional samples of evidence of learner competence for verification of the learner achievement. Both the accreditation and the learner achievement problems identified would have to be addressed by the PAB response.

### 3.17 Quality promotion activities in relation to assessors and moderators

The PAB will make every effort to ensure that all moderators attend professional development meetings where they receive up-dates on information about standards and qualifications, about assessment and moderation requirements, and also participate in training to ensure consistent interpretation of standards.

Moderation decisions which have led to the alteration of particular results will be examined and discussed.

These meetings will be run by verifiers. Moderators in turn will be expected to use their expertise to advise and support assessors. Attendance records will be kept of all such training given with the support of the PAB.

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#### 4. REGISTRATION OF ASSESSMENT HOUSES

Registration of Assessment houses shall take place in accordance with the agreements as set out in the MoU.

### **B. PROCEDURES FOR TERMINATION, SUSPENSION AND WITHDRAWAL OF PAB REGISTRATION**

#### **1. Termination of Registration as a Learner**

##### a. Attendance and Progress

- i. A learner will be required regularly to attend lectures, tutorials and other forms of instruction prescribed by her/his scheme of study and to submit written work by the appointed dates.
- ii. Absence due to ill health must immediately be notified by the learner to the principal of the Provider concerned.
- iii. Learners are expected to attend all lectures, tutorials and other forms of instruction prescribed by their scheme of study and to complete the required elements that make up the Continuous Assessment mark.
- iv. Learners who are unable to attend some classes for any reason must notify, in writing the principal of the Provider and supply relevant documentation.
- v. Final approval of absence rests with the Provider concerned and not with PAB.
- vi. It will be the responsibility of the learner to make up for missed events and to complete the relevant requirements.
- vii. The principal may debar a learner from taking part in examinations if the latter's attendance has been unsatisfactory (say less than the required minimum)

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b. Conduct of Learners and Provider Discipline

Learners shall at all times conduct themselves in a manner conducive to the furtherance of the objects of the Provider and to the maintenance of its efficiency and well-being as an academic community.

The following shall be held to be a breach of Provider discipline rendering a learner liable to action under the code of Discipline:

- i. Breaches of Criminal Law. These will invariably be reported to the police but this in no way prejudices the right of the Provider to institute its own disciplinary proceedings whatever the outcome of the reference to the police.
- ii. Conduct which obstructs or interferes with teaching and research and the administration of the Provider.
- iii. Conduct which obstructs any member of the Provider or an officer or employee from discharging her/his lawful duties.
- iv. Conduct prejudicial to the Provider's relations with the general public.
- v. Failure to comply with any rules made to maintain the good order and efficiency of the Provider, for example, rules relating to the use of Provider facilities, the parking of motor vehicles, security, the care and tidiness of Provider's grounds, buildings and property.
- vi. Improper and indecent language and unbecoming behaviour, including harassment on or off site towards fellow learners and other members of the Provider.
- vii. Gross misconduct that may tarnish the image of the Provider.

c. Learner Health

- i. Any learner suffering from or believing that s/he may be suffering from an infectious illness or in whose home or lodgings there is or has been such illness must immediately notify her/his medical practitioner and the Principal of her/his Provider.
- ii. No learner may return to follow courses at the Provider until a medical practitioner appointed by the Provider has provided her/him with a certificate, which is to be forwarded immediately to the Principal of the Provider stating that there is no longer any danger of infection being conveyed to other persons.

**2. Voluntary termination of registration**

An Provider, Assessment house, Assessor, Moderator or Learner may voluntarily terminate its registration for the total or for parts of its scope of registration, at any time, by giving written notice to the PAB.

A voluntary termination will expire the validity of the PAB registration.

A partial termination will lead into an issuance of a new registration for the not terminated part of the scope of registration with an unchanged period of validity.

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Voluntary termination will be referred to by the words “voluntary termination”.

### **3. Suspension of registration**

Suspension of registration means that a temporary ban will prevent the Provider, Assessment house, Assessor, Moderator or Learner from making use of the PAB Registration.

This means that the Provider, Assessment house, Assessor, Moderator or Learner loses some of the privileges associated with registration by PAB.

This means the Provider, Assessment house, Assessor, Moderator or Learner may not identify itself as a PAB registered Provider, Assessment house, Assessor, Moderator or Learner in letters and reports.

Suspension of registration will not relieve the Provider, Assessment house, Assessor, Moderator or Learner of its obligations towards PAB incurred during the registration period (e.g. paying fees, informing about changes in the Provider, assessor, moderator or learner that affect registration)

The suspended party may be referred to in the list of registered Provider, Assessment house, Assessors, Moderators and Learners by the words “temporarily suspended”.

The aim of the suspension is to allow the Provider, Assessment house, Assessor, Moderator or Learner to act to avoid the withdrawal of registration.

#### **a. Voluntary suspension**

The Provider, Assessment house, Assessor, Moderator or Learner may request suspension as a voluntary step in case that exceptional circumstances temporarily prevent the Provider, Assessment house, Assessor, Moderator or Learner from complying with the registration criteria, but where a return to normal circumstances can be expected.

A period of suspension must be defined by the Provider, Assessment house, Assessor, Moderator or Learner in writing along with the application for voluntary suspension.

As a rule, the maximum period of suspension in such a case should not exceed 6 months.

It is up to the Provider, Assessment house, Assessor, Moderator or Learner whether or not it takes part in the PAB quality assurance processes during the voluntary suspension and must be in writing.

#### **b. Suspension due to unpaid fees**

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If the annual registration fee has not been paid by the end of the deadline date, the Provider, Assessment house, Assessor, Moderator or Learner will be notified about this.

If up to June 31<sup>st</sup> (without an agreement to extend) of that year the registration fee has not been paid, the registration of the Provider, Assessment house, Assessor, Moderator or Learner will be suspended for 15 months at maximum.

This means that the Provider, Assessment house, Assessor, Moderator or Learner loses also all the services associated with the PAB registration as e.g. receiving free PAB publications and acknowledgement of the registered function in the field of Health and Skincare Therapy.

### **c. Suspension due to proficiency performance below minimum standard**

The registration will be suspended immediately in the case of any of the following:

- i. The cumulative proficiency performance is below the minimum performance standard
- ii. The Provider, Assessment house, Assessor, Moderator or Learner fails to participate in the function registration has been granted for by PAB

### **d. Suspension due to non-conformity with the PAB Provider, Assessment house, assessor, moderator or learner Registration Standard**

If during a re-registration process an Provider, Assessment house, Assessor, Moderator or Learner is found not to comply with the terms of registration, the Provider, Assessment house, Assessor, Moderator or Learner will be notified in writing about this.

If for cause, immediate suspension of the Provider, Assessment house, Assessor, Moderator or Learner appears to be warranted as a result of observations during a registration audit or quality assurance audit, the Provider, Assessment house, Assessor, Moderator or Learner will be advised during the exit briefing that the audit team will recommend immediate suspension of the Provider, Assessment house, Assessor, Moderator or Learner registration status.

Appropriate corrective actions are required up to a deadline agreed with the auditors.

If the Provider, Assessment house, Assessor, Moderator or Learner has not completed the required corrective actions up to that deadline, the registration of the Provider, Assessment house, Assessor, Moderator or Learner will be suspended starting with the next day after the deadline.

Only in very well founded cases and after consultation with the lead auditor, a second deadline may be granted on request, which may not exceed a period of 3 months after the first deadline.

### **e. Suspension due to changes in the Provider, Assessment house, Assessor, Moderator or Learner**

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If any significant changes in the Provider, Assessment house, Assessor, Moderator or Learner's registration function occurred and the Provider, Assessment house, Assessor, Moderator or Learner cannot demonstrate within a 90 days period that the changes have either no influence on the registration function, the registration of the Provider, Assessment house, Assessor, Moderator or Learner will be suspended.

#### **f. Notification about suspension**

As soon as one of the reasons for suspension of registration is proved to be existing, the Provider, Assessment house, Assessor, Moderator or Learner will be notified about the suspension of registration.

This notification will include the scope of suspension, the date of beginning and end of suspension and the measures to be taken for the Procedures for Termination, Suspension and Withdrawal of PAB Registration, re-instating of the registration as well as the conditions under which the suspension will lead to a withdrawal of registration.

#### **g. Period of suspension**

The period of suspension is dependent upon the reasons for suspension and the time required for taking measures as a requirement for the re-instating of the registration.

The usual period of suspension is 3 months, most suspensions will not exceed 6 months, but in special cases (as e.g. in case of unpaid fees or for improving the proficiency of performance) the period may be longer.

#### **h. Appeal against the suspension**

The Provider, Assessment house, Assessor, Moderator or Learner can take the right to appeal against the suspension within a 30 days period after notification.

The appeal has to be sent to the PAB Advisory Committee *via* the PAB ETQA Manager. The PAB Advisory Committee will review and decide about the appeal within 60 days.

#### **i. Re-instating registration**

A voluntary suspension of registration will be terminated at the end of the period as defined by the Provider, Assessment house, Assessor, Moderator or Learner and the registration will be re-instated under the condition that the Provider, Assessment house, Assessor, Moderator or Learner states the reasons why registration can be re-instated.

The Provider, Assessment house, Assessor, Moderator or Learner can also terminate the suspension at an earlier stage within the suspension period by informing the PAB in writing and stating the reasons why suspension now can be terminated. There is no audit or other check mandatory for re-instating registration after a voluntary suspension.

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A suspension of registration due to unpaid fees can be terminated by paying the due fees within the suspension period.

There is no audit or other check mandatory for re-instating registration after suspension due to unpaid fees.

Suspension due to not rectified non-conformities can be terminated by rectifying the non-conformities within the suspension period and by satisfying the auditors that the corrective actions made are appropriate.

Suspension due to significant changes in the Provider, Assessment house, Assessor, Moderator or Learner's registration function can be terminated by satisfying the auditors that the changes have no longer influence on the competence required for registration.

#### **4. Withdrawal of registration**

Withdrawal of registration means that the registration of the Provider, Assessment house, Assessor, Moderator or Learner ends before the end of the registration period.

Withdrawal, in the case of Provider, Assessment house, Assessors and Moderators implies:

- i. the return of the Certificate of Accreditation,
- ii. the possibility of removal from the list of accredited Provider, Assessment houses, Assessors or Moderators.
- iii. a period of 3 years must lapse before application is resubmitted

Withdrawal, in the case of a learner implies that:

- i. s/he has completed the scheme of study for which s/he is registered, although s/he will remain as data on the PAB SQL Database.
- ii. s/he withdraws from the Provider, although s/he will remain as data on the PAB SQL Database.
- iii. s/he is required to withdraw from the Provider if under any of the Provider's Regulations, although s/he will remain as data on the PAB SQL Database.

Any learner whose registration had been terminated due to misconduct during an assessment or serious disciplinary action should not be admitted on the same programme until a period of two years after termination of registration.

##### **a. Withdrawal due to unprofessional practice**

The registration will be withdrawn immediately, if there is evidence that the Provider, Assessment house, Assessor, Moderator or Learner has willfully taken actions which call into question the credibility of the results produced by the Provider, assessor, moderator or learner.

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Examples of such unprofessional practice are the falsification of results or data or the willful destruction of evidence, samples or records that would demonstrate incompetence in the registered function with PAB.

**b. Withdrawal due to expiration of the suspension period**

If the Provider, Assessment house, Assessor, Moderator or Learner did not take appropriate measures to re-instate the registration during the suspension period, the registration will be withdrawn at the end of the suspension period.

**c. Appeal against the withdrawal of registration**

The Provider, Assessment house, Assessor, Moderator or Learner has the right to appeal its case to the PAB Advisory Committee in writing within 30 days after notification about withdrawal of registration.

If an appeal is received, the Advisory Committee will be appointed as an impartial Appeals Tribunal to review the appeal within a 60 days period.

The subsequent decision of this Appeals Tribunal on whether or not to withdraw registration, based on the evidence available for review by the Appeals Tribunal, will be final.

**d. Publication of withdrawal of registration**

All instances of withdrawal of registration will be publicized by PAB.

Notices will be placed in the PAB website and a supplement or change made to the list or database of PAB accredited Provider, Assessment house, Assessors, Moderators and Learners.

The Provider, Assessment house, Assessor, Moderator or Learner and the South African Qualifications Authority will be notified about the withdrawal of the registration in writing.

**e. Re-application**

The withdrawal of registration will not preclude an Provider, assessor, moderator or learner from re-applying for registration at a future date.

Such application will be evaluated under the same requirements and procedures applicable to every other applicant Provider, assessor, moderator or learner.

The Provider, assessor, moderator or learner will have no privileges from the withdrawn registration when applying for a new registration.

**f. Renewal of registration, change of coverage and de-registration**

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Registration lapses after 3 years. The Quality Assurance of learner achievements on the PAB data capturing system ensures that each assessor has a record that is gradually built up and will show:

- any emerging pattern of poor assessments consistently overturned by moderators and/or verifiers; and
- if an individual assessor has not carried out assessments for two years.

If assessments are current, there is no pattern suggesting erratic standards, and no complaints have been received, renewal will be automatic on receipt of an application for renewal. If renewal is refused, the reason will be stated by the PAB, and the assessor may initiate an appeal.

When assessor registration is renewed, the certificate will be up-dated in relation to the standards and qualifications for which the assessor is registered. Any major extension or change in relation to these standards in the interim may be acknowledged in the form of a letter if requested.

### **5. Refusal to register or renew registration**

The PAB will not register any individual unless he or she meets the criteria for registration. When the registration period of five years elapses, the registration will only normally be renewed if records show that he assessor, moderator or verifier has been active in the last three years, and has attended professional development programmes as requested or can show that they explained their absence and brought themselves up-to-date later with the substance of the programme.

### **6. De-registration**

The PAB will de-register assessors, moderator or verifier who fail to comply with the relevant PAB Code of Conduct or for some other reason are unable to maintain currency and quality of practice. The ETQA Manager must be informed of the grounds for de-registration or refusal to renew registration in writing and must endorse such decisions before any action is taken.

### **7. Grounds for appeal**

If an applicant believes that he or she has been refused registration or renewal of registration even though the criteria have been met, an appeal must be lodged in writing to the PAB ETQA Manager, presenting the evidence that the criteria for registration have been met and requesting that the decision be overturned.

If a person is de-registered because of a breach of the relevant PAB Code of Conduct, that individual must lodge an appeal in writing to the PAB ETQA Manager, stating the reasons for believing that the code was not breached.

In cases where an application for registration is unsuccessful, PAB will communicate the reasons to the applicant who may then take steps to fulfill any missing requirements and

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re-apply. If the applicant is not satisfied with the decision taken he or she has the right to appeal. The appeal will follow the PAB Appeals Procedure.

The right to access to information and the right to appeal apply to applicants for registration as constituent assessors, moderators or verifiers equally.

### **8. Appeals procedure**

A written appeal, clearly stating the grounds for appeal and providing all supporting evidence, must be lodged with the ETQA Manager within 22 working days of receipt of written notification of refusal to register or refusal to renew registration or decision to de-register.

The ETQA Registration Appeals Committee (which is convened by the ETQA Manager as required) is notified of the appeal and a date is set for a hearing within 22 working days of receipt of appeal. The ETQA Manager informs the appellant of the outcome within seven working days of the hearing.

If the appellant is not satisfied with the outcome of the appeal, the matter may be referred to the Director who will decide, in consultation with the Advisory Committee of PAB, whether or not to uphold the decision of the Registration Appeals Committee. A decision is taken within the next scheduled meeting of the Advisory Committee whether to uphold or overturn the decision of the Registration Appeals Committee. Reasons for this decision are recorded in writing and communicated to Registration Appeal Committee members and to the appellant.

This sequence of events is recorded below in the form of a flow-chart.

## **C. VERIFICATION OF ASSESSMENT SYSTEM INFORMATION**

### **1. Procedures and processes for the verification of assessment system information**

The purpose of this document is to provide clear processes and procedures in order for the ETQA to monitor and evaluate assessment and facilitation among constituent providers effectively and efficiently. It has been designed to clarify procedures for the verification of assessment system information in the ETQA's scope of practice. Furthermore it addresses the possible need to validate suspect learner assessment results if necessary. It is part of an integrated system which includes the following ETQA policies:

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- PAB Criteria and Guidelines for providers
- PAB Criteria and Guidelines for the Assessment and Moderation of NQF Registered Qualifications
- PAB Certification Policy

### **1.1 Requirements for Providers**

Providers of education and training wishing to issue learner achievement to PAB must comply with the following requirements:

- Proof of provider and programme accreditation;
- Proof of a computerized record keeping system that incorporates mechanisms to record learner achievements as well as mechanisms to report to the PAB on past, present and potential learners. The record keeping system should include the following learner information in addition to the required information as per PAB registration form:
  - Certified copy of education and training background and experience (prior qualifications, prior and previous learning experiences, learning skills, language skills and preference)
  - Additional learning needs (necessary experience and knowledge of relevant technology)
  - Resource factors (place and time of learning, access to resources including electricity and technology, financial resources for additional learning or support materials)
  - Motivation for entering a programme of learning
  - Programme/s for which the learner is registered
  - Performance during the programme (internal and continuous assessment)
  - Achievement during and at the end of the programme (internal and external assessment, final assessment, award achieved)
  - Internal moderation activities
- Proof of a records management system for capturing learner progress and achievements;
- Proof of a policy and procedures for the capturing of learner progress and achievements;
- Proof of security and integrity of the database;
- Personnel capacity, procedures, responsibilities and accountability in data capturing activities;
- A policy and procedures for the printing and storage of learner records and achievements;
- Proof that learner achievement and progress policies and procedures are designed to protect the learner's right to confidentiality;
- Policy and procedures for requests for duplicate certificates;
- Strategy to prevent the issue of fraudulent certificate
- A complete record of all certificates issued and received by learners
- If any of the above requirements are outsourced, PAB requires evidence of the policies, procedures, contract/ agreement between the parties.

### **1.2 Requirements for Assessment Houses**

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- a The Assessment House is accountable in accordance with the following regulations and legislation
  - i. *SAQA Criteria and Guidelines for assessment of NQF Registered Unit Standards and Qualifications*
  - ii. *SAQA Criteria and Guidelines for the Registration of Assessors*
  - iii. *SAQA Criteria and Guidelines for Providers*
- b The PAB has been accredited as an Education and Training Quality Assurance Body and assigned functions by the South African Qualifications Authority under section 5(1) (b) (i) of the SAQA Act as a body responsible for monitoring and auditing achievements in terms of national standards and qualifications
- c The national standards and qualifications PAB has been accredited for has been responsible for are the following:
  - i. Health and Skincare Therapy Diploma at HED level 5
  - ii. All subjects contained in the qualifications as short courses/ programmes
- d The assessment house supply PAB with the certificates/ diplomas. Only when PAB can verify the results of outcomes achieved/ that all Unit standards have been achieved throughout the course of the programme (recorded on our database) does PAB issue certification.
- e PAB require only a Moderator to be present to verify the fairness, validity and transparency of assessment by the External Examining Body. The moderator may not interfere with the Assessment. The Examining Body assessor will be accredited by PAB as a subject matter expert once the Examining Body has supplied PAB with proof of Subject matter expertise.
- f PAB will be responsible for the certification of learners.
- g The certification is subject to successful completion of the summative assessment and the complete competency profile of a learner in all unit standards/ outcomes uploaded to PAB contained in the Qualification.
- h The PAB proposes that all SAAHSP qualifications are sent to PAB for verification. PAB proposes to accept responsible to distribute the certificate/ diploma to the Provider with an accompanying PAB certificate carrying the SAQA logo to validate the competency of the learner
- i The assessment house is responsible for the provider of an external examination/ assessment as a summative evaluation. The practices and procedures of the assessments are open to quality assurance from PAB.

### **2.3. Verification procedures**

- a. Accreditation status of Provider / Assessment house is verified by the ETQA

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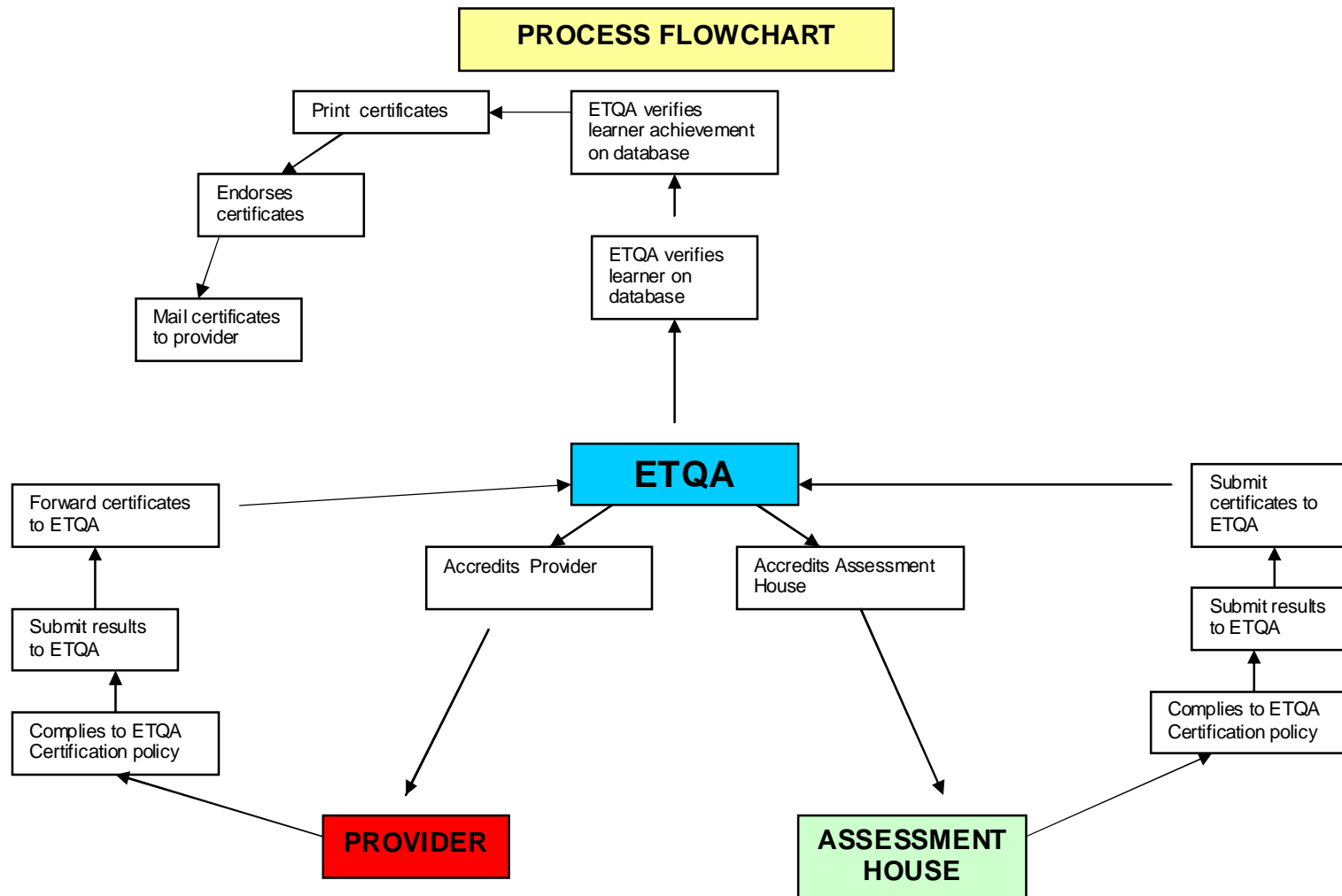
- b. Provider / Assessment house demonstrates compliance to ETQA policies and procedures i.e.
  - i. Criteria and Guidelines for Assessors and Moderators
  - ii. Certification Policy
  - iii. Record keeping requirements
  - iv. Requirements for submission of results
- c. Learner information is verified on ETQA database
- d. Learner achievements are verified on the ETQA database (assessors registration, provider status)
- e. Certificates are printed, endorsed and send to Provider

**2.4. Suspect learner assessments results**

**Should suspect learner assessments results be submitted to the ETQA, the following procedures will be implemented:**

- a. The ETQA will inform the relevant Provider / Assessment house
- b. The Provider / Assessment house will be instructed to provide the ETQA within 14 days with a written report which includes:
  - i. Proof of Assessor registration as per the ETQA requirements
  - ii. Proof of authenticity of evidence: Can the evidence be attributed to the learner?
- c. The ETQA Advisory Committee will be convened within 14 days of receipt of the report
- d. The ETQA Advisory Committee will evaluate the evidence and inform the Provider / Assessment house of the decision, in writing, within 7 working days
- e. An appeals Policy is in place in the event of an appeal
- f. Should the Provider / Assessment house still be dissatisfied, all relevant information will be forwarded to SAQA, for ratification.

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