


## MANAGEMENT OF ASSESSMENTS POLICY

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## 1. INTRODUCTION

- 1.1 The Quality Council for Trades Occupations (QCTO) has in terms of Section 26I (2) of the Skills Development Act No. 97 of 1998 (SDA) and the Council's delegation policy delegated the quality assurance partner (QAP) functions to the Public Service Sector Education and Training Authority (PSETA).
- 1.2 The delegation was conferred to the PSETA as of 27 September 2012 and it is limited to the Public Service sector. The delegated functions are as follows:
- i. Accredit Skills Development Providers (SDPs) for the qualifications or part qualifications listed in the schedule in terms of criteria determined by the QCTO;
  - ii. Monitor the provision by providers of Learning Programmes leading to qualifications or part qualifications in order to ensure that the criteria for accreditation are being complied with;
  - iii. Evaluate learner assessment and the facilitation of moderation of learner assessment by providers;
  - iv. Register assessors and moderators to undertake assessments and moderation for specified qualifications or part qualifications in terms of criteria determined by the QCTO;
  - v. Certify qualified learners in accordance with the policy determined by the Minister in terms of section 26F of the SDA;
  - vi. Maintain a comprehensive learner information management system;
  - vii. Upload learner data to the National Learner Records Database (NLRD) according to the NLRD load specifications; and
  - viii. Perform such other functions consistent with the National Qualifications Framework (NQF) Act and the SDA as the QCTO may from time to time allocate to the SETA in writing.
- 1.3 The delegation expires once the qualifications delegated to the PSETA are reviewed and replaced by qualifications developed and registered on the Occupational Qualifications Sub-Framework (OQSF) or until the qualifications reach their registration end date and teach out periods or when the qualifications are withdrawn by the QCTO.



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1.4 The delegation is subject to the following terms and conditions:

- i. The QCTO may review the quality management policies and procedures of the PSETA and examine the activities of the Quality Assurance Partner (QAP) department;
- ii. The PSETA must ensure the integrity of quality assurance by exercising its delegated functions separately and independently from any provision of education and training; and
- iii. The performance by the SETA of its delegated functions must advance the objectives of the NQF as contemplated in section 5 of the NQF Act.

## 2. PURPOSE AND OBJECTIVES

The purpose of this Policy is to:

- 2.1. Set out clear, unambiguous and legible standards for assessment management services in the sector;
- 2.2. Guide organisations and the PSETA QA staff on the management of assessments;
- 2.3. Ensure that the provision of quality education and training is consistent with the principles of NQF.

## 3. ABBREVIATIONS

Abbreviation	Description
AA	Accounting Authority
DHET	Department of Higher Education and Training
EISA	External Integrated Summative Assessment
ETD	Education, Training and Development
MOU	Memorandum of Understanding
NQF	National Qualifications Framework
NLRD	National Learner Records Database




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Abbreviation	Description
<b>OQSF</b>	Occupational Qualification Sub-Framework
<b>POPI</b>	Protection of Personal Information
<b>PSETA</b>	Public Service Sector Education and Training Authority
<b>PSETA MIS</b>	PSETA Management Information System
<b>QAP</b>	Quality Assurance Partners
<b>QCTO</b>	Quality Council for Trades and Occupations
<b>QMS</b>	Quality Management System
<b>SAQA</b>	South African Qualifications Authority
<b>SDP</b>	Skills Development Provider


#### 4. DEFINITIONS

Term	Description
<b>Accreditation</b>	The certification, usually for a particular period, of a person, a body or an institution having the capacity to fulfil a particular function in the quality assurance system.
<b>Assessment</b>	The process of collecting evidence of learners' work to measure and make judgements about the competence or non-competence of specified NQF registered occupational qualifications and part qualifications.
<b>Assessor</b>	Means a person registered by the QAP for the purposes of conducting internal and external assessment for registered qualifications and part qualifications
<b>Code of Conduct</b>	Refers to a set of conventional principles and expectations that are considered binding to organisation/s and/or individuals that are accredited by PSETA.



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Term	Description
<b>ETD Practitioner</b>	Refers to an individual registered as an Assessor and/or Moderator by the QAP.
<b>Extension of scope</b>	Means the addition of qualification(s) and/or part qualifications following the Learning Programme approval processes by an accredited/programme approval Skills Development Provider to current scope of accreditation as defined above.
<b>External Moderation</b>	Means the process through which internal assessment is monitored to ensure that it meets required standards and through which adjustments to marks are made where required to compensate for any differences in standards that are encountered.
<b>Historically Registered Qualifications (HRQs)</b>	These are unit standard based qualifications registered on the QQSF and has the registration end date of 30 June 2023.
<b>Learner</b>	An individual participating in a training programme with the purpose of achieving a qualification or part qualification.
<b>Moderator</b>	Means a person, who has achieved competence against moderator standard and is registered with ETDP SETA as a qualified moderator. The PSETA constituent moderator is the latter who is registered to moderate against the PSETA part or full qualifications in line with the PSETA assessment policy
<b>Occupational Qualification</b>	Modular-based Qualifications registered on the Occupational Qualifications Sub-framework
<b>Organisation</b>	Refers to legally established entities which may include but not limited to, national and provincial government departments and agencies, institution/organisation, company, centre, collaborative partnership, or consultancy established in line with relevant statutory body requirements and currently in good standing.

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Term	Description
<b>Part qualification</b>	Means an assessed unit of learning that is registered on the NQF as a part qualification.
<b>Primary focus</b>	Means that activity or objective within the sector upon which an organisation or body concentrates its efforts.
<b>Programme Approval</b>	Means secondary accreditation of organisations through a Memorandum of Understanding (MoU) process signed between SETAs. A provider accredited by another QAP can apply for extension of scope on unit standard/s or qualification/s falling within the primary focus of another QAP. The Provider is required to notify the primary QAP of the intention to extend scope. The primary QAP will on behalf of the Provider liaise with the secondary QAP to take the process forward.
<b>Quality Assurance Partners</b>	Means a body delegated by the QCTO responsible for monitoring and auditing achievements in terms of national standards or qualifications, and to which specific functions relating to the monitoring and auditing of national standards or qualifications have been assigned in terms of section 5(1) (b) (i) of the SAQA Act.
<b>Quality Management System</b>	Means the combination of policy, processes and procedures used to ensure that the degree of excellence specified is achieved.
<b>Registered Qualifications</b>	Means qualifications registered on the NQF.
<b>Scope of Accreditation</b>	Means the list of qualification(s) and/or part qualification(s) for which a body is accredited for a defined purpose.
<b>Scope of Registration</b>	Means the list of registered unit standards and/or qualifications for which an assessor or moderator is registered with the SETA as an assessor or moderator.





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Term	Description
<b>Skills Development Provider</b>	Means a body that delivers learning programmes which culminate in specified NQF standards or qualifications and manages the assessment thereof.

## 5. SCOPE OF APPLICATION

This Policy applies to:


- 5.1. PSETA accredited SDPs;
- 5.2. PSETA QA staff members;
- 5.3. ETD Practitioners in the sector; and
- 5.4. PSETA external QA consultants.

## 6. LEGISLATIVE AND REGULATORY PRESCRIPTS

- 6.1. Skills Development Act, No. 97 of 1998, as amended
- 6.2. South African Qualifications Authority Act
- 6.3. National Qualifications Framework Act, No. 67 of 2008
- 6.4. The National Archives and Records Service of South Africa Act (Act No. 43 of 1996, as amended)
- 6.5. QCTO Policy on Delegation to Development Quality Partners and Assessment Quality Partners
- 6.6. Protection of Personal Information Act, No.4 of 2013
- 6.7. PSETA Records Management Policy
- 6.8. PSETA Accreditation Policy
- 6.9. PSETA Learning Programmes Evaluation Policy
- 6.10. PSETA Appeals Policy
- 6.11. PSETA Certification Policy
- 6.12. PSETA External Moderation Policy
- 6.13. PSETA Monitoring Policy
- 6.14. PSETA E-Learning Policy
- 6.15. PSETA POPI Policy





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## **7. POLICY PROVISIONS AND CONTENT**


### **7.1. ROLES AND RESPONSIBILITIES**


- 7.1.1. The Accounting Authority (AA) grants approval of this Policy to be implemented and exercises its fiduciary duties of provisions of the Policy and Delegations of Authority.
- 7.1.2. The Chief Executive Officer (CEO) assisted by the Chief Operations Officer (COO) is accountable for establishing and maintaining systems to manage the Assessment function.
- 7.1.3. The QA Manager is accountable for implementation and management of this Policy.
- 7.1.4. In line with the QCTO delegation, the PSETA is responsible for the certification of learners who are deemed competent on registered qualifications within the PSETA scope.
- 7.1.5. The PSETA will ensure that all assessment and moderation activities conducted by accredited SDPs leading to learner achievements are verified before certificating or recognising (in relation to the statements of results) of the learners.
- 7.1.6. The PSETA will utilise the services of properly qualified ETD Practitioners to verify provider assessments and moderations activities.
- 7.1.7. SDPs are expected to adhere to their own PSETA approved policies when conducting assessments and moderations.
- 7.1.8. The PSETA is required to conduct External Integrated Summative Assessments (EISA) for occupational qualifications in line with the

## **8. ASSESSMENTS**

### **8.1 Types of Assessment**

#### **8.1.1 Diagnostic**

- i. Is often undertaken at the beginning of a unit of study to assess the skills, abilities, interests, experiences, levels of achievement or difficulties of an individual student or a whole class. 


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### 8.1.2 Formative assessment

- i. Formative assessment is assessment designed to support and inform facilitators and learners to ensure continuing progress towards the outcomes, unit standards and skills programmes or qualifications targeted. In the schooling sector it is also known as Continuous Assessment (or CASS). It is used during learning to support the learner by giving him/her feedback on progress. It can be used for diagnostic and remedial purposes and can be used to build up and document a candidate profile over time in order to contribute evidence of competence to feed into summative results linked to the award of credit.
- ii. The main purpose of formative assessment is to support learning, and it can be described as developmental. The PSETA expects formative assessment to be built into programmes offered by accredited SDPs.

### 8.1.3 Summative assessment

- i. Summative assessment is assessment used to make a judgement about learner achievements. This is carried out when a learner is ready to be assessed, usually at the end of a programme. In longer learning programmes summative assessment can take place at different points to signify the completion of a particular portion of a learning programme. In this case, the learning activities and formative assessments are already completed, and the purpose of the summative assessment is specifically to generate evidence of competence.
- ii. Summative assessment must be conducted by an assessor registered with the PSETA. Its purpose is to confirm that learners or RPL candidates have met all the requirements to be awarded a unit standard or qualification. Summative assessment should be made up of evidence collected through a variety of assessment methods and through activities that are part of current or previous work or life

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experience. The assessor's job is to evaluate the evidence presented against the requirements of a standard or qualification in order to decide whether or not credits or a qualification may be awarded.


#### **8.1.4 Integrated assessment**

- i. Integrated assessment should assess the ability to combine key foundational, practical and reflective competencies with some critical cross field outcomes and apply these in a practical context for a defined purpose.
- ii. Integrated assessment at a qualification level must provide opportunities for learners to show that they are able to integrate concepts, ideas and actions across unit standards to achieve competence that is clearly linked to the purpose of the qualification.

#### **8.1.5 External Integrated Summative assessment**

- i. External Integrated Summative Assessment (EISA) is an integral and critical component of the QCTO quality assurance system. It is single national assessment leading to the awarding of an occupational certificate. EISA ensures that the assessment of occupational qualifications, part qualifications and trades is standardised, consistent and credible.
- ii. EISA is conducted by applying nationally standardised assessment instruments which are developed and administered by QCTO approved AQP.
- iii. For learners to qualify for entry to EISA, they must provide proof of completion of all required knowledge, practical and work experience modules as stipulated in the qualification.
- iv. The QCTO approves EISA after ensuring that it is developed according to QCTO standards. The QCTO monitors assessments to ensure their credibility. The QCTO verifies and approves the learner results for EISA.



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## 9. PRINCIPLES OF ASSESSMENTS

- 9.1. The PSETA expects SDPs to ensure the credibility of assessments by adhering to the principles of good outcomes-based assessments. These principles are:
- i. **Fairness:** The methods of assessment do not present any barriers to achievements.
  - ii. **Validity:** The evidence focuses on the requirements laid down in the relevant standard and assessment criteria
  - iii. **Reliability:** The same assessor would make the same judgement again under similar circumstances
  - iv. **Systematic:** The overall assessment process is fair, effective and manageable
  - v. **Authentic:** The evidence produced can be confirmed to be of the by the learner being assessed
  - vi. **Current:** The evidence presented can be confirmed to be recent enough to demonstrate current competence
  - vii. **Sufficient:** The evidence presented it meet the requirements of the unit standard(s) or qualification, in terms of outcomes, range statements etc.


## 10. ASSESSMENT FREQUENCIES

- 10.1. SDPs are expected to conduct 100% assessment, no sampling is allowed.
- 10.2. The assessment decisions are to be either competent or not yet competent and, in both cases, unambiguous and direct feedback must be provided to the learners involved.
- 10.3. The assessments are to be conducted for each training intervention under the PSETA accreditation.

## 11. MODERATION SAMPLING

- 11.1 SDPs are expected to conduct a minimum of 25% of all assessments conducted irrespective of competence achieved.
- 11.2 The moderation of assessments is to be conducted for each training intervention under the PSETA scope of accreditation.



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## 12. CRITERIA FOR ETD PRACTITIONERS' REGISTRATION

### 12.1 Criteria for registration of PSETA constituent assessor

12.1.1. The PSETA QA shall approve application to be registered as a constituent assessor if the applicant can provide proof of the following:

- i. Achievement of unit standard 115753: Conduct Outcomes Based Assessments or 7978: Plan and Conduct Assessment of Outcomes Based Learning Outcomes;
- ii. A nationally recognised qualification in the occupation or learning field for which they apply to be registered at (preferably above) the level of the said standard(s) and/ or qualification;
- iii. Two (2) years relevant occupational experience/ expertise; and
- iv. Relevant subject matter expertise.


12.1.2. The duration of the registration will be aligned to the SETA's existing landscape or registration end date of the qualifications. When a new version of a registered standards or qualifications is included in the PSETA accreditation scope to replace expiring registered standards and/or qualifications, the PSETA shall require assessors to apply for the extension of scope of registration to include the new standards.

### 12.2 Criteria for registration of PSETA constituent moderator

12.2.1. The PSETA shall approve application to be registered as a PSETA constituent moderator if the applicant can provide proof of the following:

- i. Registration as a constituent assessor (current)
- ii. Achievement of unit standard 115759: Conduct moderation of outcomes-based assessment or 7977: Conduct Moderation.
- iii. Two (2) years of relevant occupational experience particularly in the design and implementation of assessments
- iv. Relevant subject matter expertise.

12.2.2. Duration of the registration will be aligned to the SETA's existing landscape or registration end date of the qualifications. When a new version of a registered standards or qualifications is included in the PSETA accreditation scope to replace expiring registered standards

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and/or qualifications, the PSETA shall require moderators to apply for the extension of scope of registration to include the new standards.

### **13. ETD PRACTITIONER REGISTRATION PROCEDURE**

13.1. Applications to be registered as a constituent ETD Practitioner shall be submitted and processed according to the following procedure:

- i. The applicant must register on the PSETA MIS (portal) to apply to be a registered assessor and/or moderator for the PSETA scope of qualifications ;
- ii. The applicant will complete the required information and submit to the PSETA, together with the required documentation;
- iii. PSETA will upon receipt of the application record and evaluate the application to ascertain compliance to the PSETA criteria.
- iv. If the application meets the PSETA requirements the applicant will be registered as an ETD constituent practitioner on the SETA's MIS. A notification letter will be sent to the applicant informing them of their registration status; and
- v. If the application is unsuccessful a notification letter will be sent to the applicant informing him or her about the reasons for not being registered.


### **14. CRITERIA FOR RE-REGISTRATION AS AN ETD PRACTITIONER**

Registered ETD Practitioners must complete and submit the assessor/ moderator re-registration on the PSETA MIS (portal) at least a month prior to the expiry of registration in order to avoid a period of non-registration.

### **15. EXTENSION OF SCOPE OF REGISTRATION**

15.1. Registered ETD Practitioners may apply for extension of scope of unit standards/ qualifications which they are registered to assess or moderate if they are able to demonstrate that they have achieved the technical competence in the additional unit standard/ qualifications.



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15.2. The application for extension of scope of registration must be made on the PSETA MIS (portal), accompanied by relevant documents.

## **16. DE-REGISTRATION OF ETD PRACTITIONERS**

De-registration of ETD Practitioners shall be as a result of one or more of the following:

- 16.1. Voluntary de-registration request;
- 16.2. Non-conformance in accordance with the signed PSETA Code of conduct; and
- 16.3. Non-compliance with legislative and/or regulations.
- 16.4. Failure to behave ethically and professionally.

## **17. APPEALS AGAINST DECISION NOT TO REGISTER OR TO WITHDRAW REGISTRATION FROM ETD PRACTITIONER REGISTRATION**

17.1. An ETD Practitioner may access the PSETA Appeals Procedure should there be dissatisfaction with any of the following circumstances:


- 17.1.1. Withholding of registration as an ETD Practitioner;
- 17.1.2. Withholding of requested ETD Practitioner scope of registration;
- 17.1.3. De-registration of an ETD Practitioner; and
- 17.1.4. Non-renewal of ETD Practitioner registration.

## **18. RECORDS MANAGEMENT**

- 18.1. The accredited SDPs are required to maintain records in a manner that will ensure that long-term evidential records are retained in accordance with the National Archives of South Africa Act.
- 18.2. The records kept or to be kept must be of value in terms of general SDP business operations, governance, decision making and accountability.
- 18.3. The records can be kept on or off-site and access to them must be controlled, and where possible a responsible person must be identified.
- 18.4. The documents must be maintained in both the soft and hard copies.
- 18.5. A clear and unambiguous disposal arrangement must be documented and followed when any archived documents are to be disposed of.





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- 18.6. SDPs are to retain documents for a minimum of five (5) years after which they can be destroyed. The records of the documents destroyed must be kept.
- 18.7. Some or part of the documents may require to be maintained for life. Such documents can be kept beyond the five (5) year period.
- 18.8. The PSETA will monitor the archiving system of each SDP during site visits.
- 18.9. The PSETA will maintain and manage all records in line with the PSETA Records Management Policy

## **19. PROCESSING OF PERSONAL INFORMATION**

The PSETA will ensure that personal information of learners, SDPs, ETD Practitioners and employers shall be handled with care and in a secure manner in line with the PSETA POPI Policy.

## **20. NON-COMPLIANCE**

- 20.1. Non-compliance with this Policy or any applicable regulatory requirements through any deliberate or negligent act or omission, including allowing any staff, either expressly or impliedly, not to comply with this Policy or any applicable regulatory requirements, will be considered serious and be dealt with in terms of PSETA's disciplinary policies and procedures.
- 20.2. Non-compliance with this Policy or any applicable regulatory requirements through any deliberate or negligent act or omission by SDPs, ETD Practitioners or learners, will be considered serious and be dealt with in terms of the contractual agreement between PSETA and the party and/or the relevant code of conduct.

## **21. POLICY IMPLEMENTATION**

This Policy comes into effect on the date of signature and the relevant owner shall ensure that it is communicated to staff using various modes, not limited to email, intranet, workshops etc. However, this shall not have any bearing on the effective date for implementation.



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## **22. MONITORING, REVIEW AND UPDATING OF THE POLICY**

This Policy has to be reviewed and the outcome of such process may either require the author to maintain the status quo or update/amend it.

## **23. APPROVAL OF THE POLICY**

The Policy shall be approved by the AA and signed by the Chairperson subsequent to the Resolution taken.

