

**ENERGY SECTOR EDUCATION AND TRAINING AUTHORITY**



**PROCEDURE FOR DE-REGISTRATION OF ASSESSORS AND  
MODERATORS**

## Assessor De-Registration

### Suspension of registration

Withdrawal of registration will apply in the following instance:

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

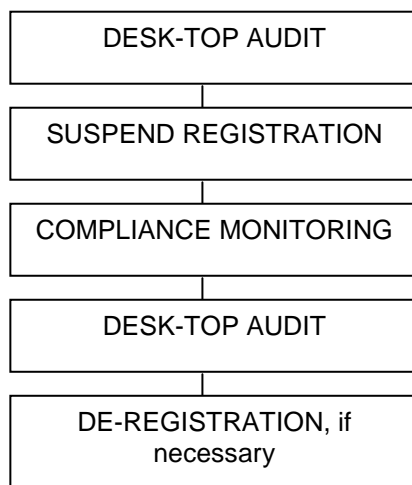
### Deregistration of assessors

The following instances are regarded as serious breaches of the Assessor **Code of Conduct**, and will be investigated by the ESETA ETQA. Should such an area of breach be confirmed in the investigation, deregistration of the assessor will take place:

Item	Instances	Description
1	Misconduct	Complaints lodged by learners, providers or other stakeholders regarding conduct or ethics of the assessor during the assessment process
2	Moderation Results	Repeated non-performance and/or policy violations of an assessor emerging in moderation results
3	Misrepresentation	Willful misrepresentation by the assessor of: <ul style="list-style-type: none"> <li>· the provider scope,</li> <li>· his/her own expertise or</li> <li>· ESETA policy issues and/or practices</li> </ul>
	Competence Audit	An assessor is found to be not competent in the scope of assessment through external moderation

### Process for de-registration

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



Item	Process Phase	Procedure Steps	Documentation Required
	Desk-top Audit	<p><b>The ETQA:</b></p> <ol style="list-style-type: none"> <li>1. Evaluates notifications and pattern of sub-standard irregularities</li> <li>2. Requests <i>assessor through provider</i> to submit information for desk-top external moderation and/or verification</li> <li>3. Performs desk-top evaluation</li> <li>4. Drafts desk-top evaluation / external moderation report.</li> <li>5. Informs provider of outcome of desk-top audit.</li> </ol>	<ul style="list-style-type: none"> <li>• Request for information</li> <li>• External Moderation Report</li> <li>• Desk-top Verification Report</li> </ul>
<p><b>Note:</b></p> <ul style="list-style-type: none"> <li>□ Should the provider refuse to submit information or is unable to do so within the specified time period, thereby preventing the ESETA ETQA in performing the required desk-top audit, the ESETA ETQA shall proceed directly to <b>step 2</b> of the de-registration process.</li> <li>□ The provider shall also be informed of the ETQA's intent to perform a full verification of the provider in response to the inability to produce the required information.</li> </ul>			
2	Suspend registration	<p><b>The ETQA:</b></p> <ol style="list-style-type: none"> <li>6. Notifies the assessor through the provider of the suspension of registration, and the conditions for such re-registration</li> <li>7. Advises the assessor through the provider of his rights of appeal</li> <li>8. Publishes such information on the ETQA web-site</li> </ol>	<ul style="list-style-type: none"> <li>• Notification of suspension</li> <li>• Appeals policy</li> </ul>

Item	Process Phase	Procedure Steps	Documentation Required
3	Conditional Compliance Monitoring	<p><b>The ETQA:</b></p> <p>9. Monitors the assessor's compliance to the Conditional Compliance Plan (where applicable) through the provider</p> <p>10. Corresponds with the assessor through the provider regarding the quality and acceptability of the compliance progress (where applicable)</p>	<ul style="list-style-type: none"> <li>• Conditional Compliance Plan</li> <li>• Follow up external moderation/ verification report</li> <li>• Acknowledgement of receipt</li> </ul>
<p><b>Note:</b> Should the information submitted by the provider comply with ETQA requirements, the assessor, through the provider shall :</p> <ul style="list-style-type: none"> <li>• be notified thereof,</li> <li>• suspension of registration be lifted, and</li> <li>• notification thereof be published on the web-site</li> </ul>			
4	Desk-top Audit	<p><b>The ETQA:</b></p> <p>11. Performs desk-top evaluation</p> <p>12. Requests through assessor provider to submit additional information for desk-top audit, where required</p> <p>13. Drafts final external moderation/ verification report</p> <p>14. Corresponds with the assessor through the provider regarding the quality and acceptability of the compliance progress</p>	<ul style="list-style-type: none"> <li>• Overall ETQA Conditional Compliance Schedule</li> <li>• Acknowledgement of receipt</li> <li>• Final follow up external moderation / verification report</li> </ul>
<p>Should the assessor not comply with the Conditional Compliance Plan as agreed to, or refuse to comply, such assessor, through the provider shall be notified of his breach of agreement and pending de-registration, and given a time period within which to comply with the ETQA requirements.</p> <ul style="list-style-type: none"> <li>• ESETA ETQA also reserves the right to implement a verification of all provider practices as a result of an assessor de-registration</li> </ul>			
5	De-registration	<p><b>The ETQA:</b></p> <p>15. Notifies assessor and provider of intention to de-register within a specific time-period</p> <p>16. Advises the assessor of his rights of appeal</p> <p>17. De-register the assessor on the ESETA ETQA database and NLRD, and</p> <p>18. Publishes such information on the ETQA web-site</p>	<ul style="list-style-type: none"> <li>• ETQA deregistration letter</li> </ul>

## Policy Maintenance

### Quality Assurance

All assessor registration and management processes must be documented within the ETQA.

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

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

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

## Policy Review

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

## Continuous Improvement

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

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

## Non- Conformance

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

### Assessor:

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

### ETQA:

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