

# **QUALITY ASSURANCE STANDARD 2 CRITERIA AND GUIDELINES FOR REGISTRATION AND ACCREDITATION OF AWARDING BODIES**

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## **QUALITY ASSURANCE STANDARD 2 CRITERIA AND GUIDELINES FOR REGISTRATION AND ACCREDITATION OF AWARDING BODIES**

### **REVISION HISTORY**

<b>Date</b>	<b>Summary of changes</b>	<b>Version</b>

**BOTSWANA**  
Qualifications Authority

**SECTION A:****1. PREAMBLE****1.1 LEGAL FRAMEWORK**

Botswana Qualifications Authority (BQA) is mandated by the Botswana Qualifications Authority Act, 2013 to maintain a National Credit and Qualifications Framework (NCQF) and coordinate a quality assurance system for education, training, and skills development. Pursuant to section 4 sub-section 2 (l) of the Act, BQA has to register and accredit education and training providers, assessors, awarding bodies and moderators across all the education and training sub-systems - General Education (GE), Technical and Vocational Education and Training (TVET) and Higher Education (HE).

In accordance with the Act, all Awarding Bodies (ABs) seeking to have their qualifications offered in Botswana, are required to be registered and accredited with BQA. All prospective applicants seeking to operate as awarding bodies are to submit an application based upon the criteria set out in this document, Quality Assurance Standard 2 (QAS 2).

**1.2 AIMS FOR REGISTRATION AND ACCREDITATION OF AWARDING BODIES**

Registration and accreditation of ABs aims to:

- 1.2.1 ensure quality of education and training;
- 1.2.2 promote coherence in qualifications;
- 1.2.3 enable access, equity, relevance, mobility and progression;
- 1.2.4 ensure that the ABs standards are continuously maintained across the AB; and

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- 1.2.5 contribute towards the credibility and marketability of the AB locally, regionally, and internationally.

### 1.3 PURPOSE

This document provides guidance to entities on the process of registration and accreditation of ABs. In order to become registered and accredited, an Awarding Body must develop a Quality Management System (QMS) that meets the registration and accreditation criteria as outlined in this document.

QAS2 represents the standard that must be met by the applicant and the basis upon which BQA will register and accredit an AB. It is the baseline of the quality assurance framework, which relates to the inputs, processes and outputs of the AB, as well as provides qualitative and quantitative benchmarks against which the quality of administrative and academic core functions of the AB are judged. BQA grants registration and accreditation to an AB when satisfied that it meets these criteria.

### 2.0 INTERPRETATION

The terms listed below are some terms as defined in the Act, and others as generally used in the global context.

“Accreditation” – means a process of ensuring that ETPs and any programme of education and training offered, conform to any quality assurance standards set by the Authority;

“Act” - means the Botswana Qualifications Authority Act, 2013;

“Assessor” – means person registered and accredited by the Authority in accordance with established criteria to collect evidence of learners’ work to measure and make judgement about achievement or non-achievement of specified NCQF standards or qualifications;



“Authority” – means Botswana Qualifications Authority (BQA) established under section 3 (1) of the Botswana Qualifications Authority Act, 2013;

“Awarding Body” (AB)- means an organization recognized by the Authority, which awards accredited qualifications;

“Criteria” – means statements against which standards of performance are assessed;

“Education and Training Provider (ETP)” – means a person or entity that provides or organises a programme of education and training, including the provision of professional development services;

“General Education” – means all formal, informal and non-formal education and training other than tertiary/higher education;

“Higher Education” – means any studies undertaken beyond the level of secondary education, but excluding Technical and Vocational Education and Training (TVET);

“Learning programme”- means the sequential learning activities, associated with curriculum implementation, leading to the achievement of a particular qualification;

“Moderation” – means the process which ensures that assessment of outcomes described in NCQF standards or qualifications are fair, valid, reliable and consistent;

“Moderator” – means a person who is registered and accredited to ascertain whether or not the assessment of outcomes described in the NCQF standards and qualifications are fair, valid, reliable and consistent;

“National Credit and Qualifications Framework” – means an instrument developed under section 4 (2) (d) of the Botswana Qualifications Authority Act, 2013 for the classification of qualifications according to a set of criteria for specified levels of learning achieved;



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“Qualification” - means a formal outcome of an assessment and validation process which is obtained when a competent body determines that an individual has achieved learning outcomes to given standards;

“Registration” – means the process by which the Authority ascertains that the ETP has requisite human and material resources, systemic structures, policies and processes to operate as an ETP;

“Registration and Accreditation of an ETP” – means a process that an ETP shall undertake with the Authority as a pre-requisite for learning programme accreditation to ascertain the ETP’s capacity to provide for a defined scope of education and training in accordance with the Act;

“Regulations” – means Botswana Qualifications Authority (Registration and Accreditation of Education and Training Providers) Regulations 2016;

“Technical and Vocational Education and Training (TVET)” – means an education, training and learning programme which provides knowledge, skills and competencies relevant for employment or self-employment.

## **SECTION B – THE CRITERIA**

### **CRITERION 1: LEGAL STATUS**

BQA seeks to ensure that the applicant represents a body corporate legally constituted in Botswana. A body corporate can be a limited liability company, an incorporated society or a charitable trust. It cannot be a family trust, nor can the ultimate shareholder of the corporate entity be a family trust.

An AB may be a subsidiary of a wider organisation with business interests beyond education. To keep accountabilities clear, applicants should separate the educational activities of the wider organisation into a discrete body corporate that will become the AB. If the AB is not a separate entity, it must be clear to BQA where the responsibility lies for AB activities. The AB must identify any additional trading name(s) of the body corporate that differs from its legal name.

The AB's name should not be misleading, and should also not be similar to the name of another AB.

The applicant shall:

- (a) produce verifiable proof of the legal status in Botswana of the organisation establishing the proposed AB, for example a certificate of incorporation as a company, or deed of trust;
- (b) provide the full name and the company registration number of the entity applying for registration and accreditation as an AB;
- (c) provide the trading name of the AB (where applicable); and

- (d) ensure the name does not offend, demean, defame, or discriminate against particular persons, groups, or organisations.

## **CRITERION 2: OWNERSHIP**

BQA seeks to verify that the applicant seeking to establish an AB has the capacity to achieve the objectives stated in the application.

The applicant shall:

- (a) provide the name(s) of the person(s) legally and financially responsible for the proposed AB and shall ensure that the name(s) is the same as and/or partly includes those listed in relevant Articles of Association (or similar) required for the registration of a company, society or trust;
- (b) show that the person(s) initiating the project is also (in whole or in part) the one with legal and financial responsibility for the proposed AB;
- (c) produce Security clearance report;
- (d) produce affidavit to show that the named person(s), being the holder of professional qualifications, has not been disqualified or suspended from practicing the trade or skill in Botswana or any other country, by order of a competent authority;
- (e) produce affidavit to show that the named person(s) has not been adjudged or otherwise become insolvent or bankrupt under any law in any country; or provide affidavit to show that the named person (s) have been rehabilitated or discharged on account of insolvency or bankruptcy where applicable;
- (f) produce affidavits to show that the named director(s) have not served as director(s) for an AB which has had its registration and accreditation revoked by the Authority in the last three years;
- (g) produce evidence to show that the named person(s) has not made an assignment

to, or arrangement or composition with creditors that has not been rescinded or set aside; and

- (h) produce certified copies of identity documents.

### **CRITERION 3: VISION, MISSION AND STRATEGIC PLANNING**

BQA seeks to establish that the AB has a clearly stated mission and vision with goals and priorities which are responsive to its local, national and international context and that there are strategies in place for the realization and monitoring of these goals and priorities.

The applicant shall:

- (a) provide a clear vision, mission and purpose with goals and priorities, which are responsive to its local, national and international context;
- (b) show that there are strategies in place for the realization and monitoring of these goals and priorities;
- (c) ensure there is clarity of processes for translating vision into a strategic plan, risk management and plan for procurement of resources for implementation;
- (d) show there is clarity of responsibilities and levels of accountability for strategy implementation and monitoring;
- (e) provide a policy for regular review of the AB's performance and strategic plan; and ensure it has specific values that form the basis for the implementation of the AB's strategy.

### **CRITERION 4 GOVERNANCE OF THE AB**

BQA seeks to establish that the proposed AB will have access to sound guidance and direction of its long-term affairs and that the members of the governing body have the right experience and competencies to govern the AB.

The applicant shall:

- (a) provide information on the proposed governance of the AB, which includes persons of credibility and expertise across the fields of education and training, business management, and financial management;
- (b) show that the governing board is enabled by the organization's structures, responsibilities and accountabilities to act decisively to protect and enhance the provision of quality and credible qualifications; and
- (c) provide CVs of board members.

#### **CRITERION 5: MANAGEMENT OF THE AB**

BQA seeks to establish that the proposed AB will have access to sound guidance, direction, and management of its day to day and long-term affairs and that the management has the right experience and competencies to manage an entity that awards qualifications.

The applicant shall:

- (a) provide an organogram showing the proposed organizational structure;
- (b) make available an organizational chart and associated duty statements or terms of reference showing lines of authority, responsibilities and allocations of functions and accountabilities for every proposed management position within the proposed organization;
- (c) show that at least one position is assigned to a person capable of providing strong educational leadership;
- (d) show that the position that is assigned responsibility of educational leadership is

- enabled by the organisational's structures, responsibilities and accountabilities to act decisively to protect and enhance the provision of quality educational services;
- (e) show that senior management role descriptions include provisions requiring the establishment and maintenance of educational quality;
  - (f) provide Management team's CVs and job descriptions; and
  - (g) have a policy on 'whistle blowing'.

#### **CRITERION 6: SCOPE OF ACCREDITATION**

BQA seeks to establish that the rationale for the establishment of the AB and provision of the proposed services are responsive to government policies that the establishment of the AB is clearly aligned with the development needs of Botswana and its people. In this context, the applicant shall define the scope of the accreditation in terms of fields, subfields, domains, and NCQF levels applied for.

The applicant shall:

- (a) define the scope of accreditation in terms of fields and/or sub-fields, and/or domains and to what NCQF level; and
- (b) provide needs assessment report and business plan based on labour market needs or human resource development sector plans;

#### **CRITERION 7: QUALITY MANAGEMENT**

BQA has to be satisfied that the applicant endeavors to ensure that effective quality management is the overarching principle in its business processes.

The applicant shall ensure that:

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- (a) there is a policy on Quality Management System;
- (b) the objectives and functions of the quality system are clearly defined and documented;
- (c) objectives and mechanisms for quality management are integrated into AB's planning;
- (d) the AB's quality management policy adequately provides for all key areas of operation;
- (e) roles and responsibilities and levels of accountability for quality management system implementation are clearly defined and documented;
- (f) there is provision for ensuring that the objectives and mechanisms for quality management within each functional area of the AB are consistent with the AB's vision and strategic priorities;
- (g) there is a system or process for monitoring and evaluation of the internal quality management system;
- (h) there are mechanisms and procedures for the collection and analysis of data and dissemination of information on quality management matters to relevant stakeholders;
- (i) there are procedures for acquiring feedback on the effectiveness of the ABs service from the key stakeholders and customers against its key performance indicators; and
- (j) there is provision for involvement of learners, staff and external partners in the quality management system implementation, monitoring and evaluation.

### **CRITERION 8: RECORDS MANAGEMENT SYSTEM**

BQA requires that the applicant maintains accurate documents, records and data. The applicant shall:

- (a) ensure there is a records management policy which clearly indicates provision for access, security, confidentiality, retention, disposal, etc;
- (b) ensure the records management system provides for the nature and scope of



operation of the AB;

- (c) ensure the proposed records management system is consistent with quality standards and principles characteristic of systems used in ABs;
- (d) have off-site documents backup arrangements; and
- (e) ensure there is a document control system and all key documents are to be centrally controlled and version numbers and revision status indicated

### **CRITERION 9: FINANCIAL VIABILITY AND MANAGEMENT**

BQA requires the applicant to verify financial viability and proof of engagement in fiscal planning and budgeting. The plans should promote intended goals and objectives.

The applicant shall:

- (a) have a local bank account;
- (b) ensure that the financial plan presented spans a minimum of five years;
- (c) ensure that the financial plan and projections are realistic, given the stated goals and objectives of the AB;
- (d) provide a financial statement or letter of guarantor signed off by a registered accountant;
- (e) have a policy and clear processes for procurement planning, budgeting and expenditure monitoring and control with clarity of roles and responsibilities as well as levels of accountability;
- (f) provide clarity of how different functional areas of the AB will be financially catered for and managed;
- (g) have a refund policy for protecting the financial interests of ETPs or learners who may have paid direct;
- (h) ensure that the funding arrangements and associated revenue generating

- activities are consistent with the vision, mission and values of the AB; and
- (i) ensure that there are arrangements for internal and external financial audits to keep track of the AB's financial condition and control over its finances.

## **CRITERION 10: HUMAN RESOURCES**

BQA requires that the proposed AB has adequate human resource capacity to conduct its core business and achieve its mission and goals.

The applicant shall show that:

- (a) there is a clear policy on recruitment and selection of staff which provides for equality of opportunities and inclusive practice;
- (b) the policy provides adequately for recruitment of core staff with relevant qualifications required for the scope of services proposed;
- (c) there is provision for compliance with relevant legislation regarding the recruitment, selection and appointment of staff as well as welfare, occupational health and safety;
- (d) there is a policy on localization;
- (e) there is a staff performance appraisal system which is consistent with labour laws;
- (f) there is a training and development policy which is realistic and provides for inclusive practice;
- (g) the AB has documented conditions of service which are consistent with relevant legislation;
- (h) there is a clear organizational structure with clear roles and responsibilities and well defined levels of accountability across all functional areas of the AB;
- (i) there is provision for regular review of the effectiveness of the implementation of the human resource recruitment, development and management policies of the AB;
- (j) there is commitment to engaging BQA accredited assessors and moderators;

- (k) proposed assessors and moderators are qualified at a minimum, at least one level higher than they would be assessing or moderating; and
- (l) proposed administrative staff is relevant and appropriate to the size of the AB.

#### **CRITERION 11: PHYSICAL RESOURCES**

BQA seeks to establish whether the applicant has or will have adequate and appropriate, physical resources.

The applicant shall show that:

- (a) there is evidence of adequate financial provision for the acquisition and maintenance of resources required;
- (b) the planned staff amenities are consistent with proposed staff numbers and that their composition is fair in terms of gender and special needs;
- (c) the AB has appropriate structures and mechanisms, with clarity of roles and responsibilities as well as levels of accountability, for coordination and monitoring of resource utilisation across all functional areas of the AB;
- (d) there is evidence of, or policy provision for, inclusive practice regarding availability and access to facilities and resources to cater for staff with special needs;
- (e) there is monitoring and evaluation system to establish the effectiveness of the maintenance provision;
- (f) the proposed site(s) or buildings meets requirements associated with the Local Authority zoning for the nature of services proposed;
- (g) buildings or premises, if any, meet building, health and safety regulations set by the appropriate Local Authority; and
- (h) the proposed site has a land board certificate/lease/title deed.

#### **CRITERION 12: SAFETY, HEALTH AND THE ENVIRONMENT**

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BQA requires that the AB operates within an environment that has the capacity to cater for and adhere to Safety, Health and Environment (SHE) standards. The safety of staff and clients is the primary responsibility of the AB.

The applicant shall ensure that:

- (a) there is a safety, health and the environment policy that is consistent with relevant legislation and regulatory requirements;
- (b) there is a structure for coordinating the implementation of the policy on safety, health and the environment;
- (c) there is provision for adherence to legislative requirements related to general environmental hygiene including handling and disposal of waste;
- (d) the AB has clear evacuation procedures to be displayed in strategic areas for all to see;
- (e) there is provision for signage within the AB including location of emergency exit and assembly points;
- (f) there is provision for adequate firefighting equipment and opportunity to train personnel on first-aid;
- (g) there is provision for internal and external health and safety inspection; and
- (h) the AB has provision for processes of SHE hazard identification and risk assessment to ensure consistent compliance with institutional policy and relevant legislation.

### **CRITERION 13: QUALITY ASSURANCE OF AB**

The awarding body whose learning programme is offered by an independent ETP shall undertake quality assurance of the delivery of this programme and associated assessment

and moderation processes.

The applicant shall:

- (a) ensure that all ETP(s) within which delivery and assessment of their programmes will take place meet the full requirements of the ETP approval criteria prior to any candidates being enrolled, assessed or certificated for a registered qualification;
- (b) provide potential centres with appropriate guidance and support on the AB's approval process;
- (c) issue a certificate to approved ETP(s) containing among others duration of approval, qualification(s) and NCQF level(s) for which the ETP is approved;
- (d) maintain a database of approved ETPs; and
- (e) ensure that each ETP identifies with a single named point of accountability.

#### **CRITERION 14: ACCESS AND EQUITY**

BQA requires that the awarding body shall ensure that its qualifications and their assessment are inclusive and accessible to learners. They should also develop a culture that values and strives for standards of excellence in all areas of access, including premises, curriculum design, communication and technology.

The applicant shall:

- (a) have policies for access and equity which comply with relevant legislation; and
- (b) ensure that there are no unnecessary barriers which could affect access and equity.

#### **CRITERION 15: MANAGEMENT OF COMPLAINTS AND APPEALS**

The awarding body shall have an open and transparent system to manage

complaints and appeals.

The applicant shall:

- (a) address complaints in line with its published procedures and timescales;
- (b) Where a complaint is upheld, the awarding body and/or provider, take appropriate, preventative and/or corrective action; and
- (c) establish, maintain, publish and at all times comply with a written complaints and appeals procedure.

#### **CRITERION 16: REGISTRATION AND CERTIFICATION OF LEARNERS**

The awarding body shall have effective, reliable and secure systems for the registration and certification of learners.

The applicant shall:

- (a) maintain systems which hold secure information on learner achievement and progress;
- (b) ensure each learner taking a qualification which the AB makes available is registered in a way that permits the learner to be clearly and uniquely identified;
- (c) ensure that candidates who complete the requirements for a qualification or unit receive a certificate in the format that meets the minimum requirements set by the Authority;
- (d) ensure that certificates are issued when all the requirements for the qualification have been met and the claim authenticated;
- (e) recognise the previous achievement of any units that may be common to other

- qualifications and to uphold the principle of credit transfer;
- (f) ensure precautions are in place to protect against fraudulent, invalid or mistaken claims for certification;
  - (g) have a system in place for the issuing of replacement certificates; and
  - (h) ensure that replacement certificates are clearly marked as such.

#### **CRITERION 17: MALPRACTISE AND MALADMINISTRATION**

An awarding body must take all reasonable steps to prevent the occurrence of any malpractice or maladministration in the development, delivery and award of qualifications which it makes available or proposes to make available.

The applicant shall:

- (a) establish, maintain and comply with written procedures for investigation of alleged or suspected malpractice or maladministration.
- (b) establish whether or not the alleged or suspected malpractice or maladministration has occurred and take all necessary action in accordance with the AB's documented procedures;
- (c) establish preventative measures to guard against recurrence of the malpractice or maladministration; and
- (d) inform BQA when any cases, or suspected cases, of malpractice and/or maladministration are discovered.

#### **CRITERION 18: MANAGEMENT OF THE WITHDRAWAL OF QUALIFICATION**

The awarding body shall have a policy in place to ensure protection of learners' interest in the event that the registered qualification they are studying towards is withdrawn. The policy should among others, guide the AB on the reasonable steps



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to take where it intends to withdraw, or is obliged to withdraw a qualification.

The withdrawal of a registered qualification would apply where the AB:

- ceases to register learners for the qualification;
  - ceases to deliver or award that qualification to learners;
  - surrenders its registration in respect of that qualification; or
  - has its recognition withdrawn by BQA in respect of that qualification
- The applicant shall:
- (a) give BQA reasonable notice of its anticipated withdrawal of a qualification and must do so prior to the time at which it provides that information to any Learners and ETPs;
  - (b) where it intends to withdraw, or is obliged to withdraw, a qualification,
    - promptly prepare, maintain, and comply with a written withdrawal plan, which must specify how the interests of learners in relation to that qualification will be protected; and
    - provide information about the withdrawal to learners and ETPs, who are likely to be affected by the withdrawal.
  - (c) ensure that any withdrawal plan which it prepares complies with requirements which have been communicated in writing by BQA.

### **CRITERION 19: QUALIFICATION DEVELOPMENT AND REVIEW**

The AB shall ensure that it has robust systems and processes for the identification, design, development, implementation and review of qualifications, in line with NCQF requirements.

The applicant shall:

- (a) ensure that each qualification is fit for purpose;
- (b) ensure that each qualification has a clear objective in accordance with criteria for registration of qualification;
- (c) ensure the objective of each qualification leads to a benefit for learners who have reached a specified level of attainment, and may include:
  - preparing Learners to progress to a qualification in the same subject area but at a higher level or requiring more specific knowledge, skills and understanding;
  - preparing Learners to progress to a qualification in another subject area;
  - meeting relevant learning programmes;
  - preparing Learners for employment;
  - supporting a role in the workplace; or
  - giving Learners personal growth and engagement in learning.
- (d) consult users of qualifications to ascertain whether there is support for the qualification, in a case where an AB proposes to make available any new qualification;
- (e) make available the qualification where it has evidence of sufficient support from users of the qualification; and
- (f) have provision for regular review of its qualifications.

#### **CRITERION 20: ASSESSMENT AND MODERATION**

The AB must operate a coherent system to ensure assessment and moderation requirements are met across all qualifications that they plan to make available.

The applicant shall:

- (a) have a policy on assessment and moderation to include at least the following;
  - assessment design with emphasis on standard based assessment
  - detailing the inclusion and involvement of relevant industry or professional

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stakeholders;

- provision for re-assessment and associated support services for learners;
  - mechanisms to inform learners on assessment, re-assessment procedures, and appeals process;
  - pre-assessment moderation (to ensure the validity of its assessment tools and activities);
  - post assessment moderation (to ensure its assessment decisions are accurate and consistent);
  - internal moderation requirements;
  - external moderation requirements;
  - a structure for coordination of assessment and moderation with clear roles and responsibilities and levels of accountabilities; and
  - appropriate procedures on the security of assessments, for handling and securing confidential assessment materials.
- (a) have a process for ensuring that assessment and moderation reports as well as feedback from learners, assessors and moderators are used to inform improvement of learning and assessment practice;
- (b) have a system for monitoring the implementation of recommendations made by moderators, quality assurance entities and other stakeholders towards improvement of assessment practice;
- (c) ensure that assessment and moderation are undertaken according to BQA assessment and moderation guidelines;
- (d) have comprehensive RPL and CAT policies which are consistent with the National RPL and CAT policies to include at least the following;
- systemic structures and processes for coordinating the implementation of RPL and CAT;
  - clarity of roles and responsibilities regarding the implementation of RPL and

CAT;

- Information on development of appropriate instruments for the administration and management of RPL and CAT processes.
  - mechanisms for ensuring that information on the RPL and CAT provision is accessible to learners and other relevant stakeholders.
  - Statement of intent to conform to assessment principles and comparability to international best practice.
  - Use of RPL and CAT to promote access and equity.
  - Explicit quality assurance arrangements about requirements for recognition of credit from components of qualifications offered.
- (e) ensure there is provision for feedback to learners on final achievement; and
- (f) Have a system in place to enable the efficient and confidential reporting of credit to BQA National Learner Record Database.

#### **CRITERION 21: CORPORATE SOCIAL RESPONSIBILITY**

ABs will need to incorporate Corporate Social Responsibility into their business operations through their interaction with their stakeholders, communities and industry by formulating strategies that will build strong relationships with such stakeholders.

The applicant shall show that:

- (a) there is a policy and procedure for the management of programmes and activities pertaining to social responsibility;
- (b) the policy clearly defines the nature of projects and programmes to be considered and such are feasible, sustainable and have no potential for deflecting the AB's attention away from its core business or mission;
- (c) It has adequate resources allocated to facilitate quality delivery in community engagement; and
- (d) there is provision for review of the effectiveness of corporate social responsibility and to inform initiatives for improvement.

## **SECTION C: AB REGISTRATION AND ACCREDITATION PROCESS**

All enquires on AB Registration and Accreditation will be attended to at the Authority's One Stop Shop operated by the Customer Service Division.

### **1.1 SUBMISSION OF APPLICATION**

A customer who is ready to apply will complete an application form that will be accompanied by documents stipulated by this Criteria and Guidelines. Most of the documents that are required are policy documents and each policy area must address the following as a minimum:

introduction or rationale policy statements;  
statements of procedures to be followed in relation to the policies; resource allocations;  
associated documents accountabilities; and evaluation and review mechanisms.

Application documents will be checked for completeness against a Registration & Accreditation Checklist, and a payment invoice prepared to enable the customer to pay for the application.

### **1.2 ACKNOWLEDGEMENT OF RECEIPT OF APPLICATION**

The Authority will acknowledge receipt of complete application and capture it on its database.

### **1.3 DESK EVALUATION**

The Authority will conduct desk evaluation on application documents to satisfy itself that the application meets specific requirements and may request for additional information from the applicant.

#### **1.4 APPOINTMENT OF VALIDATION TEAM**

The Authority will appoint a Validation Team to undertake validation at the AB. A validation report will be produced for consideration by the Authority.

#### **1.5 CONSIDERATION OF THE REPORT**

The recommendation will be processed through the Authority's review and decision-making structures which include the Quality Assurance Department, Management Quality Assurance Committee (MQAC), Quality Assurance Committee (QAC) and the BQA Board.

#### **1.6 DECISION OF REGISTRATION AND ACCREDITATION**

Following consideration of recommendation, relevant structures within the Authority will make the decision and the applicant will be notified about the decision. Where registration and accreditation has been granted a certificate will be issued to the applicant within 30 days.

#### **1.7 APPEALS**

An applicant may submit a written letter for appeal within 21 days of receipt of the decision letter as per the BQA Appeals Procedure.

### **SECTION D - POST REGISTRATION AND ACCREDITATION ACTIVITIES**

To maintain its registration and accreditation, an AB must continue to comply with the Act

and the Regulations. The primary responsibility for managing compliance lies with the AB itself, as part of its on-going self-assessment.

### **1.1 ADVERTISING AND USE OF BQA LOGO**

Permission for the use of the logo in cases of registered and accredited ABs will be granted by the Chief Executive Officer of BQA after a written request before the printing or publication of any commercial or non-commercial material. BQA will respond in writing approving or disapproving use of the logo and will guide the AB on acceptable use of the logo. ABs should not use the BQA logo on the certificates they award.

### **1.2 INSTITUTIONAL AUDIT**

The Authority shall conduct audits of registered and accredited ABs at predetermined intervals as per the audit schedule available at BQA.

The AB will be expected to submit a self-evaluation report three months prior to an audit. The report should be compiled in accordance with the Guidelines for Development of Self Evaluation Report available at BQA. The information contained in the report will be used to guide the audit.

Following the audit, BQA will develop an audit report based on the findings. The audit report will detail judgement as to the level of confidence placed in the AB's quality management system and its implementation. Such judgement may be expressed as 'confidence', 'limited confidence' or 'no confidence' as stipulated in the Criteria and Guidelines of Institutional Audit.



### **1.3 ANNUAL REPORT**

ABs are required to submit an annual report within such period as may be prescribed by the Authority. The AB shall submit the annual report in accordance to the Annual Report template available at BQA.

### **1.4 RENEWAL OF REGISTRATION AND ACCREDITATION**

An AB who wishes to remain registered and accredited shall, six (6) months before the period of registration and accreditation expires, apply for renewal.

An application for renewal shall be made to the Authority on the relevant form. The application shall be accompanied by a non-refundable fee and relevant documentation and information.

### **1.5 NOTIFICATION OF SIGNIFICANT CHANGES**

Major changes to AB arrangements have the potential to impact on the AB's capacity to meet the requirements in the QAS 2 and must be reported to BQA. Major changes may be planned or due to circumstances which are unplanned. If any changes in circumstances of the AB occur or changes are proposed or likely, an AB should notify BQA as early as possible to confirm the process to be followed and the level of approval required. Significant changes include the following, but not limited to:

- a change in ownership a change in legal status
- a decision to cease operations
- a change in location of sites used
- a change in the composition of the governing body

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- a change in senior management or senior academic personnel a change in funding sources
- a change in staffing status
- the opening of a new site locally and outside Botswana
- a change in the mode of delivery of any programme or course and assessment.

### 1.6 REVOCATION OF REGISTRATION AND ACCREDITATION

The Authority may revoke registration and accreditation of an AB where:

- the AB has failed to meet the requirements for registration and accreditation or
- the AB has failed to submit its annual report in accordance with the Authority's annual reporting policy.

In a case where the Authority decides to revoke the registration and accreditation of an AB, a written notice shall be issued to the governing body of the AB outlining the conditions of revocation.

## **SECTION E- THE DESIGN, CONTENT, ISSUING AND REPLACEMENT OF CERTIFICATES**

### **1.1 DESIGN**

An AB must ensure that the design of each certificate in relation to a qualification which it makes available complies with the Certificate Requirements which may be published by BQA and revised from time to time.

### **1.2 CONTENT**

An AB must ensure that –

- (a) all certificates which it issues clearly and uniquely identify both the Learner and the certificate itself; and
- (b) all certificates which it issues clearly display the title of the qualification as it appears on the Register of qualifications.

### **1.3 ISSUING**

An AB must, in relation to qualifications which it makes available:

- (a) publish the expected dates or timescales for the issue of certificates;
- (b) ensure that the issue of certificates is timely;
- (c) not issue any certificate to a Learner who does not have a valid entitlement to that certificate;
- (d) only issue certificates which are clear and can readily be understood by users of qualifications;
- (e) only issue certificates which are accurate and complete; and
- (f) maintain a record of all certificates and replacement certificates which it issues,

### **1.4 REPLACEMENTS AND REVOCATIONS**

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An AB must take all reasonable steps, including having procedures in place, to ensure that it:

- (a) issues any replacement certificate to any Learner who has a valid entitlement to that replacement certificate;
- (b) revokes any certificate if the result on the certificate is false because of malpractice, maladministration, or is revealed to be inaccurate as a consequence of an appeals process; and
- (c) meets any date or timescale published by it in respect of the issue of certificates and replacement certificates.

### SECTION F APPROVAL

This Quality Assurance Standard was approved by ..... and signed on behalf by:

Issue No:	Version	Name	Designation	Signature	Date